

**Fort Bend County, TX  
Q20-061 Broker/Dealers**

<b>Company Name</b>	<b>Account Representative</b>	<b>Backup Representative</b>
Castle Oak Securities	Susan Schiefelbein	Scott Rider
Great Pacific	Garrett Ng	Chris Vinck
Landenburg Thalmann	Steve Neri	Derek Ogle
Mischler Financial	Dennis Kite	Annie Bonner
Multi-Bank Securities	Carol Mackoff	Ken Bruce
Rice Financial	Jared Fragin	James Rice

# CERTIFICATE OF INTERESTED PARTIES

FORM 1295

1 of 1

Complete Nos. 1 - 4 and 6 if there are interested parties.  
Complete Nos. 1, 2, 3, 5, and 6 if there are no interested parties.

**OFFICE USE ONLY  
CERTIFICATION OF FILING**

**Certificate Number:**  
2020-589343

**Date Filed:**  
02/18/2020

**Date Acknowledged:**  
07/14/2020

**1 Name of business entity filing form, and the city, state and country of the business entity's place of business.**

CastleOak Securities, LP  
New York, NY United States

**2 Name of governmental entity or state agency that is a party to the contract for which the form is being filed.**

Fort Bend County, Texas

**3 Provide the identification number used by the governmental entity or state agency to track or identify the contract, and provide a description of the services, goods, or other property to be provided under the contract.**

RFQ 20-061  
INVESTMENT BROKER/DEALER

4	Name of Interested Party	City, State, Country (place of business)	Nature of interest (check applicable)	
			Controlling	Intermediary
	CastleOak Management Holdings, LLC	NEW YORK, NY United States	X	
	CastleOak Management, LLC	NEWYORK, NY United States	X	

5 Check only if there is NO Interested Party.

**6 UNSWORN DECLARATION**

My name is \_\_\_\_\_, and my date of birth is \_\_\_\_\_.

My address is \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_.  
(street) (city) (state) (zip code) (country)

I declare under penalty of perjury that the foregoing is true and correct.

Executed in \_\_\_\_\_ County, State of \_\_\_\_\_, on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.  
(month) (year)

\_\_\_\_\_  
Signature of authorized agent of contracting business entity  
(Declarant)

# CERTIFICATE OF INTERESTED PARTIES

FORM 1295

1 of 1

Complete Nos. 1 - 4 and 6 if there are interested parties.  
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**OFFICE USE ONLY  
CERTIFICATION OF FILING**

**Certificate Number:**  
2020-591047

**Date Filed:**  
02/21/2020

**Date Acknowledged:**  
07/14/2020

**1 Name of business entity filing form, and the city, state and country of the business entity's place of business.**  
Great Pacific Securities  
Costa Mesa, CA United States

**2 Name of governmental entity or state agency that is a party to the contract for which the form is being filed.**  
Fort Bend County

**3 Provide the identification number used by the governmental entity or state agency to track or identify the contract, and provide a description of the services, goods, or other property to be provided under the contract.**  
RFQ 20-061  
Investment Broker/Dealer

4	Name of Interested Party	City, State, Country (place of business)	Nature of interest (check applicable)	
			Controlling	Intermediary
	Garrett, Ng / Great Pacific Securities	Costa Mesa, CA United States	X	

**5 Check only if there is NO Interested Party.**

**6 UNSWORN DECLARATION**

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(street) (city) (state) (zip code) (country)

I declare under penalty of perjury that the foregoing is true and correct.

Executed in \_\_\_\_\_ County, State of \_\_\_\_\_, on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.  
(month) (year)

\_\_\_\_\_  
Signature of authorized agent of contracting business entity  
(Declarant)

# CERTIFICATE OF INTERESTED PARTIES

FORM **1295**

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**OFFICE USE ONLY  
 CERTIFICATION OF FILING**

**1 Name of business entity filing form, and the city, state and country of the business entity's place of business.**  
 Ladenburg Thalmann & Co, Inc.  
 Irvine, CA United States

**Certificate Number:**  
 2020-588917

**Date Filed:**  
 02/17/2020

**2 Name of governmental entity or state agency that is a party to the contract for which the form is being filed.**  
 Fort Bend County

**Date Acknowledged:**  
 07/14/2020

**3 Provide the identification number used by the governmental entity or state agency to track or identify the contract, and provide a description of the services, goods, or other property to be provided under the contract.**  
 RFQ 20-061  
 Investment Broker/Dealer

4	Name of Interested Party	City, State, Country (place of business)	Nature of interest (check applicable)	
			Controlling	Intermediary

**5 Check only if there is NO Interested Party.**

**6 UNSWORN DECLARATION**

My name is \_\_\_\_\_, and my date of birth is \_\_\_\_\_.

