BrokerCheck Report

ALAMO CAPITAL

CRD# 26193

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When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
    - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
    - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
-

Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

ALAMO CAPITAL

CRD# 26193

SEC# 8-42293

Main Office Location

201 N CIVIC DR
SUITE 180
WALNUT CREEK, CA 94596
Regulated by FINRA San Francisco Office

Mailing Address

201 N CIVIC DR
SUITE 180
WALNUT CREEK, CA 94596

Business Telephone Number

925-472-5740

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

https://www.adviserinfo.sec.gov

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in California on 08/27/1987.

Its fiscal year ends in June.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 41 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 16 types of businesses.

This firm is not affiliated with any financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	3
Bond	3

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Firm Profile

This firm is classified as a corporation.

This firm was formed in California on 08/27/1987.

Its fiscal year ends in June.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

ALAMO CAPITAL

Doing business as ALAMO CAPITAL

CRD# 26193

SEC# 8-42293

Main Office Location

201 N CIVIC DR
SUITE 180
WALNUT CREEK, CA 94596

Regulated by FINRA San Francisco Office

Mailing Address

201 N CIVIC DR
SUITE 180
WALNUT CREEK, CA 94596

Business Telephone Number

925-472-5740

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Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	MULLALLY, NANCY ANN RUEHLE 1004052
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO
Position Start Date	08/1987
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MULLALLY, NANCY ANN RUEHLE 1004052
Is this a domestic or foreign entity or an individual?	Individual
Position	CFO
Position Start Date	10/1988
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Legal Name & CRD# (if any):	DURDEN JR, JOHN KENNETH 860423
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP

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Firm Profile

Direct Owners and Executive Officers (continued)

Position Start Date	04/2020
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	KENT-ASTER, ALLISON VICTORIA 2047679
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	03/2010
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MULLALLY, WILLIAM JOHN 818827
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	08/1987
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

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Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

No information reported.

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Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.

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Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 41 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	06/07/1990

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	06/19/1990

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alaska	Approved	09/29/2023
Arizona	Approved	11/07/1996
California	Approved	07/03/1990
Colorado	Approved	06/08/2009
Connecticut	Approved	09/08/2008
Delaware	Approved	09/17/2018
Florida	Approved	01/01/1996
Georgia	Approved	11/28/2011
Hawaii	Approved	07/07/2003
Idaho	Approved	05/17/2006
Illinois	Approved	09/22/2005
Indiana	Approved	08/08/1997
Iowa	Approved	06/10/2008
Kansas	Approved	06/03/2020
Kentucky	Approved	06/01/2007
Louisiana	Approved	05/11/2020
Maine	Approved	04/28/1997
Maryland	Approved	05/15/2001
Massachusetts	Approved	04/29/2008
Michigan	Approved	01/02/1997
Minnesota	Approved	05/19/2020
Mississippi	Approved	10/25/2024
Missouri	Approved	04/09/2009
Montana	Approved	06/03/2011
Nevada	Approved	07/25/1994
New Jersey	Approved	06/03/1997
New Mexico	Approved	04/17/2025
New York	Approved	04/13/2005
North Carolina	Approved	06/15/2005
Ohio	Approved	03/15/2011
Oklahoma	Approved	05/15/2018
Oregon	Approved	08/05/1998
Pennsylvania	Approved	05/28/2020

U.S. States & Territories	Status	Date Effective
Puerto Rico	Approved	11/08/2013
South Carolina	Approved	11/30/2011
Tennessee	Approved	06/17/2020
Texas	Approved	10/26/2007
Utah	Approved	08/23/1996
Virginia	Approved	09/08/1998
Washington	Approved	09/13/1996
Wisconsin	Approved	04/23/2010

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Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 16 types of businesses.

Types of Business

Types of Business
Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Underwriter or selling group participant (corporate securities other than mutual funds)
Mutual fund retailer
U S. government securities dealer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Put and call broker or dealer or option writer
Investment advisory services
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Non-exchange member arranging for transactions in listed securities by exchange member
Trading securities for own account
Private placements of securities

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Firm Operations

Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	RBC CAPITAL MARKETS, LLC
CRD #:	31194
Business Address:	3 WORLD FINANCIAL CENTER NY, NY 10281
Effective Date:	11/10/2021
Description:	WE ARE FULLY DISCLOSED INTRODUCING BROKER.

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Firm Operations

Industry Arrangements

This firm does have books or records maintained by a third party.

Name:	RBC CAPITAL MARKETS, LLC
CRD #:	31194
Business Address:	3 WORLD FINANCIAL CENTER NY, NY 10281
Effective Date:	11/10/2021
Description:	WE ARE FULLY DISCLOSED INTRODUCING BROKER.

This firm does have accounts, funds, or securities maintained by a third party.

Name:	RBC CAPITAL MARKETS, LLC
CRD #:	31194
Business Address:	3 WORLD FINANCIAL CENTER NY, NY 10281
Effective Date:	11/10/2021
Description:	WE ARE FULLY DISCLOSED INTRODUCING BROKER.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name:	RBC CAPITAL MARKETS, LLC
CRD #:	31194
Business Address:	3 WORLD FINANCIAL CENTER NY, NY 10281
Effective Date:	11/10/2021
Description:	WE ARE FULLY DISCLOSED INTRODUCING BROKER.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.

