

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

RP041-23 Provision of Broker Dealer Services for Fixed Income Securities on an Annual Contract

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CODE OF ETHICS AFFIDAVIT

PLEASE RETURN THIS FORM COMPLETED WITH YOUR SUBMITTAL. SUBMITTED FORMS ARE 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 their 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 vendor, its affiliates or its subcontractors:

1.	Alamo Capital	
	Company Submitting Bid/Proposal	
2.	Please select one of the following: ☑ No information to disclose (complete only secti ☐ Disclosed information below (complete section	
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. - P	Authorized Officer or Agent Signature Nana A Mallaly Printed Name of Authorized Officer or Agent	Sworn to and subscribed before me this 12 th day of <u>December</u> , 20 <u>23</u>
- T	Title of Authorized Officer or Agent of Contractor	Jean Dall Jean Notary Public
		SABELLA FAITH BERGANCIANO Notary Public - California Alameda County Commission # 2425802 My Comm. Expires Nov 8, 2026 (Seal)



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af	filiates or its subcontractors:	
1.	Blaylock Van, LLC	
	Company Submitting Bid/Proposal	
2.	Please select one of the following: No information to disclose (complete only section Disclosed information below (complete section 3	
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: Cul Sely	
•	Authorized Officer or Agent Signature	Sworn to and subscribed before me this
_	EMANUEL SCHMALZ	19th day of Vecenter, 2023
F	Printed Name of Authorized Officer or Agent	
_	Executive Vice President	South Colof
T	itle of Authorized Officer or Agent of Contractor	Notary Public BENJAMIN GEBHARDT Notary Public - State of New York NO. 0.0GE0004959 Qualified fill New York County My Commission Expires Apr 4, 2027





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1.	Great Pacific Securities Company Submitting Bid/Proposal	
2.	Please select one of the following: ☑ No information to disclose (complete only section ☐ Disclosed information below (complete section 3	
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	Sworn to and subscribed before me this
(Mustopher Vincle	14 day of December, 20 23
Pi	rinted Name of Authorized Officer or Agent	
_	CEO	See attachment
Ti	tle of Authorized Officer or Agent of Contractor	Notary Public
		(seal)

CALIFORNIA ACKNOWLEDGMENT	CIVIL CODE § 1189	
A notary public or other officer completing this certificate ve to which this certificate is attached, and not the truthfulnes	erifies only the identity of the individual who signed the document ss, accuracy, or validity of that document.	
State of California County of \(\frac{\infty \ \frac{\infty \ \text{V} \ \infty \ \frac{\infty \ \infty \ \frac{\infty \ \infty \ \frac{\infty \ \infty \ \infty \ \frac{\infty \ \infty \ \in		
Date personally appeared	NYI Stian Jawed (4 Stills Here Insert Name and Title of the Officer I NOK Name(s) of Signer(s)	
who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) (s) are subscribed to the within instrument and acknowledged to me that (s) she/they executed the same incom her/their authorized capacity(ies), and that by (s) s/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.		
CHRISTIAN JARED CASTILLO Notary Public - California Orange County Commission # 2409720 My Comm. Expires Jul 3, 2026	I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct. WITNESS my hand and official seal.	
Place Notary Seal and/or Stamp Above	Signature of Notary Public	
Completing this information can	deter alteration of the document or form to an unintended document.	
Description of Attached Document Title or Type of Document: Code of られによ Document Date: 12 14 2023	Attidavit	
Signer(s) Other Than Named Above: Work	Number of Pages: _\	
Capacity(ies) Claimed by Signer(s) Signer's Name: Corporate Officer – Title(s): Partner –	Signer's Name:	
Signer is Representing:	Signer is Representing:	

