

CERTIFICATION

In compliance with the Texas Government Code (Public Funds Investment Act) Sec. 2256.005 (k) – (l), _____ “Broker/Financial Institution Representative” acknowledges that the registered principal and all sales personnel conducting investment transactions with Southwest Texas Junior College (SWTJC) have received and have thoroughly reviewed the SWTJC Investment Policy. Broker/Financial Institution Representative acknowledges that Broker/Financial Institution Representative has implemented reasonable procedures and controls in an effort to preclude imprudent investment activities arising out of investment transactions between SWTJC and Broker/Financial Institution Representative.

Firm/Financial Institution

Signature

Name

Title

Date