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Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is not, directly or indirectly:

- **in control of**
- **controlled by**
- **or under common control with**

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

This firm is not directly or indirectly, controlled by the following:

- **bank holding company**
- **national bank**
- **state member bank of the Federal Reserve System**
- **state non-member bank**
- **savings bank or association**
- **credit union**
- **or foreign bank**

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Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	3	0
Bond	N/A	3	N/A

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Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final event generally has a disposition of *adjudicated, settled* or *otherwise resolved.*
     - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
     - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 3

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	FINRA RULE 6730(B): THE FIRM FAILED TO REPORT TO TRACE TRANSACTIONS IN TRACE-ELIGIBLE SECURITIES THAT IT WAS REQUIRED TO REPORT.
Initiated By:	FINRA
Date Initiated:	08/25/2011
Docket/Case Number:	2010022572301
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	N/A
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/25/2011
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Censure Monetary/Fine $7,500.00
Other Sanctions Ordered:	UNDERTAKING
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE THE FIRM IS CENSURED AND FINED $7,500, AND AN UNDERTAKING TO REPORT TO TRACE THE TRANSACTIONS THAT WERE NOT PREVIOUSLY REPORTED. WITHIN 30 BUSINESS DAYS OF THE ACCEPTANCE OF THE AWC BY NAC, A REGISTERED PRINCIPAL OF THE FIRM SHALL SUBMIT TO FINRA A SIGNED, DATED LETTER, OR EMAIL FROM A WORK-RELATED ACCOUNT OF THE REGISTERED PRINCIPAL TO FINRA, PROVIDING THE FOLLOWING INFORMATION: A REFERENCE TO THIS MATTER; A REPRESENTATION THAT THE FIRM HAS REPORTED THE PREVIOUSLY UNREPORTED TRANSACTIONS TO TRACE; AND, THE DATE THE TRANSACTIONS WERE REPORTED TO TRACE. FINE PAID IN FULL DECEMBER 13, 2011.

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Reporting Source:	Firm
Current Status:	Final
Allegations:	THE FIRM FAILED TO REPORT 147 TRACE ELIGIBLE TRANSACTIONS DURING 1Q09 AS BROKER INFORMED FIRM THE TRANSACTIONS WERE STEP-OUTS, AND THUS NOT REQUIRED TO BE REPORTED.
Initiated By:	FINRA
Date Initiated:	08/25/2011
Docket/Case Number:	2010022572301
Principal Product Type:	No Product
Other Product Type(s):	NON-REPORTING ISSUE
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/25/2011
Sanctions Ordered:	Censure Monetary/Fine $7,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS, ENTRY OF FINDINGS, AND $7500 FINE. IN ADDITION, ALL PREVIOUSLY UNREPORTED TRANSACTIONS HAVE NOW BEEN REPORTED TO TRACE AND AN EMAIL HAS BEEN SENT TO FINRA REPRESENTING THAT THE FIRM HAS REPORTED THE TRANSACTIONS, PER TERMS OF THE AWC. THIS ADDITIONAL INFORMATION HAS BEEN PROVIDED AT REQUEST OF THE SEC, LETTER DATED 10/12/11.
Firm Statement	FIRM TO PAY FINE W/OUT ADMITTING OR DENYING THE FINDINGS.

Disclosure 2 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	NASD CONDUCT RULE 2110 AND NASD MARKEPTPLACE RULES 6230(A) AND 6230(C)(8) - RESPONDENT MEMBER ("FIRM") FAILED TO REPORT TO TRADE REPORTING AND COMPLIANCE ENGINE ("TRACE") TRANSACTIONS

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	IN TRACE-ELIGIBLE SECURITIES WITHIN 75 MINUTES AFTER EXECUTION. THE FIRM ALSO FAILED TO REPORT TO TRACE THE CORRECT EXECUTION TIME IN SEVERAL TRANSACTIONS IN TRACE ELIGIBLE SECURITIES.
Initiated By:	NASD
Date Initiated:	11/25/2003
Docket/Case Number:	CMS030276
Principal Product Type:	Other
Other Product Type(s):	UNKNOWN TYPE OF SECURITIES
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	11/25/2003
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT FIRM CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, FIRM IS FINED $5,000.

