



**Date:** January 13, 2021

**To:** Mayor and City Councilmembers  
Steve Parker, City Manager

**From:** Susan Caddell *Susan Caddell*  
Director of Finance

**Subject:** Review and adoption of City of Seguin's Brokers/ Dealers List

Attached you will find the list of brokers/dealers the City of Seguin is authorized to engage in investment transactions. According to the City of Seguin's Investment Policy, this list is required to be reviewed and approved by the City Council each year. Once City Council has reviewed and approved the investment policy, I will forward a copy of that policy to each of these brokers. They will have to complete a questionnaire and sign off on a certification page. Once they have returned the questionnaire and certification page, I will then begin considering their offerings for investment.

I recommend approval of this list.

Please let me know if there are any questions or concerns.