

**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