

# CONFLICT OF INTEREST QUESTIONNAIRE

# FORM CIQ

## For vendor doing business with local governmental entity

This questionnaire reflects changes made to the law by H.B. 23, 84th Leg., Regular Session.

This questionnaire is being filed in accordance with Chapter 176, Local Government Code, by a vendor who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the vendor 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 vendor becomes aware of facts that require the statement to be filed. See Section 176.006(a-1), Local Government Code.

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

### OFFICE USE ONLY

Date Received

2016 SEP - 1 AM 9:49  
RECEIVED  
SAN ANTONIO  
CLERK

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

RBC Capital Markets, 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 on which you became aware that the originally filed questionnaire was incomplete or inaccurate.)

3 Name of local government officer about whom the information is being disclosed.

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

4 Describe each employment or other business relationship with the local government officer, or a family member of the officer, as described by Section 176.003(a)(2)(A). Also describe any family relationship with the local government officer. Complete subparts A and B for each employment or business relationship described. Attach additional pages to this Form CIQ as necessary.

A. Is the local government officer or a family member of the officer receiving or likely to receive taxable income, other than investment income, from the vendor?

Yes

No

See explanation to question 5 below

B. Is the vendor receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer or a family member of the officer AND the taxable income is not received from the local governmental entity?

Yes

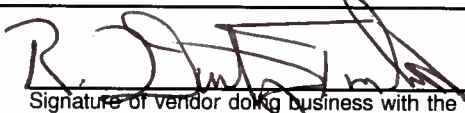
No

See explanation to question 5 below

5 Describe each employment or business relationship that the vendor named in Section 1 maintains with a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership interest of one percent or more.

RBC Capital Markets, LLC is a full service broker-dealer. From time to time, local government officers who are the subject of this questionnaire may have brokerage or investment advisor accounts with us. These accounts are governed by account agreements limiting disclosure of account information. Further, regulation applicable to our firm and privacy considerations prevent us from publicly disclosing the requested information with respect to these accounts.

6  Check this box if the vendor has given the local government officer or a family member of the officer one or more gifts as described in Section 176.003(a)(2)(B), excluding gifts described in Section 176.003(a-1).

7   
\_\_\_\_\_  
Signature of vendor doing business with the governmental entity

August 30, 2016

\_\_\_\_\_  
Date



**CONFLICT OF INTEREST QUESTIONNAIRE ADDENDUM FORM CIQ-A**  
**For vendor or other person doing business with local governmental entity**

This form is required in all instances where a CIQ form is required. Completed Forms shall be filed with the City Clerk no later than the 7th business day after the date the person/entity: (1) begins contract discussions or negotiations with the City; or (2) submits to the City an application, response to a request for proposal or bid, correspondence, or another writing related to a potential agreement with the City.

A CIQ and CIQ Addendum are required to be filed for **EACH** solicitation submitted, and are required to be submitted together.

**1 Name of person who has or is seeking to have a business relationship with the City of San Antonio.**

Robert Dustin Traylor

**2 Name of Company that has or is seeking to have a business relationship with the City of San Antonio.**

RBC Capital Markets, LLC

**2a Business Contact information for Company listed above.**

Business Address: 303 Pearl Parkway, Suite 220, San Antonio, Texas 78215

Phone: 210-805-1117

Email: robert.d.traylor@rbccm.com

**3 Bid Name or Description of Service**

Financial Underwriting Services - RFQ No 016-085

**4 Printed name of person doing business with the City of San Antonio (same as denoted on Box 7 of Form CIQ).**

Robert Dustin Traylor

Completed Conflict of Interest Questionnaires and Addenda should be mailed or hand-delivered separately from the solicitation (bid) to one of the following addresses:

Mailing Address: **Office of the City Clerk  
P.O. Box 839966  
San Antonio, TX 78283-3966**

Physical Address: **Office of the City Clerk  
City Hall, 2nd Floor  
100 Military Plaza  
San Antonio, TX 78205**

Print Form