

Name of Regulated Entity: Bartle Wells Associates

Report Period: First Quarter of 2019

### I. CONTRIBUTIONS made to officials of a municipal entity (list by state)

State Complete name, title

(including any

city/county/state or other political subdivision) of municipal entity official

Contributions by each contributor category (i.e., for purposes of this form, dealer, dealer controlled PAC, municipal finance professional, municipal finance professional controlled PAC, non-MFP executive officer, municipal advisor, municipal advisor controlled PAC, municipal advisor professional, municipal advisor professional controlled PAC, and non-MAP executive officer). For each contribution, list contribution amount and contributor category (disclose all applicable categories for each contributor). (For example, \$500 contribution by non-MFP executive officer)

If any contribution is the subject of an automatic exemption pursuant to Rule G-37(j), list amount of contribution and date

of such automatic exemption.

None

### II. PAYMENTS made to political parties of states or political subdivisions (list by state)

State Complete name (including

any city/county/state or other

political subdivision) of

political party

None

Payments by each contributor category



# III. CONTRIBUTIONS made to bond ballot campaigns (list by state)

### A. Contributions

State Official name of bond ballot

campaign and jurisdiction (including city/county/state or other political subdivision) for which municipal securities would be issued and the name of the entity issuing the municipal securities Contributions, including the specific date the contributions were made, by each contributor category

None

### **B.** Reimbursement for Contributions

List below any payments or reimbursements, related to any disclosed bond ballot contribution, received by each dealer, municipal finance professional, non-MFP executive officer, municipal advisor, municipal advisor professional, or non-MAP executive officer from any third party, including the amount paid and the name of the third party making such payments or reimbursements.

None



# IV. MUNICIPAL ENTITIES with which the regulated entity has engaged in municipal securities business or municipal advisory business (list by state)

## A. Municipal Securities Business

State Complete name of municipal Type of municipal securities business

entity and city/county (negotiated underwriting, private placement,

financial advisor, or remarketing agent)

None

#### **B.** Municipal Advisory Business

State Complete name of municipal Type of municipal advisory business (advice

entity and city/county or solicitation) (and in the case of municipal

advisory business engaged in by a municipal advisor third-party solicitor, the name of the third party on behalf of which business was solicited and the nature of the business solicited (municipal securities business, municipal advisory business or investment

advisory services))

CA Palm Ranch Irrigation Advice

District, Quartz Hill, Los

Angeles County

CA City of Foster City, City of Advice

Foster City, San Mateo

County

CA City of Morro Bay, City of Advice

Morro Bay, San Luis Obispo

County

CA City of Paramount, City of Advice

Paramount, Los Angeles

County

CA South San Luis Obispo County Advice

Sanitation District, City of Oceano, San Luis Obispo

County

CA City of Calistoga, City of Advice

Calistoga, Napa County

CO Castle Pines North Metro Advice

District, City of Castle Pines,

Douglas County

CA Sonoma County Water Advice

Agency, City of Santa Rosa,

Sonoma County

CA West Valley Sanitation Advice

District, Campbell, Santa

AK



### **B.** Municipal Advisory Business

State	Complete name of municipal	Type of municipal advisory business (advice
	entity and city/county	or solicitation) (and in the case of municipal
		advisory business engaged in by a municipal
		advisor third-party solicitor, the name of the

third party on behalf of which business was solicited and the nature of the business solicited (municipal securities business, municipal advisory business or investment

advisory services))

Clara County	
Clara County	

Fairbanks North Star Advice

Borough, City of Fairbanks, Fairbanks North Star

Borough

FL City of North Miami Beach, Advice

City of North Miami Beach,

Miami-Dade County

CA City of Menlo Park, Menlo Advice

Park, San Mateo County

CA West Valley Sanitation Advice

District, City of Campbell,

Santa Clara County

CA Joshua Basin Water District, Advice

Joshua Tree, San Bernardino

County

CA Madera County, City of Advice

Madera, Madera County

CA Riverdale Public Utility Advice

District, Riverdale, Fresno

County

### C. Ballot-Approved Offerings

Full name of the municipal entity and full issue description of any primary offering resulting from the bond ballot campaign to which each contributor category has made a contribution and the reportable date of selection on which the regulated entity was selected to engage in the municipal securities business or municipal advisory business.

Full Name of Municipal Entity Full Issue Description

Reportable Date of Selection

None



Signature: electronic Date: Apr 30, 2019

Name (must be officer of regulated entity): Alex Handlers

Address: 1889 Alcatraz Ave, Berkeley, CA 94703

**Phone:** 510-653-3399 x109

Submit to the Municipal Securities Rulemaking Board a completed form quarterly by due date (specified by the MSRB)