

**SUPPLEMENTAL INFORMATION FOR FINANCE COMMITTEE
EEOC AND MINORITY PARTICIPATION AFFIDAVITS**

**AFFIDAVIT
DEBT OBLIGATION AND BROKERAGE TRANSACTIONS**

Name of Reporting Firm: Amalgamated Bank of Chicago

Description of Matter: City of Chicago Second Lien Wastewater Series 2024

Role of Reporting Firm: Trustee

This affidavit is submitted in conjunction with (check one):

a City of Chicago debt obligation transaction (Municipal Code Section 2-154-017)

brokerage services for the City Treasurer (Municipal Code Section 2-154-018)

Fill out below (and attach additional sheets using the same format, if necessary), the following information for each person in the Reporting Firm who will directly provide professional services to the City in connection with the Matter described above: the individual's position in the Reporting Firm and the role he or she will fill in the Matter, gender, and race or ethnicity. Individuals' names need not be disclosed.

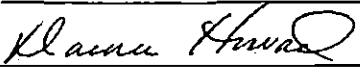
Individual #	Position and Role	Gender	Race/Ethnicity
1	VP/ Trust Administrator	M F	Black
2	Assistant Administrator	M F	Black
3	SVP/Trust Manager	M F	White
4	VP/Associate General Counsel	M F	White
		M F	

(If needed, please use additional sheets to identify additional personnel.)

By signing below, I represent under penalty of perjury that: (1) I am authorized to act on behalf of the Reporting Firm, and (2) the information in this Affidavit and associated attachment are true, complete, and correct.

By signing below, I understand and acknowledge, on behalf of the Reporting Firm, that failure to accurately and completely supply the information requested herein may result in a declaration of ineligibility to participate in future Matters for the City of Chicago.

Printed Name: Donna Howard

Signature: 

Title: Vice President

Date: November 28, 2023

**AFFIDAVIT
DEBT OBLIGATION AND BROKERAGE TRANSACTIONS**

Name of Reporting Firm: Baker Tilly Municipal Advisors, LLC

Description of Matter: Wastewater Revenue Refunding 2024

Role of Reporting Firm: Municipal Advisor

This affidavit is submitted in conjunction with (check one):

a City of Chicago debt obligation transaction (Municipal Code Section 2-154-017)

brokerage services for the City Treasurer (Municipal Code Section 2-154-018)

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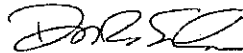
Individual #	Position and Role	Gender	Race/Ethnicity
1	David Erdman, Managing Director - Lead	<input checked="" type="radio"/> M <input type="radio"/> F	White
2	Brian Cooper, Partner – Pricing Lead	<input checked="" type="radio"/> M <input type="radio"/> F	White
3	Elizabeth Bergman, Partner – Credit Lead	<input type="radio"/> M <input checked="" type="radio"/> F	White
4	Andre Riley, Partner - Utilities	<input checked="" type="radio"/> M <input type="radio"/> F	Black or African American
5	Susan Reed, Managing Director – Disclosure	<input type="radio"/> M <input checked="" type="radio"/> F	White

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Printed Name: David Erdman



Signature: _____

Title: Managing Director

Date: 12/1/2023

Individual #	Position and Role	Gender	Race/Ethnicity
6	Brad Elmer, Managing Director - Advisor	Ⓜ F	White
7	Joshua Davis, Consultant, Quant Support	Ⓜ F	White
8	Tom Ricchiuto, Senior Manager – Quant.	Ⓜ F	White

AFFIDAVIT

DEBT OBLIGATION AND BROKERAGE TRANSACTIONS

Name of Reporting Firm: Blaylock Van, LLC

Description of Matter: The City of Chicago Wastewater Revenue Bonds Series 2024 Issuance

Role of Reporting Firm: Co-Managing Underwriter

This affidavit is submitted in conjunction with (check one):

a City of Chicago debt obligation transaction (Municipal Code Section 2-154-017)

brokerage services for the City Treasurer (Municipal Code Section 2-154-018)

