

# WHARTON COUNTY, TEXAS INVESTMENT POLICY

## I. INVESTMENT AUTHORITY

This Investment Policy (the "Policy") is adopted by the Wharton County Commissioners Court as the governing body of Wharton County in accordance with Section 116.112(a), of the *Local Government Code*. The County Commissioners Court may direct the County Treasurer to invest; or the County Commissioners may appoint under Title X, Chapter 2256, Section 2256.005 (f) and (g) of the *Texas Government Code*, the Investment Officer who under the direction of the Wharton County Commissioners Court may invest the County funds that are not immediately required to pay obligations of Wharton County. The County Treasurer or Investment Officer will hereafter be referred as "County Investment Officer."

## II. PURPOSE

This policy with respect to Wharton County investments has been adopted to establish policies and procedures that enhance opportunities for the prudent and systematic investment of Wharton County funds. The initial step toward a prudent investment policy is to organize and formalize investment-related activities. Related activities include good cash management, accurate cash projection, the expeditious collection of revenue, the control of disbursements and cost-effective banking relations. In concert with these requirements are the many facets of an appropriate and secure short-term investment program. The funds of Wharton County shall be invested and secured in compliance with the various provisions of Texas law.

## III. SCOPE

It is intended that this policy cover all Wharton County funds and funds under the direct control of Wharton County. These funds include all governmental funds, proprietary and fiduciary funds, and are accounted for in the County Comprehensive Annual Financial Report. This investment policy applies to all transactions involving the financial assets and related activities of all the foregoing funds.

## IV. INVESTMENT OBJECTIVES

### IV.1. General Statement

Funds of the County will be invested in compliance with federal and state laws, this investment policy and written administrative procedures. The County will invest according to investment strategies for each group of funds as they are adopted by Commissioners Court resolution.

### IV.2. Safety and Maintenance of Adequate Liquidity

The County is concerned about the return of its principal; therefore, safety of principal is a primary objective in any investment transaction. The County's investment portfolio must be

structured in conformance with an asset/liability management plan that provides for liquidity necessary to pay obligations as they become due.

#### **IV.3. Diversification**

It will be the policy of the County to diversify its portfolio to eliminate the risk of loss resulting from a concentration of assets in a specific maturity, a specific issuer or a specific class of investments. Investments of the County shall always be selected to provide stability of income and reasonable liquidity.

#### **IV.4. Yield**

The yield objective of the County is to earn the maximum rate of return allowed on its investments within the policies imposed by safety and liquidity objectives, investment strategies for each group of funds and state and federal laws governing investment of public funds.

#### **IV.5. Maturity**

Portfolio maturities will be structured to meet the obligations of the County first and then to achieve the highest rate of return of interest. When the County has funds not required to meet current-year obligations, maturity restraints will be imposed based upon the investment strategy for group of funds. The maximum allowable stated maturity of any individual investment owned by the County is thirty six (36) months, with the exception of Certificates of Deposits (CD). Long term CDs will offer a higher interest rate, remain liquid and provide a higher yield that includes an early redemption penalty, than shorter term CDs.

#### **IV.6. Quality and Capability of Investment Management**

It is the County's policy to provide training as required by the Public Funds Act and periodic training in investments for the County Investment Officer or whomever is delegated the authority to place orders for investments and to perform all acts required to acquire, pay for, hold, sell, exchange, tender or collect investments, through courses and seminars offered by professional organizations and associations in order to ensure the quality, capability and currency of county investment decisions. The County Investment Officer shall be required to obtain Certified Investment Officer Certification through courses offered by the Texas Association of Counties and attend at least twenty (20) hours of investment training each year.

#### **IV.7. Method of Monitoring**

It is recommended that Wharton County use any price comparisons available to them. All investments, with the exception of certificates of deposits, must be purchased from institutions that have been approved by Commissioners Court to hold assets and investments of the County. Certificates of deposits may be purchased from institutions meeting the criteria of Section IX.1.6 of this policy.

## **V. INVESTMENT STRATEGY**

The investment strategy of the County is as follows:

1. Matching the suitability of investments to financial requirements;
2. Preservation and safety of principal;
3. Maintain required liquidity;
4. Marketability of the investment if need arises to liquidate;
5. Diversification of the portfolio;
6. Yield; and
7. Maturities controlled by the investment policy.

