

Name of Regulated Entity: RBC Capital Markets, LLC

Report Period: First Quarter of 2022

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, 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	Payments by each contributor category
	any city/county/state or other	
	political subdivision) of	
	political party	

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)

State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
MT	Montana Board of Housing, State Authority	Negotiated underwriting
NC	North Carolina Housing Fin Agcy, State Authority	Negotiated underwriting
ND	North Dakota Hsg Fin Agcy, Burleigh	Negotiated underwriting
NJ	Wildwood City-New Jersey, Wildwood City, Cape May	Negotiated underwriting
NM	New Mexico Mortgage Fin Auth, Bernalillo	Negotiated underwriting
NM	New Mexico Finance Auth (NMFA), Santa Fe	Negotiated underwriting
NY	NYC Municipal Water Fin Auth, New York City, Kings	Negotiated underwriting
NY	NYC Transitional Finance Auth, New York City, Kings	Negotiated underwriting
NY	NYS Housing Fin-Mortgage Agcy, Kings	Negotiated underwriting
NY	New York City-New York, New York City, New York/Bronx/Kings	Negotiated underwriting
NY	NYC Housing Dev Corp, New York City, New York/Bronx/Kings	Negotiated underwriting
NY	NYS Dorm Authority, State Authority	Negotiated underwriting
NY	Triborough Bridge & Tunnel Auth, State Authority	Negotiated underwriting
ОН	Hamilton Co (Milford) EVSD, Clermont/Hamilton	Negotiated underwriting
ОН	Miami University, College or University	Negotiated underwriting
OH	Ohio, Franklin	Negotiated underwriting
ОН	Franklin Co (Dublin City) SD, Dublin, Franklin/Delaware/Union	Negotiated underwriting
ОН	Hamilton Co (Winton Woods) SD, Hamilton	Negotiated underwriting



State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
ОН	Miamisburg City-Ohio, Miamisburg, Montgomery	Negotiated underwriting
ОН	Stark Co (Lake) LSD, Stark/Portage	Negotiated underwriting
ОН	Ohio Higher Ed Fac Commission, State Authority	Negotiated underwriting
OK	Oklahoma Cap Imp Authority, State Authority	Negotiated underwriting
PA	Bucks Co (Neshaminy) SD, Bucks	Negotiated underwriting
PA	Delaware Valley Region Fin Auth, Bucks/Chester/Delaware	Negotiated underwriting
PA	Pennsylvania Housing Fin Agcy (PHFA), Dauphin	Negotiated underwriting
PA	Delaware Co (Chichester) SD, Delaware	Negotiated underwriting
PA	Pennsylvania St Pub Sch Bldg Auth, Franklin	Negotiated underwriting
PA	McKean Co-Pennsylvania, McKean	Negotiated underwriting
PA	Montgomery Co (Cheltenham) TSD, Montgomery	Negotiated underwriting
PA	Philadelphia Hosp & Hghr Ed Auth, Philadelphia	Negotiated underwriting
PA	Schuylkill Co (Blue Mountain) SD, Schuylkill	Negotiated underwriting
PA	Susquehanna Co (Forest City) RSD, Forest, Susquehanna/Wayne/Lackawa	Negotiated underwriting
RI	Rhode Island Hsg & Mtg Fin Corp, State Authority	Negotiated underwriting
TN	Tennessee Hsg Dev Agcy (THDA), Davidson	Negotiated underwriting
TX	Bastrop Co (Elgin) ISD, Bastrop/Travis/Lee	Negotiated underwriting
TX	Bee Co (Skidmore-Tynan) ISD, Bee	Negotiated underwriting
TX	San Antonio City-Texas, San Antonio, Bexar	Negotiated underwriting
TX	Brazoria Co MUD #29, Brazoria	Negotiated underwriting



State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
TX	Danbury Higher Ed Auth Inc, Brazoria	Negotiated underwriting
TX	Comal ISD, Comal	Negotiated underwriting
TX	Denton Co (Pilot Point) ISD, Denton	Negotiated underwriting
TX	Denton Co-Texas, Denton	Negotiated underwriting
TX	Denton Co (Northwest) ISD, Denton/Tarrant/Wise	Negotiated underwriting
TX	Fort Bend Co (Lamar) CISD, Fort Bend	Negotiated underwriting
TX	Fort Bend Co MUD #57, Fort Bend	Negotiated underwriting
TX	Harris Co (Tomball) ISD, Harris	Negotiated underwriting
TX	Harris Co MUD #105, Harris	Negotiated underwriting
TX	Hidalgo Co (Progreso) ISD, Hidalgo	Negotiated underwriting
TX	Pharr Economic Dev Corp, Hidalgo	Negotiated underwriting
TX	Lubbock Co (New Deal) ISD, Lubbock	Negotiated underwriting
TX	Montgomery Co (Conroe) ISD, Montgomery	Negotiated underwriting
TX	Moore Co (Dumas) ISD, Moore	Negotiated underwriting
TX	Potter Co (Bushland) ISD, Potter/Randall	Negotiated underwriting
TX	Rockwall ISD, Rockwall/Kaufman/Collin	Negotiated underwriting
TX	Arlington Higher Ed Fin Corp, Tarrant	Negotiated underwriting
TX	Tarrant Co (Arlington) ISD, Tarrant	Negotiated underwriting
TX	Tarrant Co (Azle) ISD, Tarrant	Negotiated underwriting
TX	Lower Colorado River Authority (LCRA), Travis	Negotiated underwriting
TX	Texas Dept of Hsg & Comm Affairs, Travis	Negotiated underwriting
TX	Van Zandt Co (Van) ISD, Van Zandt/Henderson /Smith	Negotiated underwriting
TX	Williamson Co (Liberty Hill)	Negotiated underwriting



