

CONFLICT OF INTEREST QUESTIONNAIRE

FORM CIQ

For vendor or other person doing business with local governmental entity

This questionnaire is being filed in accordance with chapter 176 of the Local Government Code by a person doing business with the governmental entity.

By law this questionnaire must be filed with the records administrator of the local government 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 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 doing business with local governmental entity.

First Southwest Company

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 September 1 of the year for which an activity described in Section 176.006(a), Local Government Code, is pending and not later than the 7th business day after the date the originally filed questionnaire becomes incomplete or inaccurate.)

3

Describe each affiliation or business relationship with an employee or contractor of the local governmental entity who makes recommendations to a local government officer of the local governmental entity with respect to expenditure of money.

None, other than through interactions related to First Southwest Company's ongoing role acting as financial advisor and/or swap advisor to Harris County, Texas.

**FILED FOR RECORD
8:00 AM**

JAN 20 2006

Benjamin A. Hightower
County Clerk, Harris County, Texas

4

Describe each affiliation or business relationship with a person who is a local government officer and who appoints or employs a local government officer of the local governmental entity that is the subject of this questionnaire.

None, other than through interactions related to First Southwest Company's ongoing role acting as financial advisor and/or swap advisor to Harris County, Texas.

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5 Name of local government officer with whom filer has affiliation or business relationship. (Complete this section only if the answer to A, B, or C is YES.)

This section, item 5 including subparts A, B, C & D, must be completed for each officer with whom the filer has affiliation or business relationship. 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 from the filer of the questionnaire?

☐ Yes

☐ No

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

☐ Yes

☐ No

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

☐ Yes


☐ No

D. Describe each affiliation or business relationship.

6 Describe any other affiliation or business relationship that might cause a conflict of interest.

None.

7 First Southwest Company

By: 

Signature of person doing business with the governmental entity

1/19/2006

Date

NO POUCH NEEDED. See back for peel and stick application instructions.

EXPRESS

52

FedEx USA Airbill Express

8452 8291 1266

1 From This portion can be removed for Recipient's records.

Date Sender's Name Company FIRST SOUTHWEST COMPANY Address 1021 MAIN ST STE 2200 City HOUSTON State TX Zip 77002-6605

2 Your Internal Billing Reference

3 To Recipient's Name Company Address To 78027 Atlanta, GA 30308 City Atlanta State GA Zip 30308

4 Express Package Service

5 Packaging

6 Special Handling

7 Payment Bill to

8 Release Signature

Total Packages Total Weight Total Charges

9 Release Signature

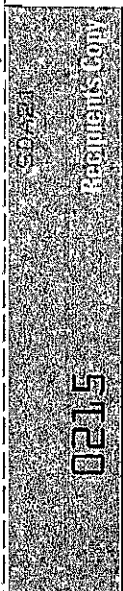
10 Release Signature

11 Release Signature

12 Release Signature

Align top of FedEx Shipping Label or ASIM Label here.

FedEx PRIORITY OVERNIGHT FRI
emp# 389862 19JAN06
TRK# 8452 8291 1266 FORM 0215
77002 -TX-US IAH 43 EIXA
Deliver By: 20JAN06 A1



4a Express Package Service

4b Express Freight Service

5 Packaging

6 Special Handling

7 Payment Bill to

8 Release Signature

Total Packages Total Weight Total Charges

9 Release Signature

10 Release Signature

11 Release Signature

12 Release Signature

13 Release Signature

14 Release Signature

15 Release Signature

16 Release Signature