## **VI. INVESTMENT RESPONSIBILITY AND CONTROL**

### **VI.1. Investment Advisory Committee**

The Investment Advisory Committee reviews investment policies and procedures, investment strategies, and investment performances. Members of the Committee include: the County Attorney, Tax Assessor Collector, County Auditor, County Judge, County Treasurer and the Investment Officer if separate from the Treasurer. Members should have demonstrated knowledge and expertise in the area of finance, investments or cash management. The Committee chair shall be the County Treasurer who will schedule meetings annually, at a minimum, and when significant changes to current methods of investing are considered.

### **VI.2. Ethics and Conflicts of Interest**

The Investment Advisory Committee shall refrain from personal business activity that could conflict with proper execution of the investment program, or which could impair his/her ability to make impartial investment decisions. The Committee shall disclose to the Wharton County Commissioners Court any material financial interest in financial institutions that conduct business with Wharton County and any personal financial/investment positions that could be related to the performance of the County's portfolio.

### **VI.3. Liability of Investment Officer and Investment Advisory Committee**

The County Investment Officer and the Investment Advisory Committee are not responsible for any loss of County funds through the failure or negligence of the depository. This policy does not release the Investment Officer or any other person for a loss resulting from any act of official misconduct, or negligence, or for any misappropriation of such funds.

### **VI.4. Audit**

The County Commissioners Court will review the policy annually and, at a minimum, the County Auditor will insure an annual compliance audit of management controls on investments and adherence to established investments policies. The independent auditor will report the results of the audit to the County Commissioners Court after completion of the audit.

### **VI.5. Standard of Care**

Investments shall be made with judgment and care, under prevailing circumstances, that a person of prudence, discretion, and intelligence would exercise in the management of the person's own affairs, not for speculation, but for investment, considering the probable safety of capital and the probable income to be derived. Investment of funds shall be governed by the following investment objectives, in order of priority; preservation and safety of principal; liquidity; and yield.

In determining whether the investment officer has exercised prudence with respect to an investment decision, the determination shall be made, taking into consideration;

1. The investment of all funds, or funds under the County's control, over which the officer had responsibility rather than a consideration as to the prudence of a single investment; and
2. Whether the investment decision was consistent with the written investment policy of the County.

### **VI.6. Investment Institution Defined**

The County Investment Officer shall invest County funds with any and all of the institutions or groups consistent with federal and state regulations and approved by the Commissioners Court.

### **VI.7. Qualifications for Approval of Broker/Dealer**

The County Investment Officer shall present a written copy of this investment policy to any person offering to engage in an investment transaction with the County. The qualified representative of the business organization seeking to sell an authorized investment shall execute a written instrument, provided by the County, that the business organization has:

1. Received and thoroughly reviewed the investment policy of the County; and
2. Acknowledged that the organization has implemented reasonable procedures and controls in an effort to preclude imprudent investment activities arising out of investment transactions conducted between the County and the organizations; and
3. Adequate capital or insurance coverage to cover any investment if there is a default on any purchases and the business organization is found liable.

The Investment Officer may not buy any securities from a person who has not delivered to the County the instrument signed by the qualified representative.

Along with the signed affidavit, the business organization shall supply the County with the following:

1. Completed Broker/Dealer questionnaire
2. Completed Anti-Collusion Agreement

3. Executed PSA Master Repurchase Agreement (primary dealers only)
4. Audited Financial Statements (to be provided annually)
5. Delivery instructions
6. FINRA Certification Proof
7. Texas State Securities Commission Registration Proof
8. Original Proof of Insurance if it applies
9. Completed application for Investment Firms

#### **VI.8. Method of Soliciting and Selecting County Funds Investment Broker/Dealer**

The Investment Officer acting on the behalf of the Wharton County Commissioners Court shall comply with the solicitation and selection process for obtaining qualified Investment Broker/Dealers as follows:

1. County Commissioners Court, by order, grants an exemption to the formal competitive bid process as authorized by Section 262.024(a) (4) *Texas Local Government Code* for the purchase of a professional service – County Funds Investment Broker/Dealer.
2. The County Investment Officer, working in conjunction with the County Auditor, will develop the Statement of Qualification package that shall be approved by Commissioners Court.
3. County Commissioners Court authorizes the County Auditor to solicit Statements of Qualifications from Professional Investment Broker/Dealers.
4. County Investment Officer will facilitate the review of each Statement of Qualification package received with the investment advisory committee, and thereafter, The County Investment Officer will provide the Commissioners Court a list of qualified Professional Investment Broker/Dealers for consideration.