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Loop Capital Markets	
Company Submitting Bid/Proposal	
Please select one of the following: No information to disclose (complete only section Disclosed information below (complete section	on 4 below) 3 & section 4 below)
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
BY: Authorized Officer or Agent Signature Brett Coulter Printed Name of Authorized Officer or Agent	Sworn to and subscribed before me this day of Dec 202
Senior Vice President	Harly Mr Hadee
Title of Authorized Officer or Agent of Contractor	Notary Public
	OFFICIAL SEAL SEAL KATHY JEAN MCGAHEE NOTARY PUBLIC, STATE OF ILLINOIS MY COMMISSION EXPIRES: 05/26/2027

Note: See Gwinnett County Code of Ethics Ordinance E02011, Sec. 54-33. The ordinance will be available to view in its' entirety at GwinnettCounty.com

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1.	Mischler Financial Group, Inc. Company Submitting Bid/Proposal		
2.	Please select one of the following: ☑ No information to disclose (complete only section ☐ Disclosed information below (complete section 3	n 4 below) & section 4 below)	
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	Sworn to and subscribed before me this	
_	Doyle L. Holmes		
Р	Printed Name of Authorized Officer or Agent		
_	President	amping	*
Т	itle of Authorized Officer or Agent of Contractor	2/32/1/	DREA RODRIGUEZ MM. #2435341 ry Public - California Orange County m. Expires Jan. 22, 2027

MULTI-BANK SECURITIES, INC.



DEPARTMENT OF FINANCIAL SERVICES PURCHASING DIVISION

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1.	Multi-Bank Securities, Inc.	
	Company Submitting Bid/Proposal	
2.	Please select one of the following: ☑ No information to disclose (complete only section ☐ Disclosed information below (complete section 3	
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	Sworn to and subscribed before me this
_	Merlin Elsner	6 day of December 20 23
F	Printed Name of Authorized Officer or Agent	
· -	Chief Compliance Officer	Stephenie M Wood
1	Fitle of Authorized Officer or Agent of Contractor	Notary Public
	STEPHANIE M. WOOD Notary Public, State of Michigan County of Wayne My Commission Expires Apr. 09, 2026 Acting in the County of	(seal)



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1.	Piper Sandler & Co.	
	Company Submitting Bid/Proposal	
2.	Please select one of the following: ☑ No information to disclose (complete only section ☐ Disclosed information below (complete section 3	4 below) & section 4 below)
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: (aller M. Hennings	
	Authorized Officer or Agent Signature	Sworn to and subscribed before me this
_	Colleen M. Hennings	15 day of Alcher, 20 23
F	Printed Name of Authorized Officer or Agent	
_	VP, RSA Manager	Alka Crimis
T	itle of Authorized Officer or Agent of Contractor	Notary Public Debra M. Crimmins State of Minnesota (Stallry Public Commission No. 31038521 My Commission Evolves 1/31/2025



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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:

pecuniary interest in or with the bidder/proposer, its aff	iliates, or its subcontractors:
1. FHN Financial Capital Markets & FHN Financia	al Securities Corp.
(Company Submitting Bid/Proposal)	
2. (Please check one box below)	
☑ No information to disclose (complete only section	n 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	Gwinnett County Elected Official Name
Gwinnett County Elected Official Name	Gwinnett County Elected Official Name
4.	Sworn to and subscribed before me this
BY: Authorized Officer or Agent Signature	day of December, 2023
Elizabeth Schulzke	Shownd. McCurdy
Printed Name of Authorized Officer or Agent	Notary Public My Commission Expires June 17 2026
Compliance Officer	M. M. C. M. C.
Title of Authorized Officer or Agent of Contractor	STATE OF TENANCESEE



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	ected officials whom it employs or who have a directificates or its subcontractors:	t or indirect pecuniary interest in or with the vendor, its
1.	Raymond James & Associates, Inc. Company Submitting Bid/Proposal	
2.	Please select one of the following: ☑No information to disclose (complete only section 4 □ Disclosed information below (complete section 3 8	below) a section 4 below)
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: Cl. P. L.	
	Authorized Officer or Agent Signature	Sworn to and subscribed before me this
	Chris Pastina	11 day of December , 2023
ſ	Printed Name of Authorized Officer or Agent	The state of the s
_	Director and Branch Manager, Fixed Income Sales	Ser VANOVE STATE
7	Fitle of Authorized Officer or Agent of Contractor	Notary Public Notary Public OF TENNESSEE NOTARY (seal)JBLIC

