

**NOTIFICATION TO BROKER AND CERTIFICATION BY BROKER  
PURSUANT TO MINN. STAT § 118A.04**

**I. Broker Information**

1. Name of firm: \_\_\_\_\_

2. Address

Local: \_\_\_\_\_

National: \_\_\_\_\_

3. Telephone number: \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ Local \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ National

4. Primary representative/manager/partner in charge:

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

Phone: \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ ext: \_\_\_\_\_

**II. Statement of Investment Restrictions:**

To: \_\_\_\_\_ (name of broker), The City of Saint Paul (name of government entity) is only authorized to invest in those investments complying with the requirements of Minnesota Statutes 118A.04, 118A.05, 118.06 and 118A.07.

  
\_\_\_\_\_  
(signed by official of local government)

12/04/2015  
(date)

**III. Statement of Additional Investment Restrictions: (fill in if applicable)**

Further be advised that City of Saint Paul (name of government entity) restricts its investments as provided:

in the City of Saint Paul Investment Policy

in the attached resolution[s] of the governing body.

  
\_\_\_\_\_  
(signed by official of local government)

12/04/2015  
(date)

**IV. Certification**

We agree to conduct your investment transactions in accordance with the Minnesota Statutes 118A.04, 118A.05, 118A.06 and 118A.07 and the provisions of any Additional Restrictions set forth in Section III above.

\_\_\_\_\_  
(signed by authorized representative or broker)

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
(date)

Effective January 1, 1997, prior to completing an initial transaction with a broker, and annually thereafter, this form must be completed. See instructions.