



**California State Treasurer’s Office
Certification Regarding Investment Protection Standards**

Name of Firm: _____

The Investment Protection Standards (the “Standards”) apply to all financial organizations doing business with the State of California. The Standards are attached hereto as Attachment A.

1. “Financial organization” for purposes of this Certification means: “any financial organization that is authorized to provide investment banking services and/or broker/dealer services to the State Treasurer’s Office or to any of the boards/commissions/authorities for which the Treasurer makes appointments for these services and that also provides equity research and investment banking services to any client.”

Is this firm a “financial organization” pursuant to this definition?

_____ Yes _____ No

If the answer to question 1 is “No,” complete the signature block at the end of the Certification and return to the address indicated on page 2. No further action is required to maintain your current authorization to do business with the State Treasurer’s Office.

2. If the firm is a “financial organization” as defined above, the firm shall describe how the firm will implement and comply with each of the substantive provisions of the Standards within the timeframes set forth in section II, paragraph 5 therein. In providing its response, the firm must use the pages attached hereto (and additional pages as necessary) as Exhibit 1. The firm may propose a specific alternative method for complying with one or more of the Standards, which will be considered only if such alternative method is consistent with the intent of the Standards and achieves the same substantive objective.

Note: Incomplete responses will be rejected.

A senior officer of the firm, with requisite authority to sign on behalf of the firm, must sign the certification. Please return the certification and the required attachments to the address indicated below by _____.

Information completed and certified by:

Name

Title

Firm

Signature

Date

Please return to the Public Finance Division by e-mail at:

InvestorRelations@treasurer.ca.gov

For Inquiries: Telephone Number: (916) 653-3451