

### CODE OF ETHICS AFFIDAVIT

**(THIS FORM SHOULD BE FULLY COMPLETED AND RETURNED WITH  
YOUR SUBMITTAL AND WILL BE REQUIRED PRIOR TO EVALUATION)**

In accordance with Section 54-33 of the Gwinnett County Code of Ordinances the undersigned bidder/proposer makes the following full and complete disclosure under oath, to the best of his/her knowledge, of the name(s) of all elected officials whom it employs or who have a direct or indirect pecuniary interest in or with the bidder/proposer, its affiliates, or its subcontractors:

1. Alamo Capital

(Company Submitting Bid/Proposal)

2. (Please check  one box below)

No information to disclose (complete only section 4 below)

Disclosed information below (complete section 3 & section 4 below)

3. (if additional space is required, please attach list)

Gwinnett County Elected Official Name

4. Nancy A. Mullally  
BY: Nancy A. Mullally  
Authorized Officer or Agent Signature

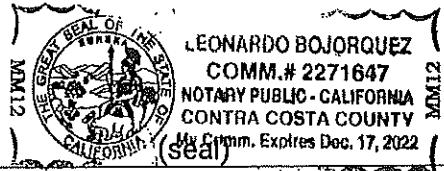
NANCY MULLALLY  
Printed Name of Authorized Officer or Agent

CEO / CFO  
Title of Authorized Officer or Agent of Contractor

Sworn to and subscribed before me this

3 day of December, 2021

Notary Public



Note: See Gwinnett County Code of Ethics Ordinance EO2011, Sec. 54-33. The ordinance will be available to view in its' entirety at [www.gwinnettcounty.com](http://www.gwinnettcounty.com)



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1. **FHN Financial Capital Markets & FHN Financial Securities Corp.**  
(Company Submitting Bid/Proposal)

2. (Please check  one box below)

No information to disclose (*complete only section 4 below*)

Disclosed information below (*complete section 3 & section 4 below*)

3. (if additional space is required, please attach list)

Gwinnett County Elected Official Name

4.   
BY:   
Authorized Officer or Agent Signature

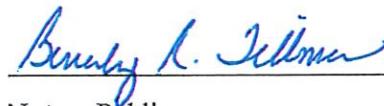
Elizabeth Schulzke

Printed Name of Authorized Officer or Agent

Compliance Officer

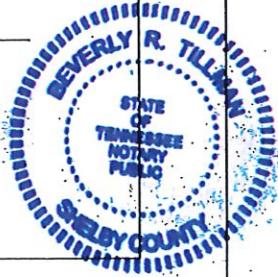
Title of Authorized Officer or Agent of Contractor

Sworn to and subscribed before me this  
30<sup>th</sup> day of November, 2021

  
Beverly R. Tillman

Notary Public

August 3, 2025  
Commission Expires  
(seal)



Note: See Gwinnett County Code of Ethics Ordinance EO2011, Sec. 54-33. The ordinance will be available to view in its' entirety at [www.gwinnettcounty.com](http://www.gwinnettcounty.com)



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1. Loop Capital Markets

(Company Submitting Bid/Proposal)

2. (Please check  one box below)

No information to disclose (complete only section 4 below)

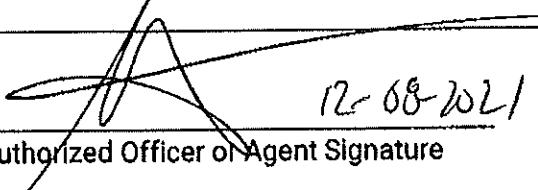
Disclosed information below (complete section 3 & section 4 below)

3. (if additional space is required, please attach list)

Gwinnett County Elected Official Name

4.

