

FORM G-37



Name of Regulated Entity: *Sperry Capital Inc.*

Report Period: *Second 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 | Payments by each contributor category |
|-------|---|---------------------------------------|
|-------|---|---------------------------------------|

None

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 entity and city/county | Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent) |
|-------------|---|---|
| <i>None</i> | | |

B. Municipal Advisory Business

| State | Complete name of municipal entity and city/county | Type of municipal advisory business (advice 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 | <i>Transportation Authority of Marin, San Rafael, Marin</i> | <i>Advice</i> |
| AZ | <i>Arizona Department of Transportation, Phoenix, Maricopa</i> | <i>Advice</i> |
| CA | <i>ABAG Finance Authority for Non-Profits, San Francisco, San Francisco</i> | <i>Advice</i> |
| CA | <i>Central Contra Costa Sanitary District, Martinez, Contra Costa</i> | <i>Advice</i> |
| CA | <i>Santa Clara County Family Health Plan, San Jose, Santa Clara</i> | <i>Advice</i> |
| CA | <i>Los Angeles County Metropolitan Transportation Authority, Los Angeles, Los Angeles</i> | <i>Advice</i> |
| CA | <i>Town of Tiburon, Tiburon, Marin</i> | <i>Advice</i> |
| CA | <i>Zone 7 Water Agency, Livermore, Alameda</i> | <i>Advice</i> |
| CA | <i>City and County of San Francisco, San Francisco, San Francisco</i> | <i>Advice</i> |
| CA | <i>Advancing California Finance</i> | <i>Advice</i> |

B. Municipal Advisory Business

| State | Complete name of municipal entity and city/county | Type of municipal advisory business (advice 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 | Authority, San Francisco, San Francisco Orange County Transportation Authority, Orange, Orange | Advice |
| CA | Ross Valley Sanitary District, San Rafael, Marin | Advice |
| CA | Southern California Regional Rail Authority (Metrolink), Los Angeles, Los Angeles | Advice |
| CA | State of California Department of Transportation, Sacramento, Sacramento | Advice |
| CA | Transbay Joint Powers Authority, San Francisco, San Francisco | Advice |
| CA | Bay Area Toll Authority, San Francisco, San Francisco | Advice |
| CA | Marin Municipal Water District, Corte Madera, Marin | Advice |
| CA | California High Speed Rail Authority, Sacramento, Sacramento | Advice |
| CA | Bay Area Rapid Transit District, Oakland, Alameda | Advice |

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 | | |

FORM G-37



Signature: electronic

Date: *Aug 5, 2019*

Name (must be officer of regulated entity): *James Martling*

Address: *3 Harbor Drive, Sausalito, CA 94965*

Phone: *415-339-9201*

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