



Gwinnett

WINNETT COUNTY
DEPARTMENT OF FINANCIAL SERVICES
PURCHASING DIVISION

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 Page 34

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 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

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

4. BY: Nancy A. Mullally

Authorized Officer or Agent Signature

Nancy A. Mullally

Printed Name of Authorized Officer or Agent

Sworn to and subscribed before me this

12th day of December, 2023

CEO

Title of Authorized Officer or Agent of Contractor

Isabella Faith Berganciano

Notary Public



(seal)

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. Blaylock Van, LLC
Company Submitting Bid/Proposal

2. Please select one of the following:
☒ 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

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

4. BY: Emmanuel Schmalz

Authorized Officer or Agent Signature

EMANUEL SCHMALZ

Sworn to and subscribed before me this

19th day of December, 2023

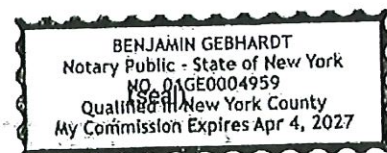
Printed Name of Authorized Officer or Agent

Executive Vice President

Title of Authorized Officer or Agent of Contractor

Benjamin Gebhardt

Notary Public



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. Great Pacific Securities
Company Submitting Bid/Proposal

2. Please select one of the following:
☒ 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

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

4. BY: Christopher Vinick

Authorized Officer or Agent Signature

Sworn to and subscribed before me this

Christopher Vinick

14 day of December, 2023

Printed Name of Authorized Officer or Agent

CEO

See attachment

Title of Authorized Officer or Agent of Contractor

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 GwinnettCounty.com

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CALIFORNIA ACKNOWLEDGMENT

CIVIL CODE § 1189

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 }

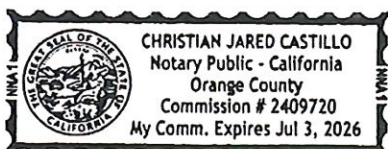
On 12/14/2023 before me, Christian Jared Castillo
Date Here Insert Name and Title of the Officer

personally appeared Christopher Vinck
Name(s) of Signer(s)

who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

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 [Signature]
Signature of Notary Public

OPTIONAL

Completing this information can deter alteration of the document or fraudulent reattachment of this form to an unintended document.

Description of Attached Document

Title or Type of Document: Code of Ethics Affidavit

Document Date: 12/14/2023 Number of Pages: 1

Signer(s) Other Than Named Above: NONE

Capacity(ies) Claimed by Signer(s)

Signer's Name: _____

☐ Corporate Officer – Title(s): _____

☐ Partner – ☐ Limited ☐ General

☐ Individual ☐ Attorney in Fact

☐ Trustee ☐ Guardian or Conservator

☐ Other: _____

Signer is Representing: _____

Signer's Name: _____

☐ Corporate Officer – Title(s): _____

☐ Partner – ☐ Limited ☐ General

☐ Individual ☐ Attorney in Fact

☐ Trustee ☐ Guardian or Conservator

☐ Other: _____

Signer is Representing: _____



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1. Loop Capital Markets
Company Submitting Bid/Proposal

2. Please select one of the following:
☒ 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

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

4. BY: _____

Authorized Officer or Agent Signature

Brett Coulter

Sworn to and subscribed before me this

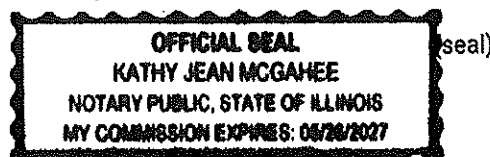
19th day of Dec, 2023

Printed Name of Authorized Officer or Agent

Senior Vice President

Title of Authorized Officer or Agent of Contractor

Notary Public



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 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. BY: 

Authorized Officer or Agent Signature

Sworn to and subscribed before me this

Doyle L. Holmes

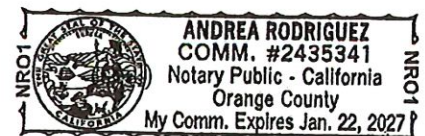
21st day of December, 20 23

Printed Name of Authorized Officer or Agent

President

Title of Authorized Officer or Agent of Contractor


Notary Public



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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MULTI-BANK SECURITIES, INC.