State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
	ISD, Williamson	
UT	Utah Charter School Fin Auth, Salt Lake	Negotiated underwriting
WI	Wisconsin Public Finance Auth, Dane	Negotiated underwriting
WY	Wyoming Community Dev Authority, State Authority	Negotiated underwriting
AZ	Arizona Board of Regents, Maricopa	Financial advisor
NM	Santa Fe PSD, Santa Fe	Financial advisor
ОН	Ohio Housing Finance Agency (OHFA), Franklin	Financial advisor
PA	Lower Paxton Twp-Pennsylvania, Dauphin	Financial advisor
TX	Rockport City-Texas, Rockport, Aransas	Financial advisor
TX	Bexar Co (Harlandale) ISD, Bexar	Financial advisor
TX	Seadrift City-Texas, Seadrift, Calhoun	Financial advisor
TX	Dallas ISD, Dallas	Financial advisor
TX	DeWitt Co (Cuero) ISD, DeWitt	Financial advisor
TX	Katy Development Authority, Harris	Financial advisor
TX	Haskell Co (Paint Creek) ISD, Haskell	Financial advisor
TX	Kyle City-Texas, Kyle, Hays	Financial advisor
TX	Beaumont City-Texas, Beaumont, Jefferson	Financial advisor
TX	McLennan Co (Waco) ISD, McLennan	Financial advisor
TX	Travis Co (Austin) ISD, Travis	Financial advisor
TX	Victoria City-Texas, Victoria, Victoria	Financial advisor
ОН	Ohio, Franklin	Remarketing agent
IA	Iowa Finance Authority, State Authority	Remarketing agent
СО	Colorado Hsg & Fin Auth (CHFA), Denver	Remarketing agent
MN	Minnesota Housing Fin Agency, Ramsey	Remarketing agent



State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
FL	Alachua County Health Facilities Authority, Alachua	Private placement
СО	Park Creek Metropolitan District, Denver, City and County of Denver	Private placement
AK	Alaska Municipal Bond Bank, Juneau Boro	Negotiated underwriting
AZ	Arizona Industrial Dev Auth, Maricopa	Negotiated underwriting
AZ	Glendale City-Arizona, Glendale, Maricopa	Negotiated underwriting
AZ	Phoenix Industrial Dev Auth, Maricopa	Negotiated underwriting
AZ	Fort Mojave Mesa Fire Dt, Mohave	Negotiated underwriting
CA	Alameda Co (Newark) USD, Alameda	Negotiated underwriting
CA	California Statewide CDA (CSCDA), Contra Costa	Negotiated underwriting
CA	Humboldt Co (Fortuna) UESD, Humboldt	Negotiated underwriting
CA	Imperial USD, Imperial	Negotiated underwriting
CA	Los Angeles Co (Little Lake) SD, Los Angeles	Negotiated underwriting
CA	Marin Co (Reed) USD, Marin	Negotiated underwriting
CA	Ukiah Public Fin Auth, Mendocino	Negotiated underwriting
CA	Coast Community College Dt, Orange	Negotiated underwriting
CA	San Bernardino Co (Central) SD, San Bernardino	Negotiated underwriting
CA	San Francisco City/Co-California, San Francisco, San Francisco	Negotiated underwriting
CA	San Joaquin Co (Jefferson) SD, San Joaquin	Negotiated underwriting
CA	San Mateo Co (So San Francisco) USD, San Mateo	Negotiated underwriting
CA	Santa Barbara Co (Hope) ESD, Santa Barbara	Negotiated underwriting
CA	Sonoma Co (Windsor) USD, Sonoma	Negotiated underwriting