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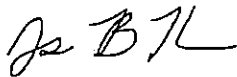
Individual #	Position and Role	Gender	Race/Ethnicity
1	Senior Vice President - Lead Banker	M	Asian American
2	President & CEO – Oversight	M	African American
3	Chief Compliance Officer – Regulatory Oversight	M	African American

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Printed Name: Jervis Hough



Signature: _____

Title: Chief Operating Officer / Chief Compliance Officer

Date: November 29th, 2023

Additional Sheet

Individual #	Position and Role	Gender	Race/Ethnicity
4	Head of Municipals – Oversight	M	African American
5	Senior Vice President, Lead Underwriter	M	White
6	Analyst, Analytical Support	M	African American
7	Analyst, Analytical Support	M	White

**AFFIDAVIT
DEBT OBLIGATION AND BROKERAGE TRANSACTIONS**

Name of Reporting Firm: Cabrera Capital Markets LLC

Description of Matter: 2024 Wastewater Bond Deal

Role of Reporting Firm: co-manager

This affidavit is submitted in conjunction with (check one):

a City of Chicago debt obligation transaction (Municipal Code Section 2-154-017)

brokerage services for the City Treasurer (Municipal Code Section 2-154-018)

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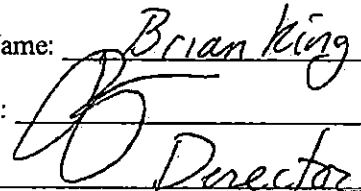
Individual #	Position and Role	Gender	Race/Ethnicity
1	Managing director / lead contact	<input checked="" type="radio"/> M <input type="radio"/> F	white
2	senior vice president / lead quant	<input checked="" type="radio"/> M <input type="radio"/> F	white
3	analyst / support	<input checked="" type="radio"/> M <input type="radio"/> F	white
4	analyst / support	<input checked="" type="radio"/> M <input type="radio"/> F	white
		M F	

(If needed, please use additional sheets to identify additional personnel.)

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Printed Name: Brian King

Signature: 

Title: Director

Date: 12/4/23

**AFFIDAVIT
DEBT OBLIGATION AND BROKERAGE TRANSACTIONS**

Name of Reporting Firm: Citigroup Global Markets Inc.

Description of Matter: City of Chicago Wastewater Transmission Revenue Bonds, Series 2024

Role of Reporting Firm: Co-Senior Manager

This affidavit is submitted in conjunction with (check one):

a City of Chicago debt obligation transaction (Municipal Code Section 2-154-017)

brokerage services for the City Treasurer (Municipal Code Section 2-154-018)

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Individual #	Position and Role	Gender	Race/Ethnicity
1	Managing Director, Head of Midwest Region; Lead Banker	M <u>F</u>	White
2	Vice President; Banking and Quantitative Support	<u>M</u> F	African American
3	Analyst; Banking and Quantitative Support	M <u>F</u>	Asian
4	Analyst; Banking and Quantitative Support	<u>M</u> F	Asian

(If needed, please use additional sheets to identify additional personnel.)

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Printed Name: Samantha Costanzo

Signature: 

Title: Managing Director, Head of Midwest Region

Date: December 1, 2023

**AFFIDAVIT
DEBT OBLIGATION AND BROKERAGE TRANSACTIONS**

Name of Reporting Firm: Estrada Hinojosa & Company, Inc.

