

|                                                                                                                                                                                                      |                |                                                                           |                                                                                             |                                                                                            |                                                                                            |                                                                           |                                                                                      |                                                                                   |                                                                                                  |                                                                           |                                                                                                     |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------|---------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|--------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
| <div>RFQ for BROKER DEALER SERVICES</div> <div>SMALL &lt; \$20 million</div> <div>(20-075; 6100012891)</div> <div>Score Summary</div> <div>FINAL EVALUATION</div> <div>Monday, August 25, 2020</div> | Maximum Points | Alamo Capital<br>201 N.Civic Drive<br>Suite 180<br>Walnut Creek, CA 94596 | American Veterans<br>Group, BBC<br>150 Broadhollow Road<br>Suite PH04<br>Melville, NY 11747 | Bancroft Capital, LLC<br>501 Office Center Drive<br>Suite 130<br>Fort Washington, PA 19034 | Cabrera Capital<br>Markets, LLC<br>10 S. LaSalle Street<br>Suite 1050<br>Chicago, IL 60603 | Castleoak Securities,<br>LP<br>110 East 59th Street<br>New York, NY 10022 | Great Pacific<br>Securities<br>151 Kalmus Drive<br>Suite H-8<br>Costa Mesa, CA 92626 | Loop Capital Markets,<br>LLC<br>111 W. Jackson<br>Suite 1901<br>Chicago, IL 60604 | Mischler Financial<br>Group, Inc.<br>1111 Bayside Drive<br>Suite 100<br>Corona del Mar, CA 92625 | Rice Securities, LLC<br>888 7th Avenue<br>6th Floor<br>New York, NY 10106 | SAMCO Capital<br>Markets, Inc.<br>6805 Capital of Texas<br>Highway<br>Suite 350<br>Austin, TX 78731 |
| A - Statement of Qualifications                                                                                                                                                                      | 30             | 24.00                                                                     | 13.00                                                                                       | 18.60                                                                                      | 22.40                                                                                      | 26.60                                                                     | 27.00                                                                                | 27.00                                                                             | 22.80                                                                                            | 22.00                                                                     | 21.80                                                                                               |
| B - Proposed Plan                                                                                                                                                                                    | 45             | 31.00                                                                     | 16.40                                                                                       | 29.20                                                                                      | 32.00                                                                                      | 37.20                                                                     | 34.20                                                                                | 34.40                                                                             | 35.20                                                                                            | 25.20                                                                     | 25.40                                                                                               |
| A - B Sub-Total                                                                                                                                                                                      | 75             | 55.00                                                                     | 29.40                                                                                       | 47.80                                                                                      | 54.40                                                                                      | 63.80                                                                     | 61.20                                                                                | 61.40                                                                             | 58.00                                                                                            | 47.20                                                                     | 47.20                                                                                               |
| C - Small Business Economic<br>Development Advocacy Program                                                                                                                                          | 10             | 0.00                                                                      | 0.00                                                                                        | 0.00                                                                                       | 0.00                                                                                       | 0.00                                                                      | 0.00                                                                                 | 0.00                                                                              | 0.00                                                                                             | 0.00                                                                      | 0.00                                                                                                |
| D - Local Preference Program                                                                                                                                                                         | 10             | 0.00                                                                      | 0.00                                                                                        | 0.00                                                                                       | 0.00                                                                                       | 0.00                                                                      | 0.00                                                                                 | 0.00                                                                              | 0.00                                                                                             | 0.00                                                                      | 0.00                                                                                                |
| E - Veteran-Owned Small Business<br>Preference Program                                                                                                                                               | 5              | 0.00                                                                      | 5.00                                                                                        | 5.00                                                                                       | 0.00                                                                                       | 0.00                                                                      | 0.00                                                                                 | 0.00                                                                              | 5.00                                                                                             | 0.00                                                                      | 0.00                                                                                                |
| TOTAL SCORE                                                                                                                                                                                          | 100            | 55.00                                                                     | 34.40                                                                                       | 52.80                                                                                      | 54.40                                                                                      | 63.80                                                                     | 61.20                                                                                | 61.40                                                                             | 63.00                                                                                            | 47.20                                                                     | 47.20                                                                                               |
| RANK BASED ON TOTAL SCORE                                                                                                                                                                            |                | 5                                                                         | 10                                                                                          | 7                                                                                          | 6                                                                                          | 1                                                                         | 4                                                                                    | 3                                                                                 | 2                                                                                                | 8                                                                         | 8                                                                                                   |

One evaluation meeting held with no interviews conducted.