State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
CA	California, State	Negotiated underwriting
CA	California Health Facs Fin Auth, State Authority	Negotiated underwriting
СО	Adams-Weld (Brighton) SD #27J, Adams/Broomfield/Weld	Negotiated underwriting
СО	Baca Co (Walsh) SD #RE-1, Baca	Negotiated underwriting
СО	Colorado Hsg & Fin Auth (CHFA), Denver	Negotiated underwriting
СО	Denver City and Co SD #1, Denver, Denver	Negotiated underwriting
СО	USAFA Visitors Center Business Imp Dt, El Paso	Negotiated underwriting
СО	Grand Co (East Grand) SD #2, Grand	Negotiated underwriting
CO	Huerfano SD #RE-1, Huerfano	Negotiated underwriting
СО	Mesa Co (Valley) SD #51, Mesa	Negotiated underwriting
CT	Connecticut Housing & Fin Auth (CHFA), Hartford	Negotiated underwriting
CT	University of Connecticut, Tolland	Negotiated underwriting
DC	District of Columbia Wtr & Swr Au, State Authority	Negotiated underwriting
FL	Oakland Park City-Florida, Oakland Park City, Broward	Negotiated underwriting
FL	Collier Co Health Facs Authority, Collier	Negotiated underwriting
FL	Hillsborough Co Aviation Auth, Hillsborough	Negotiated underwriting
FL	Okaloosa Co School Board, Okaloosa	Negotiated underwriting
FL	Greater Orlando Aviation Auth, Orange/Osceola/Seminole/	Negotiated underwriting
FL	Florida Housing Finance Corp, State Authority	Negotiated underwriting
ΙΑ	Iowa Finance Authority, State Authority	Negotiated underwriting
IN	Indiana Finance Authority, Marion	Negotiated underwriting



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)
KY	Louisville-Jefferson Co Metro Gov, Louisville/Jefferson	Negotiated underwriting
MD	Maryland Stadium Authority, State Authority	Negotiated underwriting
ME	Maine State Housing Authority, State Authority	Negotiated underwriting
MN	Minnesota Muni Gas Agency, Hennepin	Negotiated underwriting
MN	Minnesota Housing Fin Agency, Ramsey	Negotiated underwriting
МО	Missouri Housing Dev Commission, State Authority	Negotiated underwriting

Services Improvement

· · · · · · · · ·	,	
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))
NM	Jemez Mountain Public Schools, City of Jemez Pueblo, Sandoval County	Advice
TX	Gateway Park Municipal Management District, City of El Campo, Wharton County	Advice
TX	City of Seadrift, City of Seadrift, Calhoun County	Advice
TX	College of the Mainland, City of Texas City, Galveston County	Advice
TX	La Villa Independent School District, City of La Villa, Hidalgo County	Advice
TX	City of Liberty, City of Liberty, Liberty County	Advice
FL	Lehigh Acres Municipal	Advice



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))
	District, City of Lehigh Acres, Lee County	
TX	City of Granite Shoals, City of Granite Shoals, Burnet County	Advice
TX	Sanger Independent School District, City of Sanger, Denton County	Advice
TX	Galveston County Municipal Utility District No 73, City of League City, Galveston County	Advice
NM	City of Albuquerque, City of Albuquerque, Bernalillo County	Advice
NM	Clovis Municipal School District, City of Clovis, Curry County	Advice
TX	North Green Municipal Utility District, City of Houston, Harris County	Advice
TX	Menard County, City of Menard, Menard County	Advice
TX	Pflugerville Community Development corporation, City of Pflugerville, Travis County	Advice
TX	Pharr-San Juan-Alamo Independent School District, City of Pharr, Hidalgo County	Advice
TX	Floresville Electric Light and Power System, City of Floresville, Wilson County	Advice
NM	Truth or Consequences School District, City of Truth or Consequences, Sierra County	Advice
TX	Bexar County Water Control and Improvement District No	Advice



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))
	10, City of Midcrown, Bexar County	
TX	Argyle Independent School District, City of Argyle, Denton County	Advice
TX	Port Arthur Independent School District, City of Port Arthur, Jefferson County	Advice
NM	Las Vegas City School District, City of Las Vegas, San Miguel County	Advice
ОН	Ohio Housing Finance Agency, City of Columbus, Franklin County	Advice
TX	Odessa Junior College District, City of Odessa, Ector County	Advice
TX	Harris County Water Control & Improvement District No. 114, City of Houston, Harris County	Advice
TX	Austin Independent School District, City of Austin, Travis County	Advice
FL	Hernando County, City of Brooksville, Hernando County	Advice
NM	City of Rio Rancho, City of Rio Rancho, Bernalillo County	Advice
NM	Lordsburg Municipal School District, City of Lordsburg, Hidalgo County	Advice
TX	Town of Fulton, City of Fulton, Aransas County	Advice
FL	City of Lakeland, City of Lakeland, Polk County	Advice
TX	Palestine Independent School District, City of Palestine,	Advice



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))
	Anderson County	
TX	Texas Woman's University, City of Denton, Denton County	Advice
TX	Galveston County Municipal Utility District No. 043, City of League City, Galveston County	Advice
TX	Harris County Improvement District No. 001, City of Houston, Harris County	Advice
TX	Wilson Independent School District, City of Wilson, Lynn County	Advice
NM	Cloudcroft Municipal School District, City of Cloudcroft, Otero County	Advice
NM	Pojoague Valley School District, City of Santa Fe, Santa Fe County	Advice
NM	City of Tucumcari, City of Tucumcari, Quay County	Advice
PA	County of Fayette, City of Uniontown, Fayette County	Advice
TX	McDade Independent School District, City of McDade, Bastrop County	Advice
TX	Port Arthur ISD, City of Port Arthur, Jefferson County	Advice
NM	Hagerman Municipal School District, City of Hagerman, Chaves County	Advice
TX	City of Windcrest, City of Windcrest, Bexar County	Advice
TX	Galveston County Municipal Utility District No. 072, City of Houston, Galveston County	Advice
NM	Santa Fe Public School	Advice



