

**Collin College  
Authorized Broker/Dealer List**

June, 2016

The proposed authorized broker/dealer list for Collin College is shown below. Each of these firms, and the individual covering the account, are furnished a copy of the College's current investment policy (CAK Local). In accordance with the Public Funds Investment Act (TX Gov't. Code 2256.005(k)) prior to a broker/dealer transacting business with the College, the broker/dealer will certify in writing to their review of the Policy and that procedures are in place within their firm to assure compliance with the Policy.

The College's policy establishes specific criteria for the brokers and requires that the list of broker/dealers be approved annually by the Board. Patterson & Associates maintains the brokerage compliance files for the College.

When any material changes are made to the Investment Policy the new Policy is distributed for recertification.

Coastal Securities  
Intl F.C. Stone  
Merrill Lynch  
Mizuho Securities  
Morgan Stanley  
Mutual Securities  
Piper Jaffray  
Raymond James  
RBC  
Stifel Nicolaus  
Wells Fargo  
William Blair