

ORDINANCE NO. 019-116

AN ORDINANCE DESIGNATING  
FIRMS AUTHORIZED TO  
PROVIDE INVESTMENTS TO  
THE AUTHORITY

WHEREAS, The Chicago Transit Authority's ("Authority") Investment Policy, adopted on July 21, 1999 and most recently amended by Ordinance No. 019-44 ("Investment Policy"), authorizes the selection of qualified banks and broker/dealers to provide investments authorized by the Investment Policy ("Authorized Investments") through a Letters of Interest and Qualifications (LIQ) process; and

WHEREAS, The Authority issued a Request for LIQ under Requisition No. B19OP02079 for a new pool of banks and broker/dealers and received responses from fifteen firms; and

WHEREAS, The firms were required to provide client references, information on staff experience and other information as required by the Investment Policy; and

WHEREAS, Staff evaluated the interested firms based on the criteria stated in the LIQ and determined the fifteen firms to be qualified to provide Authorized Investments to the Authority on an as-needed basis; now, therefore:

BE IT ORDAINED BY THE CHICAGO TRANSIT BOARD  
OF THE CHICAGO TRANSIT AUTHORITY:

SECTION 1. The Chicago Transit Board hereby adopts the list of fifteen (15) firms set forth in Exhibit A hereto as approved to provide Authorized Investments to the Authority. The list shall be effective for five years from the date of this Ordinance or until a successor list is approved, whichever is later, and supersedes the list approved by Ordinance No. 015-78.

SECTION 2. This ordinance shall be in full force and effect from and after its passage.

APPROVED:

PASSED:

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Chairman

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Assistant Secretary

November 20, 2019

November 20, 2019

## EXHIBIT A

B19OP02079

*Firms authorized to provide Authorized Investments to the CTA:*

Associated Bank	Loop Capital Markets, LLC (MBE)
American Veterans Group, PBC (SDVOSB)	Multi-Bank Securities, Inc. (SDVOSB)
Blaylock Van, LLC (MBE)	Piper Jaffray & Co.
Cabrera Capital Markets, LLC (MBE)	Rice Securities, LLC d/b/a Rice Financial Products Co. (MBE)
Fifth Third Securities	Siebert Cisneros Shank Co., LLC (MBE)
Great Pacific Securities (MBE)	US Bank NA
The Huntington Investment Company	Wells Fargo Securities, LLC
J.P. Morgan Securities	