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))
	District, City of Santa Fe, Santa Fe County	
TX	City of Port Lavaca, City of Port Lavaca, Calhoun County	Advice
FL	City of Cape Coral, City of Cape Coral, Lee County	Advice
NM	<i>Melrose Municipal School</i> <i>District No 12, City of</i> <i>Melrose, County of Middlesex</i>	Advice
NM	Alamogordo Public Schools (Municipal School District No. 1), City of Alamogordo, Otero County	Advice
NM	Bloomfield School District No. 6, City of Broonfield, San Juan County	Advice
NM	City of Belen, City of Belen, Valencia County	Advice
TX	North Harris County Regional Water Authority, City of Houston, Harris County	Advice
TX	City of Beaumont, City of Beaumont, Jefferson County	Advice
NM	City of Las Vegas, City of Las Vegas, Sam Miguel County	Advice
PA	Commonwealth of Pennsylvania State System of Higher Education, City of Harrisburg, Cumberland County	Advice
TX	Cuero Independent School District, City of Cuero, DeWitt County	Advice
FL	City of Pensacola, City of Pensacola, Escambia County	Advice
NM	Los Alamos County, City of Los Alamos, Los Alamos County	Advice



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))
NM	Hatch Valley Public Schools, City of Hatch, Dana Ana County	Advice
TX	Dallas Independent School District, City of Dallas, Dallas County	Advice
TX	Towne Lake Management District, City of Houston, Harris County	Advice
TX	Port Neches Improvement District, City of Port Neches, Jefferson County	Advice
NM	Central Consolidated Schools, City of Shiprock, San Juan County	Advice
NM	Valencia County, City of Los Lunas, Valencia County	Advice
TX	River Plantation Municipal Utility District, City of Conroe, Montgomery County	Advice
NM	City of Bloomfield, City of Bloomfield, San Juan County	Advice
TX	Montgomery County Municipal Utility District No. 101, City of Houston, Montgomery County	Advice
TX	Liberty-Eylau Independent School District, City of Texarkana, Bowie County	Advice
TX	Mercedes Independent School District, Cit y of Mercedes, Hidalgo County	Advice
TX	Starr County, City of Rio Grande City, Starr County	Advice
NM	Gallup McKinley County School District, City of Gallup, McKinley County	Advice
TX	Lake Forest Utility District,	Advice



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))
	City of Houston, Harris County	
TX	City of Woodway, City of Woodway, McKennan County	Advice
TX	Waterwood Municipal Utility District No. 1, City of Houston, San Jacinto County	Advice
NM	Western New Mexico University, City of Silver City, Grant County	Advice
TX	Brazoria County Municipal Utility District No. 21, City of Houston, Brazoria County	Advice
TX	Harris County Municipal Utility District No. 286, City of Houston, Harris County	Advice
TX	Waco Independent School District, City of Waco, McLennan County	Advice
AZ	Coconino County, Coconino County	Advice
NM	City of Gallup Joint Utilities Department (Water), City of Gallup, McKinley County	Advice
NM	West Las Vegas School District, City of Las Vegas, San Miguel County	Advice
TX	Victoria County Navigation District, City of Victoria, Victoria County	Advice
TX	City of Waller, City of Waller, Waller County	Advice
TX	Harris County Municipal Utility District No. 502, City of Houston, Harris County	Advice
TX	Klein Independent School District, City of Klein, Harris County	Advice



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))
TX	Killeen Independent School District, City of Kileen, Bell & Coryell Counties	Advice
TX	Development Corporation of the City of Mercedes, City of Mercedes, Hidalgo County	Advice
NM	Santa Fe County, City of Sante Fe, Santa Fe County	Advice
TX	Fort Worth Independent School District, City of Fort Worth, Tarrant County	Advice
TX	Irving Independent School District, City of Irving, Dallas County	Advice
NM	New Mexico Military Institute, City of Roswell, Chaves County	Advice
TX	Howe Independent School District, City of Howe, Grayson County	Advice
NM	City of Las Cruces, City of Las Cruces, Dona Ana County	Advice
NM	Tucumcari Public Schools, City of Tucumcari, Quay County	Advice
TX	Harris County Municipal Utility District No. 261, City of Houston, Harris County	Advice
TX	Cape Royale Utility District, City of Coldspring, San Jacinto County	Advice
AZ	Arizona Department of Transportation/Arizona Transportation Board, State Agency	Advice
NM	City of Clovis, City of Clovis, Curry County	Advice
TX	Teague Independent School	Advice