Reporting Source:	Firm
Current Status:	Final
Allegations:	THIS MATTER AROSE OUT OF A REVIEW, MRD200238473, CONDUCTED BY THE STAFF OF NASD'S DEPARTMENT OF MARKET REGULATION FOR THE PERIOD OF 08/01-09/30/02 OF TRANSACTIONS THE FIRM REPORTED TO TRACE. ALAC FAILED TO REPORT 18 TRANSACTIONS IN TRACE ELIGIBLE SECURITIES WITHIN 75 MINUTES AFTER EXECUTION. THESE LATE TRANSACTIONS CONSTITUTED 43% OF ALL TRANSACTIONS IN TRACE ELIGIBLE SECURITIES THAT ALAC WAS REQUIRED TO REPORT TO TRACE

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	DURING THE PERIOD 08/01-09/30/02. THE CONDUCT DESCRIBED IN PARAGRAPH ONE CONSTITUTES A PATTERN OR PRACTICE OF LATE REPORTING WITHOUT EXCEPTIONAL CIRCUMSTANCES IN VIOLATION OF NASD CONDUCT RULE 2110 AND NASD MARKETPLACE RULE 6230(A). ALAC FAILED TO REPORT TO TRACE THE CORRECT EXECUTION TIME IN 41 TRANSACTIONS IN TRACE ELIGIBLE SECURITIES. THE CONDUCT DESCRIBED IN PARAGRAPH FOUR CONSTITUTES SEPARATE AND DISTINCT VIOLATIONS OF NASD MARKETPLACE RULE 6230(C)(8)
Initiated By:	NASD
Date Initiated:	10/17/2003
Docket/Case Number:	CMS030276
Principal Product Type:	Debt - Corporate
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	LETTER OF ACCEPTANCE, WAIVER & CONSENT
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/16/2003
Sanctions Ordered:	Monetary/Fine $5,000.00
Other Sanctions Ordered:	NO OTHER SANCTIONS
Sanction Details:	BD PAID $5,000.00 AS FINED.

Disclosure 3 of 3

Reporting Source:	Regulator
Current Status:	Final
Allegations:	NASD RULE 6240(B)(3) - RESPONDENT MEMBER INCORRECTLY REPORTED TO FIPS, A TRANSACTION IN A FIPS SECURITY AND HIGH YIELD SECURITIES.
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS
Date Initiated:	10/10/2000

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Docket/Case Number:	CMS000210
Principal Product Type:	Equity - OTC
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/10/2000
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	FINED $2500.00

Reporting Source:	Firm
Current Status:	Final
Allegations:	WE REPORTED THE BOND TRADES TO THE FIPS DESK. WE WERE UNCERTAIN AS TO WHETHER OR NOT THE TRADES WERE REPORTABLE AND THEREFORE WE REPORTED THE TRADES INCORRECTLY. ONE TRADE WAS REPORTED THAT WAS A BUY NOT A SELL.
Initiated By:	NASD REGULATION, INC. MARKET REGULATION DEPARTMENT
Date Initiated:	10/10/2000
Docket/Case Number:	CMS000210 AWC
Principal Product Type:	Debt - Corporate
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	

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Other Sanction(s)/Relief Sought:	1. THE FIRM INCORRECTLY REPORTED TO FIPS ONE TRANSACTION IN A FIPS SECURITY. 2. THE CONDUCT DESCRIBED IN PARAGRAPH ONE CONSTITUTES A VIOLATION OF NASD MARETPLACE RULE 6240(A)(3). 3. THE FIRM INCORRECTLY REPORTED TO FIPS 13 TRANSACTIONS IN HIGH YIELD SECURITIES. 4. THE CONDUCT DESCRIBED IN PARAGRAPH THREE CONSTITUTES SEPARATE AND DISTINT VIOLATIONS OF NASD MARKETPLACE RULE 6240(B)(3).
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/10/2000
Sanctions Ordered:	Monetary/Fine $2,500.00
Other Sanctions Ordered:	THE FIRM AGREED TO A LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. CMS000210 AWC.
Sanction Details:	ALAMO CAPITAL WILL PAY FINE WHEN THE FINANCE DEPARTMENT SENDS THE BILL, AS PER THE AWC DATE 10/10/2000

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Civil Bond

This type of disclosure event involves a civil bond for the brokerage firm that has been denied, paid, or revoked by a bonding company.

Disclosure 1 of 3

Reporting Source:	Firm
Policy Holder:	ALAMO CAPITAL
Bonding Company Name:	FEDERAL INSURANCE
Disposition:	Payout
Disposition Date:	04/08/2021
Payout Details:	$95,000 PAID TO ALAMO CAPITAL ON 4/08/21.
Firm Statement	SURETY BOND COVERED 2 $50,000 FRAUDULENT ACH'S THAT WERE SENT OUT IN MAY AND JUNE OF 2020 FROM A CLIENT'S ACCOUNT (LESS 5M DEDUCTIBLE).

Disclosure 2 of 3

Reporting Source:	Firm
Policy Holder:	ALAMO CAPITAL
Bonding Company Name:	NATIONAL UNION FIRE INSURANCE CO.
Disposition:	Payout
Disposition Date:	11/16/1999
Payout Details:	$20,000.00 11/16/1999
Firm Statement	ALTERED CHECK. MAKER GAVE VERBAL THAT CHECK WAS GOOD. INSURANCE COMPANY RECOVERED FUNDS.

Disclosure 3 of 3

Reporting Source:	Firm
Policy Holder:	ALAMO CAPITAL
Bonding Company Name:	NATIONAL UNION FIRE INSURANCE CO.
Disposition:	Payout
Disposition Date:	12/10/1999
Payout Details:	$20,000.00 12/10/1999

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Firm Statement	ALTERED CHECK RECEIVED BY CLEARING FIRM.

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End of Report

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