

RFD 279  
Oct. 2013

# CONFLICT OF INTEREST QUESTIONNAIRE

## FORM CIQ

For vendor or other person doing business with local governmental entity

This questionnaire reflects changes made to the law by H.B. 1491, 80th Leg., Regular Session.

This questionnaire is being filed in accordance with Chapter 176, Local Government Code by a person who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the person meets requirements under Section 176.006(a).

By law this questionnaire must be filed with the records administrator of the local governmental entity not later than the 7th business day after the date the person becomes aware of facts that require the statement to be filed. See Section 176.006, Local Government Code.

A person commits an offense if the person knowingly violates Section 176.006, Local Government Code. An offense under this section is a Class C misdemeanor.

### OFFICE USE ONLY

Date Received

1 Name of person who has a business relationship with local governmental entity.

Great Pacific Securities

2  Check this box if you are filing an update to a previously filed questionnaire.

(The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)

3 Name of local government officer with whom filer has employment or business relationship.

Not applicable

Name of Officer

This section (item 3 including subparts A, B, C & D) must be completed for each officer with whom the filer has an employment or other business relationship as defined by Section 176.001(1-a), Local Government Code. Attach additional pages to this Form CIQ as necessary.

A. Is the local government officer named in this section receiving or likely to receive taxable income, other than investment income, from the filer of the questionnaire?

Yes  No

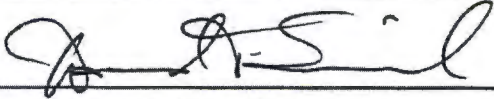
B. Is the filer of the questionnaire receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?

Yes  No

C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

Yes  No

D. Describe each employment or business relationship with the local government officer named in this section.

4   
Signature of person doing business with the governmental entity

10-18-13  
Date

CONFLICT OF INTEREST QUESTIONNAIRE

FORM CIQ

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OFFICE USE ONLY

Date Received

1 Name of person who has a business relationship with local governmental entity.

There is no conflict of interest between Lone Star College System and Multi-Bank Securities, Inc.

2 Check this box if you are filing an update to a previously filed questionnaire.

(The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)

3 Name of local government officer with whom filer has employment or business relationship.

Name of Officer

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A. Is the local government officer named in this section receiving or likely to receive taxable income, other than investment income, from the filer of the questionnaire?

Yes No

B. Is the filer of the questionnaire receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?

Yes No

C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

Yes No

D. Describe each employment or business relationship with the local government officer named in this section.

4 Signature of person doing business with the governmental entity

10/21/2013

Date

Wells Fargo Securities

RFA 279

**CONFLICT OF INTEREST QUESTIONNAIRE**

**FORM CIQ**

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**OFFICE USE ONLY**

Date Received

**1 Name of person who has a business relationship with local governmental entity.**

Teresa M. Yancey, Director/Wells Fargo Securities LLC

**2**  Check this box if you are filing an update to a previously filed questionnaire.

(The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)

**3 Name of local government officer with whom filer has employment or business relationship.**

\_\_\_\_\_  
Name of Officer

This section (item 3 including subparts A, B, C & D) must be completed for each officer with whom the filer has an employment or other business relationship as defined by Section 176.001(1-a), Local Government Code. Attach additional pages to this Form CIQ as necessary.

A. Is the local government officer named in this section receiving or likely to receive taxable income, other than investment income, from the filer of the questionnaire?

Yes       No

B. Is the filer of the questionnaire receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?

Yes       No

C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

Yes       No

D. Describe each employment or business relationship with the local government officer named in this section.

**4** Wells Fargo Securities, LLC, has no conflicts with any public official.

Teresa M. Yancey  
Signature of person doing business with the governmental entity

10/21/13  
Date

**CONFLICT OF INTEREST QUESTIONNAIRE**

**FORM CIQ**

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**OFFICE USE ONLY**

Date Received

1 Name of person who has a business relationship with local governmental entity.  
**Michael E. Swan**

2  Check this box if you are filing an update to a previously filed questionnaire.

(The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)

3 Name of local government officer with whom filer has employment or business relationship.

NONE - NOT APPLICABLE / NO RELATIONSHIP

Name of Officer

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Yes  No

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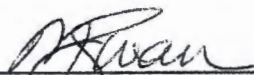
Yes  No

C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

Yes  No

D. Describe each employment or business relationship with the local government officer named in this section.

\*I do not have a business relationship with a government officer of the Lone Star College System.

