

# Utah Money Management Council

350 N STATE STREET, SUITE 180  
PO BOX 142315  
SALT LAKE CITY, UTAH 84114-2315  
TEL: (801) 538-1883  
FAX: (801) 538-1465



## A G E N D A

Interim Money Management Council meeting

August 21, 2024

Teleconference Via Google Meets

3:00 p.m.

**\*\*Amended\*\***

## A G E N D A

- 1.) THIS WILL BE A BRIEF MEETING TO APPROVE NEW CERTIFIED INVESTMENT ADVISER REPRESENTATIVES AND **\*\*CERTIFIED DEALERS.**

Please Note: There will be a regular Money Management Council on September 19, 2024 @3:00 p.m.

**\*\*Note:** All Council members will be in attendance via Google meets at:

[meet.google.com/nfd-aijw-uyy](https://meet.google.com/nfd-aijw-uyy)

Join by phone

(US) +1 337-628-2091 PIN: 419 938 509#

The public is welcome to attend electronically.

K. Wayne Cushing, Chair  
Salt Lake County  
2001 South State Street N1-200  
Salt Lake City, Utah 84114  
Phone (385)-468-8305  
[kwcushing@slco.org](mailto:kwcushing@slco.org)

Corrie Forsling  
Summit County  
60 North Main Street  
Coalville, Utah 84017  
Phone (435)-336-3267  
[cforsling@summitcounty.org](mailto:cforsling@summitcounty.org)

Scott Burnett, Vice Chair  
Raymond James Utah Branch  
95 S State St Ste 2180  
Salt Lake City, UT 84111  
Phone (801)-736-6180  
[scott.r.burnet@raymondjames.com](mailto:scott.r.burnet@raymondjames.com)

Mark W. Packard  
Central Bank  
75 N University Ave.  
Provo UT 84601  
801-655-2153  
[packardm@cbutah.com](mailto:packardm@cbutah.com)

Chip Dawson  
South Jordan City  
1600 W. Towne Center Drive  
South Jordan, UT 84095  
801-253-5203 ext. 1381  
[cdawson@sjc.utah.gov](mailto:cdawson@sjc.utah.gov)



SPENCER J. COX  
*Governor*

DEIDRE M. HENDERSON  
*Lieutenant Governor*

# UTAH DEPARTMENT OF COMMERCE

## Division of Securities

MARGARET W. BUSSE  
*Executive Director*

JASON STERZER  
*Division Director*

**TO: Money Management Council**  
**FROM: Michele Black, Division of Securities**  
**RE: Deletions to the Certified Investment Adviser List**  
**DATE: August 21, 2024**

The following agents and firms have been deleted to the existing list for conducting investment transactions with public treasuries pursuant to rule 15 of the State Money Management Council.

**Zions Capital Advisors, Inc.**  
Investment Adviser  
Representatives:

Scott R. Burnett  
Peter Kelson



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*Lieutenant Governor*

# UTAH DEPARTMENT OF COMMERCE

## Division of Securities

MARGARET W. BUSSE  
*Executive Director*

JASON STERZER  
*Division Director*

TO: Money Management Council  
FROM: Michele Black, Division of Securities  
RE: Additions to the Certified Investment Adviser List  
DATE: August 21, 2024

The following agents and firms have been added to the existing list for conducting investment transactions with public treasures pursuant to rule 15 of the State Money Management Council.

**Raymond James & Associates, Inc.**

Investment Adviser Representatives:  
Scott R. Burnett  
Peter Kelson

**Zions Capital Advisors, Inc.**

Investment Adviser Representatives:  
Scott Kellner  
Joseph Irvin  
Anthony Valeri



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# UTAH DEPARTMENT OF COMMERCE

## Division of Securities

MARGARET W. BUSSE  
Executive Director

JASON STERZER  
Division Director

TO: Money Management Council  
FROM: Michele Black, Division of Securities  
RE: Current List Certified Investment Adviser  
DATE: August 21, 2024

The following is the list of Certified Investment Advisers and Investment Adviser Representative(s) effective August 21, 2024:

### AllianceBernstein L.P.

Investment Adviser

Representatives:	Cameron Cole	1400 16 <sup>th</sup> Street, Ste 450 Denver, CO 80202	
	Richard T. Gatherum	"	"
	Herbert W. Moloney	"	"
	Joshua Moreland	"	"
	Jared C. Van Moorleham	"	"

### Chandler Asset Management Inc.

Investment Adviser

Representatives:	Jayson Schmitt	9255 Towne Centre Dr. Ste 600 San Diego, CA 92121	
	Alayne M. Sampson	"	"

### Garcia Hamilton & Associates, L.P.

Investment Adviser

Representatives:	Gilbert A. Garcia	1401 McKinney Street Ste 1600 Houston, TX 77010	
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### Meeder Public Funds, Inc.