Note: See Gwinnett County Code of Ethics Ordinance E02011, Sec. 54-33. The ordinance will be available to view in its' entirety at GwinnettCounty.com

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1.	RBC Capital Markets LLC	
•	Company Submitting Bid/Proposal	
2.	Please select one of the following: ☑ No information to disclose (complete only secti ☐ Disclosed information below (complete section	on 4 below) 3 & section 4 below)
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	Sworn to and subscribed before me this
•	Joseph DiPaolo	19th day of December 2023
	Printed Name of Authorized Officer or Agent	1 0 9 P
	Director	find Jon. In
	Title of Authorized Officer or Agent of Contractor	Notary Public TERESA A. GARCIA-PENA Notary Public, State of New York (seal) No. 01GA6202098 Qualified in New York County Commission Expires March 9, 2027



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1	Robert W. Baird & Co. Incorporated	
••	Company Submitting Bid/Proposal	
2.	Please select one of the following: X No information to disclose (complete only section Disclosed information below (complete section 3 &	100
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: My Jones	
	Authorized Officer or Agent Signature	Sworn to and subscribed before me this
_	Nicholas Gomes	3 day of December, 20 23
F	Printed Name of Authorized Officer or Agent	
_	Fixed Income Capital Markets Supervision Officer	Held Moshings & Mosting
1	itle of Authorized Officer or Agent of Contractor	Notary Public No



GWINNETT COUNTY DEPARTMENT OF FINANCIAL SERVICES PURCHASING DIVISION

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1.	SIEBERT WILLIAMS	SHANK + CO, LLC.
	Company Submitting Bid/Proposal	,
2.		
	☐ Disclosed information below (complete section 3	3 & section 4 below)
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
		State of Florida
4.	ВУ:	County of Palm Beach
	Authorized Officer or Agent Signature	Sworn to and subscribed before me this
	Please select one of the following: No information to disclose (complete only section 4 below) Disclosed information below (complete section 3 & section 4 below) If additional space is required, please attach list: Gwinnett County Elected Official Name Fate of Florida Lounty of Palm Beach Sworn to and subscribed before me this Authorized Officer or Agent Signature Sworn to and subscribed before me this 20th day of December 2023 by Claude Seide, who physically appeared aced Infrer's license. MANAGING DIRECTOR FIRED IXXXX	
i	Printed Name of Authorized Officer or Agent	by Claude Seide, who physically opposited and produced arriver's license.
<u>.</u>	MANAGING DIRECTOR - FIXED IXON	«€ Omm Ehm
	Title of Authorized Officer or Agent of Contractor	Notary Public
		Notary Public - State of Florida Commission # HH 344441 My Comm. Expires Dec 27, 2026
	Note: Can Cuinnett County Code of Et	hige Ordinance E02011 Sec. 54-33 The



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uı	illiates of its subcontractors.		
1.	Stifel		
	Company Submitting Bid/Proposal		
2.	Please select one of the following: ☐ No information to disclose (complete only section) ☐ Disclosed information below (complete section 3)	n 4 below) & section 4 below)	4
3.	If additional space is required, please attach list: _		
	Gwinnett County Elected Official Name	Gwinnett County Elected Official Name	1
	Gwinnett County Elected Official Name	Gwinnett County Elected Official Name	
4.	BY: Jan		
_	Authorized Officer or Agent Signature	Sworn to and subscribed before me this	
_	DEMETRI PATIKAS	18 day of DECEMBER, 2023	
P	rinted Name of Authorized Officer or Agent		
т	Managing Director itle of Authorized Officer or Agent of Contractor	Notary Public (Seal)	STATE OF TENNESSEE NOTARY PUBLIC