**INSTRUCTIONS:**

Check the applicable column for each certification and provide further required information on supplemental pages as needed. Note: Items 5 and 6 require information to be provided on supplemental pages.

**CERTIFICATION:**

Name of Company/Firm (“Respondent”): Click or tap here to enter text.

Name of Parent Company of Respondent (if any): Click or tap here to enter text.

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Nothing to report | See supplemental pages |
| 1 | Except as disclosed on supplemental pages attached hereto, there are no material lawsuits, legal or administrative proceedings or governmental investigations, criminal actions or law enforcement activities (including those by federal, state or local authorities, or self-regulatory organizations) or non-routine Securities and Exchange Commission inquiries or investigations relating to Respondent or any of Respondent’s affiliates, including any proceedings to which Respondent, its affiliates, or any of their respective officers, directors or employees is a named party or of which any of such has been the focus, that have occurred in the last five (5) years or that are currently threatened, including whether Respondent or any of its affiliates, or their respective officers, directors or employees has been censured by any regulatory body. **If referencing SEC or other regulatory disclosure documents, provide the specific, relevant sections. Links to websites are not acceptable** | [ ]  | [ ]  |
| 2 | Except as disclosed on supplemental pages attached hereto, there have been no material claims for errors & omissions, fiduciary liability and/or fidelity bond insurance coverage submitted by Respondent, its principals or any of Respondent’s affiliates in the past five (5) years. |[ ] [ ]
| 3 | Except as disclosed on supplemental pages attached hereto, there are no ongoing internal investigations of any of Respondent’s officers, directors or employees, giving specific attention to those persons who would be closely responsible for the products or services sought by the Office of the Treasurer. |[ ] [ ]
| 4 | Except as disclosed on supplemental pages attached hereto, I am not aware of any activities of the Respondent, its affiliates, or any officers, directors or employees of the Respondent or its affiliates that are likely to result in any of the above investigations or proceedings. |[ ] [ ]
| 5 | Respondent has adequate procedures in place to undertake internal investigations of its employees, officers and directors. **Describe** **procedures in supplemental pages.** |  |[ ]
| 6 | **Attached are**: i) a description of Respondent’s company/firm, including who holds controlling interest (if any) in the company/firm; ii) a description of Respondent’s organizational structure, outlining the relationship to corporate parent and affiliates; and iii) any material changes within the past two years, or pending changes, in the Respondent’s organization and corporate structure. **Attached descriptions in** **supplemental pages.** |  |[ ]

The undersigned certifies that the information provided in response to this Attachment 5, including all supplemental pages, is true, complete and accurate to the best of my knowledge and belief.

**Signed:** Click or tap here to enter text.

**Print Name:** Click or tap here to enter text.

**Title:** Click or tap here to enter text.

**Respondent:** Click or tap here to enter text.

**Date:** Click or tap here to enter text.