#### **VI.9. Standards of Operation**

The County Investment Officer shall develop and maintain written administrative procedures for the operation of the investment program set by the Commissioners Court of the County. The County Investment Officer shall determine the amount of cash available for payments by the County, invest the funds not required in the performance of that duty, and shall exercise good judgment and discretion to implement the policies herein set forth. The County Investment Officer shall be authorized to delegate to an employee the authority to place orders for such investments and to perform all acts required to acquire, pay for, hold, sell, exchange, tender or collect investments.

#### **VI.10. Delivery vs. Payment**

It will be the policy of the County that all investment securities shall be purchased using “Delivery vs. Payment” (DVP) method through the Federal Reserve System. By doing so, the County funds are not released until the County has received, through the Federal Reserve wire, the securities purchased.

## **VII. INVESTMENT REPORTING AND PERFORMANCE EVALUATION**

### **VII.1. Quarterly Report**

The County Investment Officer shall prepare and submit to Commissioners Court a written report of investment transactions for all funds for the preceding reporting period within a reasonable period time after the period. The report must:

1. Describe in detail the investment position of the County on the date of the report
2. Be signed by the Investment Officer of the County
3. Contain a summary statement of each pooled fund group that states the:
  - a. Beginning market value for the reporting period
  - b. Additions and changes to the market value during the period and
  - c. Ending market value for the period
4. State the market value of each separately invested asset by type of asset and fund type invested
5. State the maturity date of each separately invested asset that has a maturity date
6. State the account or fund or pooled group fund in the County for which each individual investment was required.
7. Provide detail of the investments/securities held by the investment pool, as provided by the pool
8. List the purchase date and original principal of each County or entity investment.

### **VII.2. Notification of Investment Changes**

It shall be the duty of the County Investment Officer to notify the Investment Committee of any significant changes in current investment methods and procedures prior to their implementation followed by informing the Commissioners Court at the first opportunity.

## **VIII. INVESTMENT COLLATERAL AND SAFEKEEPING**

### **VIII.1. Collateral or Insurance**

The County Investment Officer shall ensure that all County funds are fully collateralized or insured consistent with federal and state regulations and the current Bank Depository Contract in one or more of the following manners to the extent possible:

1. FDIC insurance coverage
2. United States Agency obligations
3. United States Treasury obligations

### **VIII.2. Safekeeping**

All purchased securities shall be held in safekeeping by the County, or a County account in a third party financial institution, or with the Federal Reserve Bank or with the Federal Home Loan Bank.

Traditional certificates of deposit, insured by the FDIC, purchased outside the County depository bank, shall be held in safekeeping by the County. Certificates of deposit purchased through a broker, which allows a large amount of cash to be invested with FDIC coverage, will be reported on an investment statement.

All pledged securities by the County Depository Bank should be held in safekeeping with the Federal Reserve Bank or the Federal Home Loan Bank.

## **IX. INVESTMENT TYPES**

### **IX.1. Authorized**

The County Investment Officer shall use any or all of the following authorized investment instruments consistent with Title X, Chapter 2256, and Texas Government Code:

1. Obligations of the United States or its agencies and instrumentalities
2. Direct obligations of this state or its agencies and instrumentalities
3. No-load money market mutual funds;
  - a. Regulated by the SEC
  - b. Has a dollar-weighted average state maturity of 90 days or less
  - c. Includes in its investment objectives the maintenance of a stable \$1.00 net asset value per each share
  - d. Has supplied the County with a prospectus and other information required by the Securities Exchange Act of 1934 or the Investment Company Act of 1940
4. Other obligations, the principal and interest of which are unconditionally guaranteed or insured by, or backed by the full faith and credit of, this state or the United States or their respective agencies or instrumentalities
5. Obligations of states, agencies, counties, cities, and other political subdivisions of any state rated as to investment quality by a nationally recognized investment firm not less than A or its equivalent
6. Certificates of deposit if issued by a state or national bank domiciled in Texas or purchased from a broker who has an office in Texas and is:
  - a. Guaranteed or insured by the Federal Deposit Insurance Corporation or its successor
  - b. Secured in any other manner and amount provided by law for deposits of the County
7. A fully collateralized repurchase agreement, if it:
  - a. Has a defined termination date
  - b. Is secured by obligations described by Section 2256.009(a)(1) of the Public Funds Investment Act
  - c. Requires the securities being purchased by the county to be pledged to the county, held in the county's name, and deposited at the time the investment is made with the county, or with a third party selected and approved by the county
  - d. Is placed through primary government securities dealer, approved by the county, or a financial institution doing business in this state
8. Commercial paper is an authorized investment, if the commercial paper:
  - a. Has a stated maturity of 270 days or fewer from the date of its issuance

- b. Is rated not less than A-1 or P-1 or an equivalent rating by at least:
  1. Two nationally recognized credit rating agencies
  2. One nationally recognized credit rating agency and is fully secured by an irrevocable letter of credit issued by a bank organized and existing under the laws of the United States or any state
9. Eligible investment pools if the County Commissioners Court by resolution authorizes investment in the particular pool. An investment pool shall invest the funds it receives from entities in authorized investments permitted by the Public Funds Investment Act. The County by contract may delegate to an investment pool the authority to hold legal title as custodian of investments purchased with its local funds.
10. Obligations acquired under Chapter 2256, Government Code, before the effective date of H.B. 2459 will be managed by the County Investment Officer until such securities are liquidated or mature.

## **X. NON-COUNTY FUNDS**

The Tax Assessor/Collector, County Clerk and District Clerk funds fall into this category. These funds are not considered funds that belong to the County but could be considered a liability for the County. All funds in the custody of the Tax Assessor/Collector shall be invested in compliance with Title X, Chapter 2256, *Texas Government Code*. County Clerk and District Clerk funds will be invested in accordance with Section 117.053(c) of *the Local Government Code*.

### **X.1. Tax Assessor/Collector**

County funds are invested to enhance investment return for the County before the County receipts the funds. State funds in the custody of the Tax Assessor/Collector may be invested before remitting to the State.

### **X.2. County Clerk Registry Funds**

County Clerk Registry funds are received by court order from Commissioners Court or County Courts. Registry funds may also be received without court order. These funds must be deposited in the County depository, then invested. A court order is required from the County Courts prior to disbursement of the funds.

### **X.3. District Clerk Registry Funds**

District Clerk Registry funds are received by court order from the District Courts. These funds must be deposited in the County depository and then invested according to the court orders. A court order is required from the District Courts prior to the disbursement of funds.



“Exhibit A”