Investment Adviser

Representative:	Gregory Balls	10655 Park Run Dr. #120 Las Vegas, NV 89144	
	John Jason Click	6125 Memorial Drive Dublin, OH 43017	

Division of Securities

Heber M. Wells Building • 160 East 300 South • P.O. Box 146760, Salt Lake City, UT 84114-6741  
[www.securities.utah.gov](http://www.securities.utah.gov) • telephone (801) 530-6600 • fax (801) 530-6980

**Meeder Public Funds, Inc. cont.**

Investment Adviser

Representatives: Tonya L. Dazzio  
Riley J. Littlefield  
Richard L. Phillips  
Benjamin Sehy  
Nick Vaccari

10655 Park Run Dr. #120  
Las Vegas, NV 89144

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222 South Main St. 5<sup>th</sup> Fl.  
Salt Lake City, UT 84101

6125 Memorial Drive  
Dublin, OH 43017

**Moreton Asset Management, LLC**

Investment Adviser

Representatives: Jordan C. Hansen  
Andrew J. Robbins  
Daniel V. Rusk  
Jason M. Williams

40 North 100 East  
Farmington, UT 84025

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**PFM Asset Management LLC**

Investment Adviser

Representatives: Joan Evans  
Benjamin Sapora  
Lukas Schneider  
Stefani VonHoltum-Niesent

1720 Carey Avenue, Suite 520  
Cheyenne, WY 82001

950 17<sup>th</sup> Street  
Mail Code: DN-CO-TS  
Denver, CO 80202

1201 S. Alma School Road  
Mail Code: LM-AZ-WADS  
Mesa, AZ 85210

950 17<sup>th</sup> Street  
Mail Code: DN-CO-T8  
Denver, CO 80202

**Raymond James & Associates, Inc.**

Investment Adviser

Representatives: Stan J. Goodell  
Scott R. Burnett  
Peter Kelson

2750 E. Cottonwood Pkwy Ste 250  
Cottonwood Heights, UT 84121-7289

95 S. State St. Ste 2180  
Salt Lake City, UT 84111

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**Soltis Investment Advisors, LLC**

Investment Adviser

Representatives: Kim D. Anderson

20 North Main Street, Suite 400

Cabe Atkinson

St. George, UT 84770  
915 South 500 East, #110  
American Fork, UT 84003

**Soltis Investment Advisors, LLC cont.**  
Investment Adviser

Representatives: Tyler J. Finlinson

20 North Main Street, Suite 400  
St. George, UT 84770

Christie N. Krompel-Behunin

20 North Main Street, Suite 400  
St. George, UT 84770

Brent D. Moore

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Clark V. Taylor

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William W. Wallace

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Tyler K. Wilkinson

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Shawn S. Woods

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**U.S. Bancorp Asset Management, Inc.**  
Investment Adviser

Representatives: Kevin M. Breen

800 Nicollet Mall  
Minneapolis, MN 55402-7020

**Wells Fargo Clearing Services, LLC**  
Investment Adviser

Representatives: Christopher Ahearn

201 S. Main Street, Suite 160  
Salt Lake City, UT 84111

Daniel H. Payne

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Timothy Payne

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Christopher Soutas

2455 Parleys Way, Suite 250  
Salt Lake City, UT 84109

**Zions Capital Advisors, Inc.**  
Investment Adviser

Representatives: Blake Bihm

2125 W. Davis Street  
Conroe, TX 77304

Bruce Snow

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Scott Kellner

One S. Main Street, 12<sup>th</sup> Floor  
Salt Lake City, UT 84133

Joseph Irvin

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Anthony Valeri

11622 El Camino Real  
San Diego, CA 92130



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# UTAH DEPARTMENT OF COMMERCE

## Division of Securities

MARGARET W. BUSSE  
*Executive Director*

JASON STERZER  
*Division Director*

TO: Money Management Council  
FROM: Michele Black, Division of Securities  
RE: Additions to the Certified Dealer List  
DATE: August 21, 2024

The following agents and firms have been added to the existing list for conducting investment transactions with public treasures pursuant to rule 16 of the State Money Management Council:

**Morgan Stanley & Co. LLC**

**Agents:**  
Russell Kwok



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# UTAH DEPARTMENT OF COMMERCE

## Division of Securities

MARGARET W. BUSSE  
Executive Director

JASON STERZER  
Division Director

**TO: Money Management Council**  
**FROM: Michele Black, Division of Securities**  
**RE: Current List Certified Dealer**  
**DATE: August 21, 2024**

The following is the list of Certified Dealers and Agent(s) effective August 21, 2024.

