



# EXHIBIT "A"

## NEW INVESTOR APPLICATION

Questions? Call 1-866-839-8376

**Instructions:** Complete this application to become a new investor in TexasTERM. This application must be included with all other required documentation and certifications in order to be accepted and processed by TexasTERM. Please fax or mail this completed application to your account representative at the fax number or address listed at the bottom of this application.

### INVESTOR INFORMATION: (All fields in this section must contain Investor information ONLY.)

|                  |  |                  |  |
|------------------|--|------------------|--|
| Investor Name:   | City of Round Rock<br>(Name to appear on Pool records)               | TIN #            | 74 - 6017485<br>(Taxpayer Identification Number)   |
| Legal Name:      | <br>(Name as filed with the IRS, if different from above)            | Phone #:         | (512) 218-3297   |
| Street Address:  | 221 E Main Street<br>(Street Address (A P.O. Box is not acceptable)) | Fax #:           | (512) 218-5442   |
|                  | Round Rock TX 78664<br>City State Zip                                | Entity Type:     | City<br>(City, County, School District, etc.)  |
| Mailing Address: | <br>(If different from Street Address)                               | Fiscal Year End: | 09/30<br>(Month and Day)   |
|                  | <br>City State Zip   | Contact Name:    | Joan Sharp<br><input type="checkbox"/> Mr. <input checked="" type="checkbox"/> Ms. <input type="checkbox"/> Mrs. |

### INVESTOR CERTIFICATION: (A representative of the Investor should read, complete, sign and date this section.)

- I. The undersigned represents and warrants that he/she has the full power and authority to make investments on behalf of the Investor listed above.
- II. The undersigned certifies that the Investor named on this application adopted or enacted the attached **Ordinance/Resolution** at a duly convened meeting of the governing body of the Investor held on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, and that such Ordinance/Resolution is in full force and effect on the date of this application, and that such Ordinance/Resolution has not been modified, amended or rescinded since its adoption or enactment. (Please attach the Ordinance/Resolution to this document.)
- III. The undersigned further certifies that the Investor has received a copy of the Pool's **Information Statement**, and agrees that the Investor will be bound by the terms of such documents.
- IV. The establishment of an account is subject to acceptance by the Pool and is subject to the conditions under the provisions contained in the Information Statement.
- V. Under penalty of perjury, the undersigned below certifies that the tax identification number provided for this Investor is true, correct and complete.
- VI. The information, authorizations, and certifications set forth in or attached to this New Investor Application shall remain in full force and effect until the Pool receives written notification of change.

X Susan Morgan  
Authorized Signature

3/11/15  
Date

Seal:

Susan Morgan

Chief Financial Officer

Print or Type Name of Authorized Signatory

Title/Position

### REQUIRED DOCUMENTATION: (Please include the following documents with this application.)

- W-9 (Name on W-9 must match IRS records)
- Ordinance/Resolution
- Investment Policy

### POOL USE ONLY: (Please fax or mail this document to your account representative for their signature below.)

|  |      |                              |      |
|--|------|------------------------------|------|
| X  |      | X                            |      |
| TexasTERM Account Representative Signature | Date | Principal Approval Signature | Date |

Any document received by email will not be accepted. Please send by fax or mail.

FAX TO: TexasTERM Client Services Group  
1-800-252-9551

MAIL TO: TexasTERM Client Services Group  
P.O. Box 11760  
Harrisburg, PA 17108-1760

#### POOL USE ONLY

| V2014.10  | DATE | INITIALS |
|-----------|------|----------|
| Processed |      |          |
| Confirmed |      |          |