



INVESTMENT SERVICES

Response to



**Responsible Banking Ordinance
Corporate Citizenship Statement Form**

Submitted: June 4, 2025

Alamo Capital
(877) 68.ALAMO
201 N. Civic Drive #180
Walnut Creek, CA 94596
Broker/Dealer Member FINRA, SIPC
Certified Women's Business Enterprise

**City of Los Angeles
Responsible Banking & Investment Monitoring Program
For Investment Banks**

Investment banks providing City investment banking services or seeking City investment banking business must complete and submit this form no later than July 1st of each year to the City Administrative Officer to comply with Chapter 5.1, Section 20.95.1 of the Los Angeles Administrative Code.

Contact Information:

Name of Financial Institution

Street Address

City

State

Zip Code

Contact Person Name and Title

Telephone No.

Email Address

SOCIAL RESPONSIBILITY

Please answer the following questions for the preceding calendar year.

1. Did your firm make monetary donations to charitable programs within the City limits?

Yes ___ No ___

If yes, please complete the attached form, labeled at Exhibit 1.

2. Did your firm provide any scholarship awards to residents of the City of Los Angeles?

Yes ___ No ___

- a. How many scholarships were awarded? _____
b. What was the total value of the awarded scholarships? _____

3. Does your firm have internal policies regarding utilization of subcontractors which are designated as "women owned," "minority owned," or "disabled" business enterprises? Yes ___ No ___

If yes, please provide a copy of your policies, labeled as Exhibit 2

CONSUMER PROTECTION

1. Is the financial institution currently in compliance with all applicable consumer financial protection laws?

Yes ___ No ___

If no, please briefly explain: _____

2. Does the financial institution have policies to prevent the use of illegal predatory consumer adverse sales goals as the bases for evaluation, promotion, discipline or compensation of employees?

Yes ___ No ___

If no, please briefly explain: _____

3. Does the financial institution encourage and maintain whistleblower protection policies for its employees and/or customers to report suspected illegal practices, including predatory sales goals?

Yes ___ No ___

If no, please briefly explain: _____

4. In the last five years, has the financial institution been subject to any disciplinary actions such as fines, suspensions, or settlements, undertaken by the Securities and Exchange Commission, the Consumer Financial Protection Bureau, the Municipal Securities Regulation Board, the Financial Industry Regulatory Agency and/or any State regulatory agency?

Yes ___ No ___

5. If the answer to question no. 4 is yes, please provide in separate attachment labeled Exhibit 3, what the violation(s) are, the reason for the enforcement action, what government agencies are involved, the date of the enforcement action, what is the current status, and how were or will the issues be resolved?

CERTIFICATION UNDER PENALTY OF PERJURY (*)

I certify under penalty of perjury that I have read and understand the questions contained in this form and the responses contained in the form and on all the attachments. I further certify that I have provided full and complete answers to each question, and that all information provided in response to this form is true and accurate to the best of my knowledge and belief.

Print Name	Title	Signature	Date
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Nancy Mullally

(*) Signature must be that of the Head of Public Finance or equivalent corporate executive.

PLEASE EMAIL THE COMPLETED FORM TO CAO.DEBT@LACITY.ORG.

Exhibit 1

Exhibit 2



Exhibit 2 - Woman Owned Business Enterprise Policy Statement

As a WBE and SBE, we strive to associate with and conduct business with other like entities. Our CEO/CFO Nancy Mullally also volunteers as an inspector for other businesses applying for WBE status, therefore she has direct and purposeful interactions with other like entities. In addition, our President, William Mullally, has also been designated as a Disabled Veteran, in recognition of his serving in the Army and spending time in Korea prior to serving in the Vietnam War.

Corporate Headquarters
201 N Civic Dr. #180,
Walnut Creek, CA 94596

Broker/Dealer
Member FINRA, SIPC
Clearing Through RBC C&C

WBE Certifications



**HEREBY GRANTS
WOMAN OWNED SMALL BUSINESS (WOSB) CERTIFICATION TO**

Alamo Capital

The identified small business is an eligible WOSB for the WOSB Program, as set forth in 13 C.F.R. part 127 and has been certified as such by an SBA approved Third Party Certifier pursuant to the Third Party Agreement, dated June 30, 2011, and available at www.sba.gov/wosb.

The WOSB Certification expires on the date herein unless there is a change to the SBA's regulation that makes the WOSB ineligible or there is a change in the WOSB that makes the WOSB ineligible. If either occurs, this WOSB Certification is immediately invalid. The WOSB must not misrepresent its certification status to any other party, including any local or State government or contracting official or the Federal government or any of its contracting officials.

Majority Female Owner: Nancy Mullally
NAICS: 523150, 523999 UNSPSC: 80141706, 84000000, 84121700, 84121703, 84121706, 84121800, 84131800
Certification Number: W010123
Renewal Date: December 31, 2024
WOSB Regulation Expiration Date: 12/31/2026



Janice Greene, PhD, Women's Business Enterprise Council - Pacific President & CEO

Pamela Prince-Easton, WBENC President & CEO

LaKesha White, Vice President, Certification



WWW.NWBOC.ORG

RNW25341

CERTIFICATION NUMBER

05/14/28

EXPIRATION DATE

ANNIVERSARY
NWBOC

Certifies that:

Alamo Capital

has successfully met the requirements of the NWBOC national certification program for certification as a woman-owned and woman-controlled business.

The identified business has qualified as an eligible Woman Business Enterprise (WBE) as set forth in NWBOC standards and procedures.

PHYLLIS HILL SLATER
Board Chair, NWBOC

523991, 523999

NAICS Code(s)

05/15/25

Date

WWW.NWBOC.ORG

INFO@NWBOC.ORG | 800-794-6140 | 401 HALL ST. SW, SUITE 112G GRAND RAPIDS, MI 49503

TAMPERING OR ALTERING THIS CERTIFICATE IS, IN THE DISCRETION OF NWBOC, GROUNDS FOR TERMINATION OF CERTIFICATION.

WBENC

WOMEN'S BUSINESS ENTERPRISE
NATIONAL COUNCIL

JOIN FORCES. SUCCEED TOGETHER.

hereby grants

National Women's Business Enterprise Certification

to

Alamo Capital

who has successfully met WBENC's standards as a Women's Business Enterprise (WBE).
This certification affirms the business is woman-owned, operated and controlled and is valid through the date herein.

WBENC National WBE Certification was processed and validated by Women's Business Enterprise Council - Pacific, a WBENC Regional Partner Organization.

Certification Granted: December 31, 2012
Expiration Date: December 31, 2025
WBENC National Certification Number: 2005124049

WBENCPACIFIC
WOMEN'S BUSINESS ENTERPRISE COUNCIL
JOIN FORCES. SUCCEED TOGETHER.

Authorized by Janice Greene, PhD, President &
CEO Women's Business Enterprise Council -
Pacific

NAICS: 523150, 523999
UNSPSC: 80141706, 84000000, 84121700, 84121703, 84121706, 84121800, 84131800





NEW YORK STATE MINORITY- AND WOMEN-OWNED BUSINESS ENTERPRISE ("MWBE") CERTIFICATION

Empire State Development's Division of Minority and Women's Business Development grants a
Women Business Enterprise (WBE)

pursuant to New York State Executive Law, Article 15-A to:

Alamo Capital

Certification Awarded on: February 29, 2024

Expiration Date: March 1, 2029

File ID#: 58075