Description of Matter: City of Chicago Wastewater 2024

Role of Reporting Firm: Co-Manager

This affidavit is submitted in conjunction with (check one):

a City of Chicago debt obligation transaction (Municipal Code Section 2-154-017)

brokerage services for the City Treasurer (Municipal Code Section 2-154-018)

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Individual #	Position and Role	Gender	Race/Ethnicity
2513906	Executive Vice President/Lead Banker	<input checked="" type="checkbox"/> M <input type="checkbox"/> F	Hispanic
2922708	Senior Mgr. Director/Project Supervision	<input type="checkbox"/> M <input checked="" type="checkbox"/> F	White
1432802	Senior Mgr. Director/Secondary Banker	<input checked="" type="checkbox"/> M <input type="checkbox"/> F	Black
865432	Senior Mgr. Director/Trading	<input checked="" type="checkbox"/> M <input type="checkbox"/> F	White
		<input type="checkbox"/> M <input type="checkbox"/> F	

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Printed Name: Fernando E. Grillo

Signature: _____

Title: Executive Vice President

Date: 11/30/2023

**AFFIDAVIT
DEBT OBLIGATION AND BROKERAGE TRANSACTIONS**

Name of Reporting Firm: Loop Capital Markets LLC

Description of Matter: City of Chicago Wastewater 2024 Transaction

Role of Reporting Firm: Senior Managing Underwriter

This affidavit is submitted in conjunction with (check one):

a City of Chicago debt obligation transaction (Municipal Code Section 2-154-017)

brokerage services for the City Treasurer (Municipal Code Section 2-154-018)

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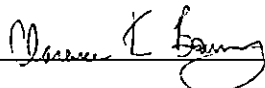
Individual #	Position and Role	Gender	Race/Ethnicity
1	Managing Director	M	African-American
2	Managing Director	M	Asian-American
3	Managing Director and Head of Long-Term Underwriting	M	Hispanic
4	Managing Director and Head of Municipal Sales	M	Caucasian
5	Managing Director	F	Caucasian
6	Senior Vice President	M	Caucasian
7	Vice President	F	Asian-American
8	Associate	M	African-American
9	Analyst	M	Hispanic

(If needed, please use additional sheets to identify additional personnel.)

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Printed Name: Clarence Bourne

Signature: 

Title: Managing Director

Date: November 28, 2023

**AFFIDAVIT
DEBT OBLIGATION AND BROKERAGE TRANSACTIONS**

Name of Reporting Firm: Melvin Securities, LLC

Description of Matter: Chicago WasteWater Bond Transaction

Role of Reporting Firm: Co-Manager

This affidavit is submitted in conjunction with (check one):

a City of Chicago debt obligation transaction (Municipal Code Section 2-154-017)

brokerage services for the City Treasurer (Municipal Code Section 2-154-018)

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Individual #	Position and Role	Gender	Race/Ethnicity
1	CEO/Lead Banker	Ⓜ F	white
2	Managing Director/Underwriter	Ⓜ F	white
3	Managing Director/Bond Sales	M Ⓟ	Black
4	Owner/Advisor	Ⓜ F	Black
		M F	

(If needed, please use additional sheets to identify additional personnel.)

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Printed Name: Nicholas Bryant

Signature: *Nicholas Bryant*

Title: CEO

Date: 12-1-2023

**AFFIDAVIT
DEBT OBLIGATION AND BROKERAGE TRANSACTIONS**

Name of Reporting Firm: The RST Group

Description of Matter: Wastewater Revenue Bonds

Role of Reporting Firm: Municipal Advisor

This affidavit is submitted in conjunction with (check one):

a City of Chicago debt obligation transaction (Municipal Code Section 2-154-017)

brokerage services for the City Treasurer (Municipal Code Section 2-154-018)

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Individual #	Position and Role	Gender	Race/Ethnicity
1	Lead Advisor	M <input type="radio"/> F <input type="radio"/>	Black
2	Managing Partner	M <input type="radio"/> F <input type="radio"/>	Black
3	Quantitative	M <input checked="" type="radio"/> F <input type="radio"/>	Black
		M F	
		M F	

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Printed Name: Pamela S. Hockley

Signature: 

Title: President & CEO

Date: 11/28/2023

**AFFIDAVIT
DEBT OBLIGATION AND BROKERAGE TRANSACTIONS**

Name of Reporting Firm: ArentFox Schiff LLP

Description of Matter: Wastewater Revenue Bonds

Role of Reporting Firm: Bond Counsel

This affidavit is submitted in conjunction with (check one):

a City of Chicago debt obligation transaction (Municipal Code Section 2-154-017)

brokerage services for the City Treasurer (Municipal Code Section 2-154-018)

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Individual #	Position and Role	Gender	Race/Ethnicity
1	Position: Partner; Role in Matter: Bond Counsel	M	White (not Hispanic or Latino)
2	Position: Associate; Role in Matter: Bond Counsel	M	Black or African American (not Hispanic or Latino)

(If needed, please use additional sheets to identify additional personnel.)

