

**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 and Title Telephone Number

**II. Statement of Investment Restrictions:**

To: \_\_\_\_\_ (name of broker)

The investments of \_\_\_\_\_ (name of government entity)  
must comply with the requirements of Minn. Stat §§ 118A.04, 118A.05, 118.06 and 118A.07.

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

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

Further be advised that \_\_\_\_\_ (name of government entity)  
restricts its investments as provided:  
[ ] in the attached Investment Policy  
[ ] in the attached resolution(s) of the governing body.

\_\_\_\_\_ (name of government entity) will provide  
to the broker copies of any changes to the Additional Investment Restrictions identified herein.

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

**IV. Certification**

We agree to conduct your investment transactions in accordance with Minn. Stat §§ 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 of broker) (date)

Prior to completing an initial transaction with a broker, and annually thereafter, this form must be completed.  
See instructions.

## INSTRUCTIONS

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In Minnesota, governmental entities must annually obtain from their brokers certain representations regarding future investments. Minnesota Statutes § 118A.04, subd. 9 requires government entities to provide each broker with information regarding the government entity's investment restrictions. Prior to conducting any business with or for the government entity, the broker must acknowledge these investment restrictions and agree to conduct investment transactions in accordance with them. The state auditor has promulgated this uniform notification form to assist government entities in complying with this law.

"Broker" as used in this form is a broker-dealer, broker, or agent of a government entity, who transfers, purchases, sells, or obtains securities for, or on behalf of, a government entity.

Send this form to each broker with whom you conduct business annually. Follow these steps:

1. Fill in the information requested in Section I that is known to you.
2. Fill in Sections II and III (if applicable) and attach copies of your investment policy and any government board resolutions that restrict your investments.
3. Send the form to your broker with instructions to fill in any blanks, sign and return to you.
4. Keep a copy of the form in your files.

**Note:** *Should you change your investment policy or should your governing body adopt any resolutions affecting future investments, your broker should be notified of the change. To avoid confusion, your broker should receive written notification, and copies of such correspondence should be kept on file with this form.*