**GWINNETT COUNTY
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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 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. BY: 
Authorized Officer or Agent Signature

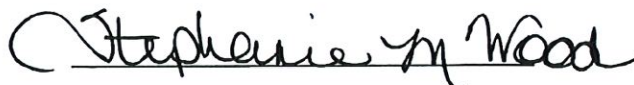
Sworn to and subscribed before me this

Merlin Elsner

6 day of December, 2023

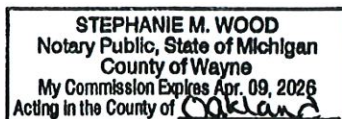
Printed Name of Authorized Officer or Agent

Chief Compliance Officer



Title of Authorized Officer or Agent of Contractor

Notary Public



(seal)

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. Piper Sandler & Co.
Company Submitting Bid/Proposal

2. Please select one of the following:
☒ 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

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

4. BY: Colleen M. Hennings

Authorized Officer or Agent Signature

Colleen M. Hennings

Sworn to and subscribed before me this

15 day of December, 2023

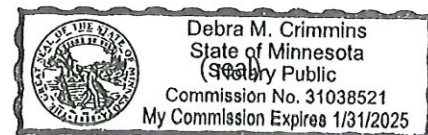
Printed Name of Authorized Officer or Agent

VP, RSA Manager

Title of Authorized Officer or Agent of Contractor

Debra M. Crimmins

Notary Public



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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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. **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


Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

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

1 day of December, 2023



Notary Public

My Commission Expires June 17, 2026



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



Gwinnett

GWINNETT COUNTY
DEPARTMENT OF FINANCIAL SERVICES
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GwinnettCounty.com

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

2. Please select one of the following:
☒ 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

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

4. BY: 

Authorized Officer or Agent Signature

Chris Pastina

Sworn to and subscribed before me this

11th day of December, 2023

Printed Name of Authorized Officer or Agent

Director and Branch Manager, Fixed Income Sales

Title of Authorized Officer or Agent of Contractor

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 GwinnettCounty.com

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PURCHASING DIVISION

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CODE OF ETHICS AFFIDAVIT

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

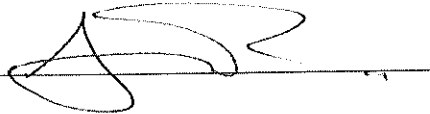
3. If additional space is required, please attach list: _

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

4. BY 

Authorized Officer or Agent Signature

Joseph DiPaolo

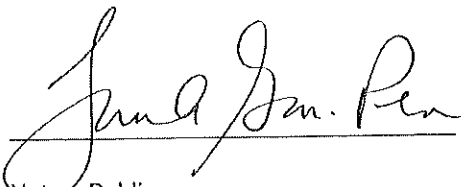
Sworn to and subscribed before me this

19th day of December, 2023

Printed Name of Authorized Officer or Agent

Director

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

Note: See Gwinnett County Code of Ethics Ordinance EO2011, Sec. 54-33. The ordinance will be available to view in its' entirety at GwinnettCounty.com

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

2. Please select one of the following:
☒ 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

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

4. BY: Nicholas Gomes

Authorized Officer or Agent Signature

Nicholas Gomes

Sworn to and subscribed before me this

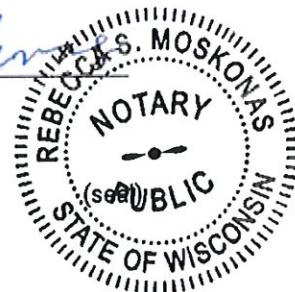
13 day of December, 2023

Printed Name of Authorized Officer or Agent

Fixed Income Capital Markets Supervision Officer

Title of Authorized Officer or Agent of Contractor

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 GwinnettCounty.com

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1. SIEBERT WILLIAMS SHANK + CO, LLC.
Company Submitting Bid/Proposal

2. Please select one of the following:
- ☒ 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

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

4. BY: 

State of Florida
County of Palm Beach

Authorized Officer or Agent Signature


Sworn to and subscribed before me this

CLAUDE SEIDE

20th day of December, 2023
by Claude Seide, who physically
appeared and produced
driver's license.

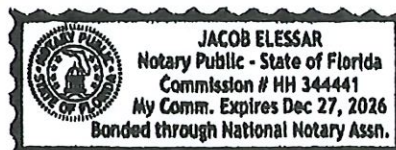
Printed Name of Authorized Officer or Agent

MANAGING DIRECTOR - FIXED INCOME


Jacob Eleasar

Title of Authorized Officer or Agent of Contractor

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 GwinnettCounty.com

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1. Stifel

Company Submitting Bid/Proposal

2. Please select one of the following:
- ☒ 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

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

Gwinnett County Elected Official Name

4. BY: 

Authorized Officer or Agent Signature

Demetri Patikas

Printed Name of Authorized Officer or Agent

Sworn to and subscribed before me this

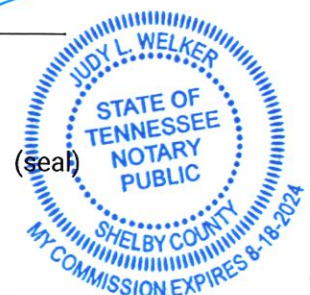
18 day of December, 2023

Managing Director

Title of Authorized Officer or Agent of Contractor



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 GwinnettCounty.com

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