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))
	District, Cityof Teague, Freestone County	
AZ	Arizona State University/ Arizona Board of Regents, State Agency	Advice
NM	Los Lunas Municipal Schools District, City of Los Lunas, Valencia County	Advice
TX	Highland Park Independent School District, City of Dallas, Dallas County	Advice
TX	City of Edna, City of Edna/, Jackson County	Advice
NM	Quay County, City of Tucumcari, Quay County	Advice
TX	Montgomery County Municipal Utility District No. 186, City of Houston, Montgomery County	Advice
NM	City of Roswell, City of Roswell, Chaves County	Advice
TX	City of Cameron, City of Cameron, Milam County	Advice
NM	Logan Municipal School District, City of Logan, Quay County	Advice
TX	Ingram Independent School District, City of Ingram, Kerr County	Advice
СО	State of Colorado Treasurers' Office (Issue Specific - ETRANS), City of Denver, State	Advice
NM	City of Gallup Utilities (Electric), City of Gallup, McKinley County	Advice
TX	City of Clute, City of Clute, Brazoria County	Advice



· · · · · · · · · · · · · · · · · · ·		
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))
TX	Kimberlin Ranch Municipal Utility District No. 2 of Grayson County, City of Houston, Grayson County	Advice
TX	Harris County Municipal Utility District No. 407, City of Houston, Harris County	Advice
TX	Harris County Municipal Utility District No. 500, City of Houston, Harris County	Advice
FL	City of Miami Beach, City of Miami Beach, Dade County	Advice
ΤΧ	Harris County Municpal Utility District No 578, City of Houston, Harris County	Advice
ΤΧ	Lake Travis Independent School District, City of Austin, Travis County	Advice
TX	Texas Public Fiannce Authority - Bullion Depository Facility, City of Austin, Travis COunty	Advice
ΤΧ	City of Morgan's Point, City of Morgan Point, Harris County	Advice
ΤΧ	Fort Bend County Municipal Utility District No 245, City of Houston, Fort Bend County	Advice
TX	Fort Bend County Municipal Utility District No. 046, Missouri City, Fort Bend County	Advice
TX	City of Daisetta, City of Daisetta, Liberty County	Advice
СО	Kinston Metropolitan District No 5, City of Loveland, Larimer County	Advice
NM	Vaughn Municipal School	Advice



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))
	District, City of Vaughn, Guadalupe County	
NM	Ruidoso Municipal Schools, City of Ruidoso, Lincoln County	Advice
TX	Harris County Municipal Utility District No. 503, City of Houston, Harris County	Advice
TX	Montgomery County Municipal Utility District No. 140, City of Houston, Montgomery County	Advice
TX	City of Victoria, City of Victoria, Vicotira County	Advice
NM	Gadsden Independent School District No. 16, City of Sunland Park, Dona Ana County	Advice
FL	Polk Regional Water Cooperative, City of Winter Haven, Polk County	Advice
TX	Nederland Independent School District, City of Nederland, Jefferson County	Advice
TX	City of Chandler, City of Chandler, Traylor/ Henderson/Henderson County	Advice
TX	Texas Public Finance Authority- Texas Windstorm Insurance Authority, City of Austin, Travis County	Advice
NM	Cobre Consolidated School District No. 2, City of Bayard, Grant County	Advice
FL	Fort Pierce Utilities Authority, Ciyt of Fort Pierce, St Lucie County	Advice



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))
ΤΧ	Harris County Water Control & Improvement District No. 133, City of Houston, Harris County	Advice
TX	Mission Redevelopment Authority, City of Mission, Hidalgo County	Advice
TX	Aransas County, City of Rockport, Aransas County	Advice
ΤΧ	Nacogdoches Independent School District, City of Nacogdoches, Nacogdoches County	Advice
NM	Moriarty Edgewood School District No 8, City of Moriarty, Torrance County	Advice
ΤΧ	La Salle Water Control and Improvement District No. 1A, City of Port Lavaca, La Salle County	Advice
TX	Tom Green County, City of San Angelo, Tom Green County	Advice
NM	Roosevelt County Special Hospital District, City of Portales, Roosevelt County	Advice
ΤΧ	Galveston County Municipal Utility District No. 044, City of League City, Galveston County	Advice
TX	City of Mission, City of Mission, Hidalgo County	Advice
FL	Polk County, City of Barlow, Polk County	Advice
NM	Quemado Independent School District No. 2, City of Quemado, Catron County	Advice
NM	Los Alamos School District,	Advice



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))
	City of Los Alamos, Los Alamos County	
СО	State of Colorado Treasurers' Office/ Pooled Master Contrast, City of Denver, State	Advice
NM	Dona Ana Branch Community College District, City of Las Cruces, Dona Ana County	Advice
TX	Tradition Municipal Utility District No. 1, City of Fort Worth, Denton County	Advice
TX	City of Lindale, City of Lindale, Smith County	Advice
FL	City of DeLand, City of Deland, Volusia County	Advice
NM	Cuba Independent School District, City of Cuba, Sandoval County	Advice
TX	Brazoria County Municipal Utility District No. 57, City of Houston, Brazoria County	Advice
WY	Carbon County Specific Purpose Tax Joint Powers Board, City of Rawlins, Carbon County	Advice
TX	Era ISD, City of Era, Cooke County	Advice
NM	Grants/ Cibola County School District No. 1, City of Grants, Cibola County	Advice
NM	City of Raton, City of Raton, Colfax County	Advice
NM	Eastern Sandoval County Arroyo Flood Control Authority, City of Bernalillo, Sandoval County	Advice
TX	Denison Independent School	Advice