BY:

  
Authorized Officer or Agent Signature

Brett Coulter

Printed Name of Authorized Officer or Agent

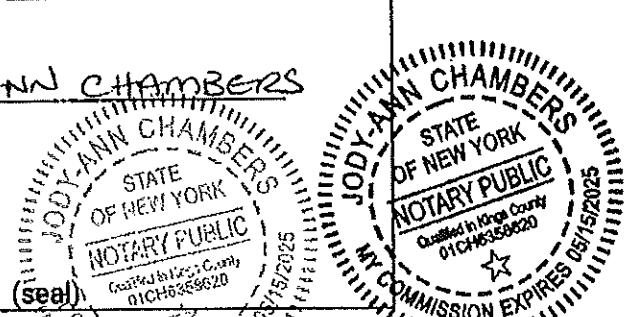
Senior Vice President

Title of Authorized Officer or Agent of Contractor

Sworn to and subscribed before me this

8<sup>th</sup> day of DECEMBER 2021

  
JODY-ANN CHAMBERS  
Notary Public



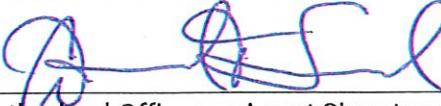
Note: See Gwinnett County Code of Ethics Ordinance EO207, Sec. 54-33. The ordinance will be available to view in its' entirety at [www.gwinnettcounty.com](http://www.gwinnettcounty.com)



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1. Great Pacific Securities (Company Submitting Bid/Proposal)	
2. (Please check <input checked="" type="checkbox"/> one box below)  <input checked="" type="checkbox"/> No information to disclose ( <i>complete only section 4 below</i> )  <input type="checkbox"/> Disclosed information below ( <i>complete section 3 &amp; section 4 below</i> )	
3. (if additional space is required, please attach list)  Gwinnett County Elected Official Name  Gwinnett County Elected Official Name  Gwinnett County Elected Official Name  Gwinnett County Elected Official Name	
4. BY:  Authorized Officer or Agent Signature  David Swoish Printed Name of Authorized Officer or Agent  President Title of Authorized Officer or Agent of Contractor	Sworn to and subscribed before me this  1 day of December, 2021  Notary Public <b>See Attached Certificate</b>  (seal)

Note: See Gwinnett County Code of Ethics Ordinance EO2011, Sec. 54-33. The ordinance will be available to view in its' entirety at [www.gwinnettcounty.com](http://www.gwinnettcounty.com)

# JURAT

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of California

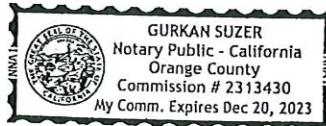
County of Orange

Subscribed and sworn to (or affirmed) before me on this 1<sup>st</sup> day of December,  
2021 by David Swoish,

proved to me on the basis of satisfactory evidence to be the person(s) who appeared before me.

Gurkan Suzer  
Signature

(Seal)



## OPTIONAL INFORMATION

### DESCRIPTION OF THE ATTACHED DOCUMENT

Code of Ethics Affidavit  
(Title or description of attached document)

(Title or description of attached document continued)

Number of Pages 1 Document Date 12/01/21

Additional information

## INSTRUCTIONS

The wording of all Jurats completed in California after January 1, 2015 must be in the form as set forth within this Jurat. There are no exceptions. If a Jurat to be completed does not follow this form, the notary must correct the verbiage by using a jurat stamp containing the correct wording or attaching a separate jurat form such as this one with does contain the proper wording. In addition, the notary must require an oath or affirmation from the document signer regarding the truthfulness of the contents of the document. The document must be signed AFTER the oath or affirmation. If the document was previously signed, it must be re-signed in front of the notary public during the jurat process.