Investment Committee Approval

  
Audrey Searce, County Treasurer

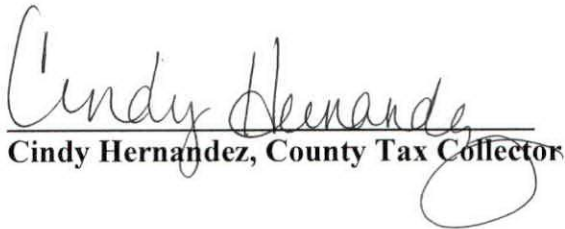
11/18/2024  
Date

  
Phillip Spennath, County Judge

November 18, 2024  
Date

  
G.A. Maffett, County Attorney

November 20, 2024  
Date

  
Cindy Hernandez, County Tax Collector

November 18, 2024  
Date

  
Barbara Starling, County Auditor

11/19/2024  
Date

**“Exhibit B”**

**APPROVED FINANCIAL BROKER/DEALERS**

**Prosperity Bank**

**P.O. Box G**

**El Campo, TX 77437**

**Funds Management Group, Inc**

**2726 Bissonnet St. #240-613**

**Houston, TX 77055**

**First Southwest Asset Management, Inc.**

**Texstar**

**325 North St Paul Street, Suite 800**

**Dallas, TX 75201**

**UBS Financial Services, Inc.**

**10001 Woodlock Forest Dr,**

**Suite 100**

**The Woodlands, TX 77380**

**Wells Fargo Securities, LLC**

**1000 Louisiana Street, Suite 600**

**Houston, TX 77002**

**Prosperity Private Investments**

**Raymond James & Associates, Inc.**

**300 N. Mechanic**

**El Campo, TX 77437**

**Multi Bank Securities**

**2400 E. Commercial, Suite 812**

**Fort Lauderdale, FL 33308**

**Hilltop Securities Independent**

**Network, Inc / TexStar**

**1800 St. James Place, #210**

**Houston, TX 77056**

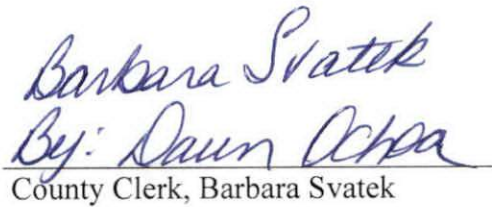
**ORDER APPROVING THE WHARTON COUNTY INVESTMENT POLICY**


Upon motion of Commissioner Zahn, seconded by Commissioner Mathews, and unanimously adopted, the following Investment Policy be and the same are hereby approved, received and order filed:

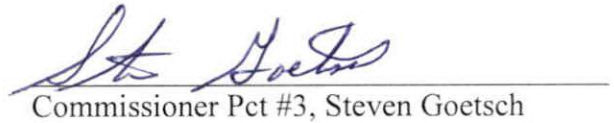
ORDERED this 25 day of November, 2024.

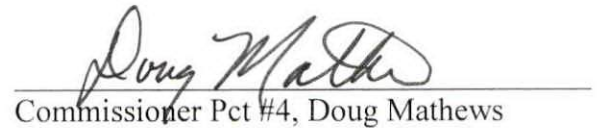
  
County Judge, Phillip Sperrath

  
Commissioner Pct #1, Richard Zahn

  
County Clerk, Barbara Svatek

  
Commissioner Pct #2, Bud Graves

  
Commissioner Pct #3, Steven Goetsch

  
Commissioner Pct #4, Doug Mathews



# LOCAL GOVERNMENT OFFICER CONFLICTS DISCLOSURE STATEMENT

## FORM CIS

(Instructions for completing and filing this form are provided on the next page.)

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

This is the notice to the appropriate local governmental entity that the following local government officer has become aware of facts that require the officer to file this statement in accordance with Chapter 176, Local Government Code.

### OFFICE USE ONLY

Date Received

**1 Name of Local Government Officer**

Audrey Searce

**2 Office Held**

County Treasurer

**3 Name of vendor described by Sections 176.001(7) and 176.003(a), Local Government Code**

Prosperity Bank, Depositor and All Approved Broker/Dealers

**4 Description of the nature and extent of each employment or other business relationship and each family relationship with vendor named in item 3.**

None

**5 List gifts accepted by the local government officer and any family member, if aggregate value of the gifts accepted from vendor named in item 3 exceeds \$100 during the 12-month period described by Section 176.003(a)(2)(B).**

Date Gift Accepted \_\_\_\_\_ Description of Gift \_\_\_\_\_

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Date Gift Accepted \_\_\_\_\_ Description of Gift \_\_\_\_\_

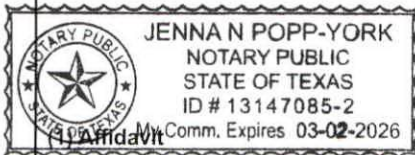
(attach additional forms as necessary)

**6 SIGNATURE**

I swear under penalty of perjury that the above statement is true and correct. I acknowledge that the disclosure applies to each family member (as defined by Section 176.001(2), Local Government Code) of this local government officer. I also acknowledge that this statement covers the 12-month period described by Section 176.003(a)(2)(B), Local Government Code.



Signature of Local Government Officer



Please complete either option below:

NOTARY STAMP / SEAL

Sworn to and subscribed before me by Audrey Searce this the 18<sup>th</sup> day of November, 2024, to certify which, witness my hand and seal of office.

Jenna Popp-York  
Signature of officer administering oath

Jenna Popp-York  
Printed name of officer administering oath

Notary Public  
Title of officer administering oath

OR

**(2) Unsworn Declaration**

My name is \_\_\_\_\_, and my date of birth is \_\_\_\_\_.