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))
	District, City of Denison, Grayson County	
TX	Harris County Municipal Utility District No. 155, City of Houston, Harris County	Advice
NM	South Central Solid Waste Authority, City of Las Cruces, Dona Ana County	Advice
NM	City of Jal, City of Jal, Lee County	Advice
NM	Albuquerque Municipal School District No. 12 (aka Albuquerque Public Schools), City of Albuquerque, Bernallillo County	Advice
NM	Mora County, City of Mora, Mora County	Advice
TX	Kerr County, City of Kerrville, Kerr County	Advice
AZ	Pima County, Pima County	Advice
FL	City of Bonita Springs, City of Bonita Springs, Lee County	Advice
FL	City of Bradenton, City of Bradenton, Manatee County	Advice
NM	Roswell Independent School District, City of Roswell, Chaves County	Advice
NM	Village of Angel Fire, City of Angel Fire, Colfax County	Advice
TX	Katy Management District No. 1, City of Katy, Fort Bend County	Advice
TX	City of Katy, City of Katy, Harris/ Fort Bend/ Waller	Advice
TX	Scurry Rosser Independent School District, City of Scurry, Kaufman County	Advice



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))
TX	City of Elgin, City of Elgin, Travis County	Advice
TX	Nueces Canyon Consolidated Independent School District, City of Barksdale, Edwards County	Advice
TX	Paint Creek Independent School District, City of Haskell, Haskell County	Advice
NM	Wagon Mound Public Schools, City of Wagon Mound, Mora County	Advice
NM	Portales Municipal Schools, City of Portales, Roosevelt County	Advice
TX	Mexia Independent School District, City of Mexia, Limestone County	Advice
TX	Brazoria County Municipal Utility District No. 06, City of Houston, Brazoria County	Advice
TX	Lago Vista Independent School District, City of Lago Vista, Travis County	Advice
NM	Southern Sandoval County Arroyo Flood Control Authority, City of Rio Rancho, Sandoval County	Advice
TX	McAllen Independent School District, City of McAllen, Hidalgo County	Advice
СО	Kinston Metropolitan District No 2 (f/k/a No 1), City of Loveland, Larimer County	Advice
TX	Medina Independent School District, City of Medina, Bandera County	Advice
NM	Roosevelt County, City of	Advice



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))
	Portales, Roosevelt County	
AZ	University of Arizona/Arizona Board of Regents, State Agency	Advice
СО	City and County of Broomfield, Broomfield, Broomfield County	Advice
NM	Jemez Valley Public School District No. 31, City of Jemez Pueblo, Sandoval County	Advice
NM	Santa Fe Community College, City of Santa Fe, Santa Fe County	Advice
NM	Taos County, City of Taos, Taos County	Advice
NM	Bernalillo Public Schools District/ Municipal School District No.1, City of Bernalillo, Sandoval County	Advice
TX	City of Gonzales, City of Gonzales, Gonzales County	Advice
TX	La Porte Area Water Authority, City of la Porte, Harris County	Advice
TX	Liberty Community Development Corporation, City of Liberty, Liberty County	Advice
TX	Parker County Junior College -Legal Name (DBA Weatherford College), City of Weatherford, Parker County	Advice
TX	City of Pflugerville, City of Pflugerville, Travis County	Advice
FL	City of North Miami, City of North Miami, Miami Dade County	Advice
FL	City of Marathon, City of	Advice



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))
	Marathon, Monroe County	
NM	Central New Mexico Community College, City of Albuquerque, Bernalillo County/ Sandoval County	Advice
PA	Lower Paxton Township, City of Harrisburg, Dauphin County	Advice
TX	City of Garden Ridge, City of Garden Ridge, Comal County	Advice
TX	Paris Independent School District, City of Paris, Lamar County	Advice
NM	Rio Rancho Public Schools (No. 94), City of Rio Rancho, Sandoval County	Advice
NM	Farmington Municipal School District No. 5, City of Farmington, San Juan County	Advice
TX	Kimberlin Ranch Municipal Utility District No. 1 of Grayson County, City of Houston, Grayson County	Advice
TX	Port Neches Economic Development Corporation, City of Port Neches, Jefferson County	Advice
TX	Montgomery County Municipal Utility District No. 107, City of Houston, Montgomery County	Advice
NM	Village of Los Ranchos de Albuquerque, Village of Los Ranchos de Albuquerque, Bernalillo County	Advice
TX	City of Fairfield, City of Fairfield, Freestone County	Advice
TX	City of Goliad, City of Goliad,	Advice



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))
	Goliad County	
TX	City of Port Neches, City of Port Neches, Jefferson County	Advice
NM	Las Cruces Municipal/ Public School District No 2, City of Las Cruces, Dana Ana County	Advice
NM	Aztec Municipal School District No. 2, City of Aztec, San Juan County	Advice
TX	Brazoria County Municipal Utility District No. 56, City of Houston, Brazoria County	Advice
TX	Harris County Municipal Utility District No. 427, City of Houston, Harris County	Advice
NM	City of Santa Rosa, City of Santa Rosa, Guadalupe County	Advice
NM	Jal Public Schools, City of Jal, Lea County	Advice
TX	Harris-Waller Counties Municipal Utility District No. 2, City of Katy, Harris/ Waller County	Advice
TX	Hopkins County, City of Sulphur Springs, Hopkins County	Advice
TX	Menard County Water Control and Improvement District No.1, City of Menard, Menard County	Advice
NM	Texico Municpal School District, City of Texico, Curry County	Advice
ΤΧ	Calhoun County Navigation District//Industrial Development Authority, City of Port Lavaca, Calhoun	Advice