- State and county information must be the state and county where the document signer(s) personally appeared before the notary public.
- Date of notarization must be the date the signer(s) personally appeared which must also be the same date the jurat process is completed.
- Print the name(s) of the document signer(s) who personally appear at the time of notarization.
- Signature of the notary public must match the signature on file with the office of the county clerk.
- The notary seal impression must be clear and photographically reproducible. Impression must not cover text or lines. If seal impression smudges, re-seal if a sufficient area permits, otherwise complete a different jurat form.
  - ❖ Additional information is not required but could help to ensure this jurat is not misused or attached to a different document.
  - ❖ Indicate title or type of attached document, number of pages and date.
- Securely attach this document to the signed document with a staple.



**CODE OF ETHICS AFFIDAVIT**

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1. Mischler Financial Group, Inc.  
(Company Submitting Bid/Proposal)

2. (Please check  one box below)

No information to disclose (*complete only section 4 below*)

Disclosed information below (*complete section 3 & section 4 below*)

3. (if additional space is required, please attach list)

Gwinnett County Elected Official Name

4.

BY: 

Authorized Officer or Agent Signature

Doyle L. Holmes

Printed Name of Authorized Officer or Agent

President

Title of Authorized Officer or Agent of Contractor

Sworn to and subscribed before me this

9th day of December, 2021

  
Notary Public  
SHERYL A. URTUSUASTEGUI  
Commission No. 2242610  
NOTARY PUBLIC-CALIFORNIA  
ORANGE COUNTY  
My Comm. Expires JUNE 10, 2022  
(seal)

Note: See Gwinnett County Code of Ethics Ordinance EO2011, Sec. 54-33. The ordinance will be available to view in its' entirety at [www.gwinnettcounty.com](http://www.gwinnettcounty.com)



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1. Piper Sandler & Co.

(Company Submitting Bid/Proposal)

2. (Please check  one box below)

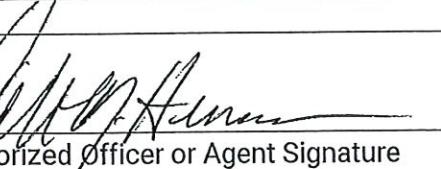
No information to disclose (*complete only section 4 below*)

Disclosed information below (*complete section 3 & section 4 below*)

3. (if additional space is required, please attach list)

Gwinnett County Elected Official Name

4.

  
BY: Colleen M. Hennings  
Authorized Officer or Agent Signature

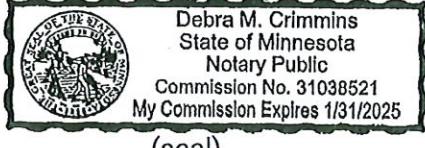
Colleen M. Hennings  
Printed Name of Authorized Officer or Agent

VP, RSA Manager  
Title of Authorized Officer or Agent of Contractor

Sworn to and subscribed before me this

6 day of December 2021

  
Debra M. Crimmins  
Notary Public



Note: See Gwinnett County Code of Ethics Ordinance EO2011, Sec. 54-33. The ordinance will be available to view in its' entirety at [www.gwinnettcounty.com](http://www.gwinnettcounty.com)



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1. Raymond James & Associates, Inc.  
(Company Submitting Bid/Proposal)

2. (Please check  one box below)

No information to disclose (*complete only section 4 below*)

Disclosed information below (*complete section 3 & section 4 below*)

3. (if additional space is required, please attach list)

Gwinnett County Elected Official Name

4.

BY: Chris Pastina  
Authorized Officer or Agent Signature

Sworn to and subscribed before me this

1        day of 12, 20 21

Chris Pastina  
Printed Name of Authorized Officer or Agent

Notary Public

Director/Branch Manager, Fixed Income Sales  
Title of Authorized Officer or Agent of Contractor

(seal)

Note: See Gwinnett County Code of Ethics Ordinance EO2011, Sec. 54-33. The ordinance will be available to view in its' entirety at [www.gwinnettcounty.com](http://www.gwinnettcounty.com)

# RAYMOND JAMES®

December 1, 2021

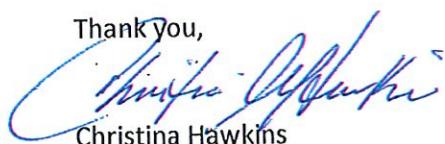
Gwinnett County  
ATTN: Dana Garland  
75 Langley Drive  
Lawrenceville, GA 30046-6935

Re: Addendum 2

Dear Ms. Garland,

Please be advised that, due to COVID-19, original signatures and notary seals cannot be provided at this time.