**Ameriprise Financial Services, LLC**

Agents: Bradley T. Miller

Bruce Wingrove

7730 Union Park Ave. Ste 300  
Midvale, UT 84047

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**Bank of Montreal, Chicago Branch**

Agents: Anthony Pham

1 Market Plaza, Spear Tower, Ste 1515  
San Francisco, CA 94105

**D.A. Davidson & Co.**

Agents: Marcus Nield

251 S. 1350 W.  
Farmington, UT 84025

**Daiwa Capital Markets America**

Agents: John Lomond

Andres Tamayo

555 California Street Ste. 4325  
San Francisco, CA 94104-1503

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**Deutsche Bank Securities Inc.**

Agents: Michael Fisher

Jennifer Gray  
Paul Miller

1 Columbus Circle  
New York, NY 10019

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Division of Securities

Heber M. Wells Building • 160 East 300 South • P.O. Box 146760, Salt Lake City, UT 84114-6741  
[www.securities.utah.gov](http://www.securities.utah.gov) • telephone (801) 530-6600 • fax (801) 530-6980



**Janney Montgomery Scott LLC**

Agents: Brian J. Delany

1531 Willow Loop  
Park City, UT 84098

**Loop Capital Markets LLC**

Agents: William H. Money III

10445 S. Wasatch Blvd  
Sandy, UT 84092

**Moreton Capital Markets, LLC**

Agents: Benjamin Byington

Larry Lundberg  
Cory McKendrick  
Ryan Stoker

101 South 200 East, Suite 300  
Salt Lake City, UT 84111

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**Morgan Stanley & Co. LLC**

Agents: Russell Kwok

1999 Avenue of the Stars, Ste 2400  
Los Angeles, CA 90067

**Raymond James & Associates, Inc.**

Agents: Amy Iannella

Mark McKinnon

4643 S. Ulster Street, Suite 1350  
Denver, CO 80237

1676 N. Sonoran Drive  
St. George, UT 84770

**RBC Capital Markets, LLC**

Agents: Eric Ajlouny

William L. Burton

Scott Chappell

John Hallgren  
Quinn Jensen  
John Menefee

Michael Roskopf

Paul Schulte

1331 North California Boulevard, Suite 650  
Walnut Creek, CA 94596

401 Union Street, Suite 3600  
Seattle, WA 98101

1260 Stringham Avenue Suite 300  
Salt Lake City, UT 84106

" " " "

2220 NW Labiche Lane  
Bend, OR 97703

608 Silver Spur Road Ste. 100  
Rolling Hills Estate, CA 90274

1331 North California Boulevard Suite 650  
Walnut Creek, CA 94596

**Stifel, Nicolaus & Company, Incorporated**

Agents: Dewey Anderson

Irving Vincent Boberski III

John Crandall

800 Shades Creek Parkway  
Birmingham, AL 35209  
200 W. Madison St., Ste 1960  
Chicago, IL 60606  
15 West South Temple Suite 1090  
Salt Lake City, UT 84101

**Wells Fargo Securities LLC**

Agents: Scott Andrews

Michael Deep

Evan Faucher

Brandon Hodge

Gregory McMahon

Jonathan Stutts

Sarah A. Jacobson

David Vlacich

550 South Tryon Street 4<sup>th</sup> Fl.  
Charlotte, NC 28202  
550 South Tryon Street, 4<sup>th</sup> Fl.  
Charlotte, NC 28202  
550 South Tryon Street 4<sup>th</sup> Fl.  
Charlotte, NC 28202  
999 3<sup>rd</sup> Avenue 41<sup>st</sup> Floor  
Seattle, WA 98104-4019  
125 High Street 14<sup>th</sup> Fl.  
Boston, MA 02110-2704  
550 South Tryon Street 4<sup>th</sup> Fl.  
Charlotte, NC 28202  
999 3<sup>rd</sup> Avenue 41<sup>st</sup> Floor  
Seattle, WA 98104-4019  
125 High Street 14<sup>th</sup> Fl.  
Boston, MA 02110-2704

**Zions Bank Capital Markets**

Agents: Jacqueline Davies

Jared Jess

Bradley Mayeda

Daniel Ricks

Ty Roberts

Jocelyn Sudweeks

Christopher Van Dam

One South Main Street, 17<sup>th</sup> Floor  
Salt Lake City, UT 84133

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**Zions Direct, Inc.**

Agents: Jacqueline Davies

Jared Jess

Bradley Mayeda

Daniel Ricks

Ty Roberts

One South Main Street, 17<sup>th</sup> Floor  
Salt Lake City, UT 84133

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**Zions Direct, Inc. cont.**

**Agents:        Jocelyn Sudweeks  
                  Christopher Van Dam**

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