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))
	County	
TX	Galveston County Municipal Utility District No. 032, City of La Marque, Galveston County	Advice
TX	Hitchcock Independent School District, City of Hitchcock, Galveston County	Advice
TX	Texas Public Finance Authority-Texas Military Preparedness Commission, City of Austin, Travis County	Advice
NM	Carrizozo Municipal Schools, City of Carrizozo, Lincoln County	Advice
TX	McLennan Community College, City of Waco, McLennan County	Advice
СО	Metro Wastewater Reclamation District, City of Denver, Denver County	Advice
FL	City of Homestead, Homestead, Dade	Advice
NM	Tatum Municipal Schools, City of Tatum, Lea County	Advice
TX	Harlandale Independent School District, City of San Antonio, Bexar County	Advice
TX	Harris County Municipal Utility District No. 248, City of Houston, Harris County	Advice
TX	Harris County Water Control & Improvement District - Fondren Road, City of Houston, Harris County	Advice
TX	City of Kyle, City of Kyle, Hays County	Advice
TX	Brickston Municipal Utility	Advice



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))
	District, City of Elgin, Travis County	
NM	Town of Edgewood, City of Edgewood, Santa Fe County	Advice
NM	State of New Mexico-Administrative Office of the Court, City of Santa Fe, State Agency	Advice
TX	City of Arcola, City of Arcola, Fort Bend County	Advice
AZ	City of Tolleson, City of Tolleson, Maricopa County	Advice
FL	Islamorada, Village of Islands, City of Islamorda, Monroe County	Advice
NM	Deming Public School District, City of Deming, Luna County	Advice
TX	Smithville Independent School District, City of Smithville, Bastrop County	Advice
TX	County of Bexar, City of San Antonio, Bexar County	Advice
TX	Fort Bend County Municipal Utility District No. 119, City of Houston, Fort Bend County	Advice
TX	Stafford Municipal School District, City of Stafford, Fort Bend County	Advice
TX	Life School of Dallas, City of Dallas, Dallas County	Advice
TX	Trail of the Lakes Municipal Utility District, City of Houston, Harris County	Advice
NM	Albuquerque Metropolitan Arroyo Flood Control Authority, City of Albuquerque, Bernalillo	Advice



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))
	County	
TX	Fort Bend County Water Control and Improvement District No. 2, City of Stafford, Fort Bend County	Advice
TX	Harris County Municipal Utility District No. 158, City of Houston, Harris County	Advice
TX	Crandall Independnet School District, City of Crandall, Kaufman County	Advice
NM	Artesia Public School District, City of Artesia, Eddy County	Advice
FL	Ocean Highway & Port Authority, City of Fernandina Beach, Nassau County	Advice
NM	Belen Consolidated Schools, City of Belen, Valencia County	Advice
NM	San Juan County, City of Aztec, San Juan County	Advice
TX	Katy Development Authority, City of Katy, Harris County	Advice
TX	Crawford Independent School District, City of Crawford, McLennan County	Advice
TX	Lipan Independent School District, City of Lipan, Hood/ Erath/ Palo Pinto/ Parker County	Advice
TX	Kaufman Independent School District, City of Kuafman, Kaufman County	Advice
NM	Bernalillo County, City of Albuquerque, Bernalillo County	Advice
NM	Dexter Consolidated School District, City of Dexter,	Advice



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))
	Chaves County	
NM	Carlsbad Municipal School District, City of Carlsbad, Eddy County	Advice
NM	Guadalupe County, City of Santa Rosa, Guadalupe County	Advice
TX	Harris County Municipal Utility District No. 389, City of Houston, Harris County	Advice
TX	City of Leander, City of Leander, Travis County	Advice
TX	Victoria Housing Finance Corporation, City of Victoria, Victoria County	Advice
NM	Albuquerque Bernalillo County Water Utility Authority, City of Albuquerque, Bernalillo County	Advice
TX	Aransas County Navigation District No. 1, City of Rockport, Aransas County	Advice
TX	Fort Bend County Municipal Utility District No. 199, City of Katy, Fort Bend County	Advice
NM	Lovington Municipal School District No. 1, City of Lovington, Lea County	Advice
TX	Schleicher County Hospital District, City of Eldorado, Schleicher County	Advice
TX	City of Rockport, City of Rockport, Aransas County	Advice
TX	Palmer Independent School District, City of Palmer, Ellis County	Advice
TX	City of Kenedy, City of	Advice