4   
Signature of person doing business with the governmental entity

October 18, 2013  
Date

RFA 279

# CONFLICT OF INTEREST QUESTIONNAIRE

## FORM CIQ

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### OFFICE USE ONLY

Date Received

1 Name of person who has a business relationship with local governmental entity.

Great Pacific Securities

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3 Name of local government officer with whom filer has employment or business relationship.

Not applicable

Name of Officer

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Yes  No

B. Is the filer of the questionnaire receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?

Yes  No

C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

Yes  No

D. Describe each employment or business relationship with the local government officer named in this section.

4

Signature of person doing business with the governmental entity

10-18-13

Date

**CONFLICT OF INTEREST QUESTIONNAIRE**

**FORM CIQ**

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OFFICE USE ONLY	
Date Received	

1 Name of person who has a business relationship with local governmental entity.

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3 Name of local government officer with whom filer has employment or business relationship.

\_\_\_\_\_

Name of Officer

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A. Is the local government officer named in this section receiving or likely to receive taxable income, other than investment income, from the filer of the questionnaire?

Yes       No

B. Is the filer of the questionnaire receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?


Yes       No

C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

Yes       No

D. Describe each employment or business relationship with the local government officer named in this section.

4

  
 \_\_\_\_\_  
 Signature of person doing business with the governmental entity

\_\_\_\_\_  
 10/21/13  
 Date

CONFLICT OF INTEREST QUESTIONNAIRE

FORM CIQ

For vendor or other person doing business with local governmental entity

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1 Name of person who has a business relationship with local governmental entity.

Rice Securities, LLC d/b/a Rice Financial Products Company

2 Check this box if you are filing an update to a previously filed questionnaire.

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3 Name of local government officer with whom filer has employment or business relationship.

None. N/A
Name of Officer

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Yes No

B. Is the filer of the questionnaire receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer named in this section AND the taxable income is not received from the local governmental entity?

Yes No

C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

Yes No

D. Describe each employment or business relationship with the local government officer named in this section.

4 Carol L. Mackoff
Signature of person doing business with the governmental entity

10/16/13
Date

Piper JAFFRAY

RFO 279

**CONFLICT OF INTEREST QUESTIONNAIRE**

**FORM CIQ**

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OFFICE USE ONLY	
Date Received	

1 Name of person who has a business relationship with local governmental entity.

SCOTT M. WALTON

2  Check this box if you are filing an update to a previously filed questionnaire.

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3 Name of local government officer with whom filer has employment or business relationship.

N/A

Name of Officer

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Yes  No

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Yes  No

C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

Yes  No

D. Describe each employment or business relationship with the local government officer named in this section.

4 Scott M. Walton  
Signature of person doing business with the governmental entity

10-18-13  
Date



**CONFLICT OF INTEREST QUESTIONNAIRE**

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Date Received

**1** Name of person who has a business relationship with local governmental entity.

NONE

**2**  Check this box if you are filing an update to a previously filed questionnaire.

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Name of Officer

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Yes       No

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Yes       No

D. Describe each employment or business relationship with the local government officer named in this section.

**4**

\_\_\_\_\_  
Signature of person doing business with the governmental entity

\_\_\_\_\_  
Date

RFO 279

# CONFLICT OF INTEREST QUESTIONNAIRE

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Date Received

1 Name of person who has a business relationship with local governmental entity.

Coastal Securities, Inc.

2  Check this box if you are filing an update to a previously filed questionnaire.

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None  
Name of Officer

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Yes  No

C. Is the filer of this questionnaire employed by a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership of 10 percent or more?

Yes  No

D. Describe each employment or business relationship with the local government officer named in this section.

TS 10 A 53 OCT 13 2013

4 [Signature] E.V.P.  
Signature of person doing business with the governmental entity

10/16/13  
Date