My address is \_\_\_\_\_ (street) \_\_\_\_\_ (city) \_\_\_\_\_ (state) \_\_\_\_\_ (zip code) \_\_\_\_\_ (country)

Executed in \_\_\_\_\_ County, State of \_\_\_\_\_, on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ (month) \_\_\_\_\_ (year)

Signature of Local Government Officer (Declarant)

# LOCAL GOVERNMENT OFFICER CONFLICTS DISCLOSURE STATEMENT

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### OFFICE USE ONLY

Date Received

**1 Name of Local Government Officer**

Phillip S. Spenrath

**2 Office Held**

County Judge

**3 Name of vendor described by Sections 176.001(7) and 176.003(a), Local Government Code**

Prosperity Bank, Depositor and All Approved Broker/Dealers

**4 Description of the nature and extent of each employment or other business relationship and each family relationship with vendor named in item 3.**

None

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Date Gift Accepted \_\_\_\_\_ Description of Gift \_\_\_\_\_

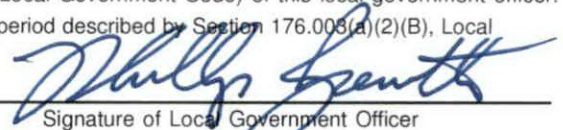
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(attach additional forms as necessary)

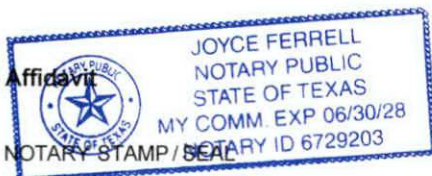
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I swear under penalty of perjury that the above statement is true and correct. I acknowledge that the disclosure applies to each family member (as defined by Section 176.001(2), Local Government Code) of this local government officer. I also acknowledge that this statement covers the 12-month period described by Section 176.003(a)(2)(B), Local Government Code.

  
Signature of Local Government Officer

Please complete either option below:

(1) Affidavit



Sworn to and subscribed before me by Phillip S. Spenrath this the 18th day of November, 2024, to certify which, witness my hand and seal of office.

 Joyce Ferrell Notary Public  
Signature of officer administering oath Printed name of officer administering oath Title of officer administering oath

OR

**(2) Unsworn Declaration**

My name is \_\_\_\_\_, and my date of birth is \_\_\_\_\_.

My address is \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_.  
(street) (city) (state) (zip code) (country)

Executed in \_\_\_\_\_ County, State of \_\_\_\_\_, on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.  
(month) (year)

Signature of Local Government Officer (Declarant)

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### OFFICE USE ONLY

Date Received

**1 Name of Local Government Officer**

G.A. Maffett, III

**2 Office Held**

COUNTY ATTORNEY

**3 Name of vendor described by Sections 176.001(7) and 176.003(a), Local Government Code**

Prosperity Bank, Depositor and All Approved Broker/Dealers

**4 Description of the nature and extent of each employment or other business relationship and each family relationship with vendor named in item 3.**

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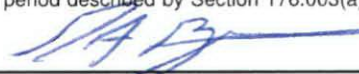
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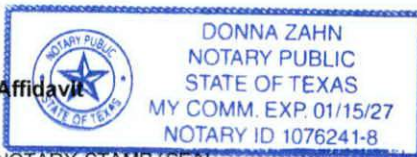
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Signature of Local Government Officer



(1) Affidavit

Please complete either option below:

Sworn to and subscribed before me by G.A. Maffett, III this the 20<sup>th</sup> day of November,

2024, to certify which, witness my hand and seal of office.

Donna Zahn  
Signature of officer administering oath

Donna Zahn  
Printed name of officer administering oath

Notary Public  
Title of officer administering oath

OR

**(2) Unsworn Declaration**

My name is \_\_\_\_\_, and my date of birth is \_\_\_\_\_.