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))
	Kenedy, Karnes County	
NM	City of Farmington, City of Farmington, San Juan County	Advice
TX	Harris County Municipal Utility District No. 501, City of Houston, Harris County	Advice
TX	Hearne Independent School District, City of Hearne, Bexar County	Advice
TX	Cinco Municipal Utility District No. 02, City of Katy, Fort Bend County	Advice
TX	Hays Consolidated Independent School District, City of Kyle, Hays/ Travis/ Caldwell Counties	Advice
TX	City of Marfa, City of Marfa, Presidio County	Advice
NM	New Mexico State University, City of Las Cruces, Dona Ana County	Advice
NM	San Juan College District, City of Farmington, San Juan County	Advice
TX	Bandera County, City of Bandera, Bandera County	Advice
TX	Lone Star College System, City of The Woodlands, Harris, Montgomery and San Jacinto Counties	Advice
NM	San Miguel County, City of Las Vegas, San Miguel County	Advice
NM	City of Moriarity, City of Moriarity, Torrance County	Advice
TX	Kimberlin Ranch Municipal Utility District No. 3 of Grayson County, City of	Advice



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))
	Houston, Grayson County	
TX	Montgomery County Municipal Utility District No. 100, City of Houston, Montgomery County	Advice
FL	Town of Jupiter Island, Town of Jupiter Island, Martin County	Advice
TX	City of Nixon, City of Nixon, Gonzales/Wilson Counties	Advice
TX	City of Stafford, City of Stafford, Harris/ Fort Bend	Advice
TX	City of Lubbock, City of Lubbock, Lubbock County	Advice
TX	Clovercreek Municipal Utility District, City of Magnolia, Montgomery County	Advice
TX	Rocketship Public Schools of Texas, City of Fort Worth, Tarrant County	Advice
NM	City of Gallup, City of Gallup, McKinley County	Advice
NM	Dora Consolidated Schools, City of Dora, Roosevelt County	Advice
TX	Calhoun Port Authority, City of Point Comfort, Calhoun County	Advice
TX	Woodcreek Reserve Municipal Utility District, City of Houston, Fort Bend County	Advice
TX	Richey Road Municipal Utility District, City of Houston, Harris County	Advice
TX	City of La Porte, City of La Porte, Harris County	Advice
TX	Medina Valley Independent School District, City of	Advice



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))
	Castroville, Medina County	
TX	Tom Green County Cultural Education Facilities Finace Corporation, City of San Angelo, Tom Green County	Advice
TX	Gillespie County, City of Fredericksburg, Gillespie County	Advice
TX	Harris County Municipal Utility District No. 118, City of Houston, Harris County	Advice
TX	Bland Independent School District, City of Merit, Hunt County	Advice
TX	Kaufman County MUD No. 10 -, City of Dallas, Kaufman County	Advice
NM	Eastern New Mexico Water Utility Authority, City of Clovis, Curry County	Advice
TX	Harris County Municipal Utility District No. 373, City of Houston, Harris County	Advice
FL	City of Pinellas Park, City of Pinellas Park, Pinellas County	Advice
TX	San Benito Consolidated Independent School District, City of San Benito, Cameron County	Advice
TX	City of New Boston, City of New Boston, Bowie County	Advice
TX	South Shore Harbour Municipal Utility District No. 007, City of Houston, Harris County	Advice
TX	Tyler Independent School District, City of Tyler, Smith	Advice



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))
	County	
NM	Lincoln County, City of Carrizozo, Lincoln County	Advice
TX	<i>City of Uhland, City of Uhland, Caldwell and Hays Counties</i>	Advice
TX	Little Elm Independent School District, City of Little Elm, Denton County	Advice

C. Ballot-Approved Offerings

Full name of the municipal entity and 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	Issue Description	Reportable Date of Selection
Milford Exempted Village School District	\$50,900,000 Board of Education of the Milford Exempted Village School District (Counties of Clermont and Hamilton, Ohio) School Improvement Unlimited Tax General Obligation Bonds, Series 2022 (Non-Bank Qualified)	10/05/2021
School District No. 1 in the City and County of Denver	\$345,000,000 School District No. 1, in the City and County of Denver and State of Colorado, General Obligation Bonds, Series 2022A	01/25/2022
Brighton School District No. 27J	\$272,915,000 School District 27J, Adams and Weld Counties and the City and County of Broomfield,	04/30/2021



C. Ballot-Approved Offerings

Full name of the municipal entity and 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	Issue Description	Reportable Date of Selection
	Colorado, General Obligation Bonds. Series 2022	
Mesa County Valley School District No. 51	\$95,040,000 Mesa County Valley School District No. 51 (Mesa County, Colorado) General Obligation Bonds, Series 2022	03/09/2021
East Grand School District No. 2	\$85,000,000 East Grand School District No. 2 (In Grand County, Colorado) General Obligation Bonds, Series 2022	07/29/2020
Coast Community College District	\$205,715,000 Coast Community College District (Orange County, California) 2022 General Obligation Refunding Bonds (Federally Taxable)	11/10/2021



Signature: electronicDate: Feb 23, 2023Name (must be officer of regulated entity): George HinchcliffAddress: 200 Vesey Street, New York, NY 10281Phone: 212-618-7583

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