

## **MUNICIPAL ENTITY BROKERAGE ACCOUNT CERTIFICATION FORM**

### Instructions:

Based on applicable regulatory requirements affecting municipal entity brokerage clients, if you are a municipal entity and your account contains assets from the proceeds of municipal securities, our firm's policy requires that you open an investment advisory account.

The term "municipal entity" means any State, political subdivision of a State, or municipal corporate instrumentality of a State, including – (A) any agency, authority, or instrumentality of the State, political subdivision, or municipal corporate instrumentality; (B) any plan, program, or pool of assets sponsored or established by the State, political subdivision, or municipal corporate instrumentality or any agency, authority, or instrumentality thereof; and (C) any other issuer of municipal securities.

"Proceeds of municipal securities" includes (i) monies derived by a municipal entity from the sale of municipal securities, (ii) investment income derived from the investment or reinvestment of such monies, (iii) any monies of a municipal entity or obligated person held in funds under legal documents for the municipal securities that are reasonably expected to be used as security or a source of payment for the payment of the debt service on the municipal securities, and (iv) the investment income derived from the investment or reinvestment of monies in such funds.

This form certifies that your brokerage account does not contain proceeds of municipal securities and you will not fund your brokerage account with the proceeds of municipal securities at any time in the future.

### Certification:

I hereby certify that:

- I am the signatory for the brokerage account listed below on behalf of the named municipal entity listed below.
- I have authority to act on behalf of said municipal entity.
- None of the assets in said account are the proceeds of municipal securities, and
- The said account will not be funded with the proceeds of municipal securities, now, or at any time in the future.

\_\_\_\_\_  
Name of Municipal Entity

\_\_\_\_\_  
Account Number

Signature: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_