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(street) (city) (state) (zip code) (country)

I declare under penalty of perjury that the foregoing is true and correct.

Executed in \_\_\_\_\_ County, State of \_\_\_\_\_, on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.  
(month) (year)

\_\_\_\_\_  
 Signature of authorized agent of contracting business entity  
 (Declarant)

# CERTIFICATE OF INTERESTED PARTIES

FORM **1295**

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**OFFICE USE ONLY  
 CERTIFICATION OF FILING**

**1 Name of business entity filing form, and the city, state and country of the business entity's place of business.**  
 Mischler Financial Group, Inc.  
 Dallas, TX United States

**Certificate Number:**  
 2020-588442

**Date Filed:**  
 02/14/2020

**2 Name of governmental entity or state agency that is a party to the contract for which the form is being filed.**  
 Fort Bend County

**Date Acknowledged:**  
 07/14/2020

**3 Provide the identification number used by the governmental entity or state agency to track or identify the contract, and provide a description of the services, goods, or other property to be provided under the contract.**  
 RFQ 20-061  
 Investment Broker/Dealer

4	Name of Interested Party	City, State, Country (place of business)	Nature of interest (check applicable)	
			Controlling	Intermediary

**5 Check only if there is NO Interested Party.**

**6 UNSWORN DECLARATION**

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(month) (year)

\_\_\_\_\_  
 Signature of authorized agent of contracting business entity  
 (Declarant)

# CERTIFICATE OF INTERESTED PARTIES

FORM 1295

1 of 1

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**OFFICE USE ONLY  
 CERTIFICATION OF FILING**

**Certificate Number:**  
 2020-583779

**Date Filed:**  
 02/03/2020

**Date Acknowledged:**  
 07/14/2020

**1 Name of business entity filing form, and the city, state and country of the business entity's place of business.**  
 Multi-Bank Securities, Inc.  
 Southfield, MI United States

**2 Name of governmental entity or state agency that is a party to the contract for which the form is being filed.**  
 Fort Bend County

**3 Provide the identification number used by the governmental entity or state agency to track or identify the contract, and provide a description of the services, goods, or other property to be provided under the contract.**  
 RFQ 20-061  
 Investment Broker-Dealer

4	Name of Interested Party	City, State, Country (place of business)	Nature of interest (check applicable)	
			Controlling	Intermediary
	Karsner, Michael	Fort Lauderdale, FL United States	X	
	Maccagnone, Jeffery	Southfield, MI United States	X	
	Maccagnone, David	Southfield, MI United States	X	
	Drews, Michael	Fort Lauderdale, FL United States	X	

**5 Check only if there is NO Interested Party.**

**6 UNSWORN DECLARATION**

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(month) (year)

\_\_\_\_\_  
 Signature of authorized agent of contracting business entity  
 (Declarant)

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**1 Name of business entity filing form, and the city, state and country of the business entity's place of business.**  
 Rice Securities, LLC  
 New York City, NY United States

**Certificate Number:**  
 2020-590315

**Date Filed:**  
 02/20/2020

**2 Name of governmental entity or state agency that is a party to the contract for which the form is being filed.**  
 Fort Bend County

**Date Acknowledged:**  
 07/14/2020

**3 Provide the identification number used by the governmental entity or state agency to track or identify the contract, and provide a description of the services, goods, or other property to be provided under the contract.**  
 RFQ 20-061  
 Broker-Dealer Services

4	Name of Interested Party	City, State, Country (place of business)	Nature of interest (check applicable)	
			Controlling	Intermediary

**5 Check only if there is NO Interested Party.**

**6 UNSWORN DECLARATION**

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(month) (year)

\_\_\_\_\_  
 Signature of authorized agent of contracting business entity  
 (Declarant)