Thank you,



Christina Hawkins  
Vice President  
Fixed Income Sales Administration



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1. RBC Capital Markets LLC

(Company Submitting Bid/Proposal)

2. (Please check  one box below)

No information to disclose (complete only section 4 below)

Disclosed information below (complete section 3 & section 4 below)

3. (if additional space is required, please attach list)

Gwinnett County Elected Official Name

4.

BY:

Joseph DiPaolo  
Authorized Officer or Agent Signature

Joseph DiPaolo

Printed Name of Authorized Officer or Agent

Director

Title of Authorized Officer or Agent of Contractor

Sworn to and subscribed before me this

1<sup>st</sup> day of December, 20 21

TERESA A. GARCIA-PENA  
Notary Public, State of New York  
No. 01GA6202098  
Qualified in New York County  
Commission Expires March 9, 20 25

(seal)

Note: See Gwinnett County Code of Ethics Ordinance EO2011, Sec. 54-33. The ordinance will be available to view in its' entirety at [www.gwinnettcounty.com](http://www.gwinnettcounty.com)



# Gwinnett

GWINNETT COUNTY  
DEPARTMENT OF FINANCIAL SERVICES  
PURCHASING DIVISION

75 Langley Drive | Lawrenceville, GA 30046-6935  
O: 770.822.8720 | F: 770.822.8735  
GwinnettCounty.com

RP007-21 Provision of Broker Dealer Services for Fixed Income Securities on an Annual Contract

Page 14

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1. Robert W. Baird & Co. Incorporated  
(Company Submitting Bid/Proposal)

2. (Please check  one box below)

No information to disclose (complete only section 4 below)

Disclosed information below (complete section 3 & section 4 below)

3. (if additional space is required, please attach list)

Gwinnett County Elected Official Name

4.

BY: N. J. Jones  
Authorized Officer or Agent Signature

Nicholas Gomes

Printed Name of Authorized Officer or Agent

Fixed Income Capital Markets Supervision Officer

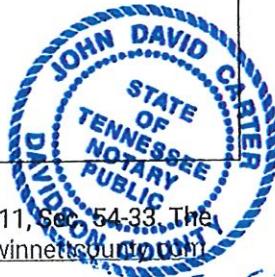
Title of Authorized Officer or Agent or Contractor

Sworn to and subscribed before me this

6<sup>th</sup> day of December, 2021

John David Carter  
Notary Public

(seal)



Note: See Gwinnett County Code of Ethics Ordinance EO2011, Sec. 54-33. The ordinance will be available to view in its' entirety at [www.gwinnettcounty.com](http://www.gwinnettcounty.com)

Exp. 5-7-2024



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**I. VINING-SPARKS IBG, LLC**

(Company Submitting Bid/Proposal)

2. (Please check  one box below)

No information to disclose (complete only section 4 below)

Disclosed information below (complete section 3 & section 4 below)

3. (if additional space is required, please attach list)

Gwinnett County Elected Official Name

4.

BY

Authorized Officer or Agent Signature

Demetri Patikas

Printed Name of Authorized Officer or Agent

EVP and Director of Sales

Title of Authorized Officer or Agent of Contractor

Sworn to and subscribed before me this

30<sup>th</sup> day of November, 2021

Notary Public



Note: See Gwinnett County Code of Ethics Ordinance EO2011, Sect 54-33. The ordinance will be available to view in its' entirety at [www.gwinnettcounty.com](http://www.gwinnettcounty.com)