My address is \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_.  
(street) (city) (state) (zip code) (country)

Executed in \_\_\_\_\_ County, State of \_\_\_\_\_, on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.  
(month) (year)

Signature of Local Government Officer (Declarant)

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### OFFICE USE ONLY

Date Received

**1 Name of Local Government Officer**

Cindy Hernandez

**2 Office Held**

Wharton County Tax Assessor Collector

**3 Name of vendor described by Sections 176.001(7) and 176.003(a), Local Government Code**

Prosperity Bank, Depositor and All Approved Broker/Dealers

**4 Description of the nature and extent of each employment or other business relationship and each family relationship with vendor named in item 3.**

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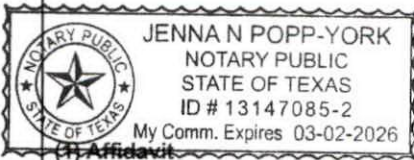
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(attach additional forms as necessary)

**6 SIGNATURE**

I swear under penalty of perjury that the above statement is true and correct. I acknowledge that the disclosure applies to each family member (as defined by Section 176.001(2), Local Government Code) of this local government officer. I also acknowledge that this statement covers the 12-month period described by Section 176.003(a)(2)(B), Local Government Code.

*Cindy Hernandez*  
Signature of Local Government Officer



Please complete either option below:

NOTARY STAMP/SEAL

Sworn to and subscribed before me by Cindy Hernandez this the 18<sup>th</sup> day of November, 2024, to certify which, witness my hand and seal of office.

*Jenna Popp-York*  
Signature of officer administering oath

Jenna Popp-York  
Printed name of officer administering oath

Notary Public  
Title of officer administering oath

OR

**(2) Unsworn Declaration**

My name is \_\_\_\_\_, and my date of birth is \_\_\_\_\_.

My address is \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_.  
(street) (city) (state) (zip code) (country)

Executed in \_\_\_\_\_ County, State of \_\_\_\_\_, on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.  
(month) (year)

Signature of Local Government Officer (Declarant)

# LOCAL GOVERNMENT OFFICER CONFLICTS DISCLOSURE STATEMENT

## FORM CIS

(Instructions for completing and filing this form are provided on the next page.)

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

This is the notice to the appropriate local governmental entity that the following local government officer has become aware of facts that require the officer to file this statement in accordance with Chapter 176, Local Government Code.

### OFFICE USE ONLY

Date Received

**1 Name of Local Government Officer**

Barbara A. Starling

**2 Office Held**

Wharton County Auditor

**3 Name of vendor described by Sections 176.001(7) and 176.003(a), Local Government Code**

Prosperity Bank, Depositor and All Approved Broker/Dealers

**4 Description of the nature and extent of each employment or other business relationship and each family relationship with vendor named in item 3.**

None

**5 List gifts accepted by the local government officer and any family member, if aggregate value of the gifts accepted from vendor named in item 3 exceeds \$100 during the 12-month period described by Section 176.003(a)(2)(B).**

Date Gift Accepted \_\_\_\_\_ Description of Gift \_\_\_\_\_

Date Gift Accepted \_\_\_\_\_ Description of Gift \_\_\_\_\_

Date Gift Accepted \_\_\_\_\_ Description of Gift \_\_\_\_\_

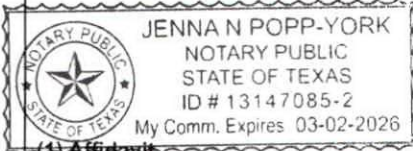
(attach additional forms as necessary)

**6 SIGNATURE**

I swear under penalty of perjury that the above statement is true and correct. I acknowledge that the disclosure applies to each family member (as defined by Section 176.001(2), Local Government Code) of this local government officer. I also acknowledge that this statement covers the 12-month period described by Section 176.003(a)(2)(B), Local Government Code.

*Barbara A. Starling*

Signature of Local Government Officer



(1) Affidavit

Please complete either option below:

NOTARY STAMP/SEAL

Sworn to and subscribed before me by Barbara A. Starling this the 14<sup>th</sup> day of November,

20 21, to certify which, witness my hand and seal of office.

*Jenna Popp-York*

Jenna Popp-York

Notary Public

Signature of officer administering oath

Printed name of officer administering oath

Title of officer administering oath

OR

**(2) Unsworn Declaration**

My name is \_\_\_\_\_, and my date of birth is \_\_\_\_\_.

My address is \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_.  
(street) (city) (state) (zip code) (country)

Executed in \_\_\_\_\_ County, State of \_\_\_\_\_, on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.  
(month) (year)

Signature of Local Government Officer (Declarant)