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Printed Name: Bruce P. Weisenthal

Signature: 

Title: Partner

Date: Oct. 19, 2023

**AFFIDAVIT
DEBT OBLIGATION AND BROKERAGE TRANSACTIONS**

Name of Reporting Firm: BURGHERGRAY LLP

Description of Matter: CITY OF CHICAGO WASTEWATER REVENUE BONDS

Role of Reporting Firm: CO-DISCLOSURE COUNSEL

This affidavit is submitted in conjunction with (check one):

a City of Chicago debt obligation transaction (Municipal Code Section 2-154-017)

brokerage services for the City Treasurer (Municipal Code Section 2-154-018)

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Individual #	Position and Role	Gender	Race/Ethnicity
1	PARTNER - BOND SERVICES	(M) F	CAUCASIAN
2	ASSOCIATE - BOND SERVICES	M (F)	AFRICAN-AMERICAN
		M F	
		M F	
		M F	

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Printed Name: CHARLES D KATZ

Signature: 

Title: PARTNER

Date: 10/17/2023

**AFFIDAVIT
DEBT OBLIGATION AND BROKERAGE TRANSACTIONS**

Name of Reporting Firm: Charity K. Associates, P.C.

Description of Matter: Wastewater Revenue Bonds

Role of Reporting Firm: Co-Disclosure Counsel

This affidavit is submitted in conjunction with (check one):

a City of Chicago debt obligation transaction (Municipal Code Section 2-154-017)

brokerage services for the City Treasurer (Municipal Code Section 2-154-018)

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Individual #	Position and Role	Gender	Race/Ethnicity
1	Managing Partner - Lead Attorney	<input checked="" type="radio"/> M <input type="radio"/> F	African American
		<input type="radio"/> M <input type="radio"/> F	
		<input type="radio"/> M <input type="radio"/> F	
		<input type="radio"/> M <input type="radio"/> F	
		<input type="radio"/> M <input type="radio"/> F	

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Printed Name: Alan M. Bell

Signature: 

Title: Managing Partner

Date: 10/21/2023

**AFFIDAVIT
DEBT OBLIGATION AND BROKERAGE TRANSACTIONS**

Name of Reporting Firm: Zuber Lawler LLP

Description of Matter: City of Chicago 2022 Omnibus Ordinance GO Project Series 2023/4

Role of Reporting Firm: Co-Disclosure Counsel

This affidavit is submitted in conjunction with (check one):

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brokerage services for the City Treasurer (Municipal Code Section 2-154-018)

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Individual #	Position and Role	Gender	Race/Ethnicity
1	Equity Partner, Supervisor	M <input type="checkbox"/> <input checked="" type="checkbox"/> F	African-American
2	Equity Partner, Co-Disclosure Counsel	<input checked="" type="checkbox"/> M <input type="checkbox"/> F	Caucasian
3	Partner, Co-Disclosure Counsel	<input checked="" type="checkbox"/> M <input type="checkbox"/> F	Caucasian
4	Counsel, Co-Disclosure Counsel	<input checked="" type="checkbox"/> M <input type="checkbox"/> F	Caucasian
5	Associate, Co-Disclosure Counsel	M <input type="checkbox"/> <input checked="" type="checkbox"/> F	Hispanic

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Printed Name: Eileen M. Letts

Signature: 

Title: Equity Partner

Date: 10-18-22