



DISCLOSURE STATEMENT FOR FINANCIAL SERVICES PROVIDERS

DUE ANNUALLY OR WHENEVER THERE IS NEW INFORMATION TO REPORT

INSTRUCTIONS:

- 1) The reporting period covered by this statement consists of the preceding calendar year.
- 2) This statement must be filed annually.
- 3) A new or amended statement must be promptly filed with the parties listed in step 5 of these instructions whenever there is new information to report under Texas government code, section 2263.005 (a) or Section III.B of the TRS Code of Ethics for Contractors.
- 4) This statement must be submitted even if you answer “no” to questions 1 and 2 in part 2.
- 5) Submit a copy of this statement to each of the following:
 - a. The Executive Director of the Teacher Retirement System of Texas (“TRS”) (mail to 1000 Red River Street, Austin, TX, 78701-2698), no later than April 1.
 - b. The State Auditor (mail to P.O. Box 12067, Austin, TX, 78711-2067 Attn: Disclosure Statement), no later than April 15.
- 6) The term “Financial Services Provider” has the meaning given to it by the TRS Code of Ethics for Contractors.

PART 1: GENERAL INFORMATION

FILING TYPE (check one): ☐ ANNUAL DISCLOSURE FOR YEAR ENDING DECEMBER 31, 20____ ☐ UPDATED DISCLOSURE

FILER (check one): ☐ INDIVIDUAL ☐ BUSINESS ENTITY (on behalf of itself and all of its employees or representatives who provided advice or services to TRS)

NAME OF INDIVIDUAL _____ JOB TITLE _____

NAME OF BUSINESS ENTITY (if any) _____

TYPE OF FINANCIAL ADVICE OR SERVICE PROVIDED _____

ADDRESS _____

CITY _____ STATE _____ ZIP _____ PHONE _____

IF YOU ARE PROVIDING FINANCIAL ADVICE OR FINANCIAL SERVICES **CONCERNING TRS MATTERS** TO A TRS TRUSTEE BUT **NOT** TO TRS ITSELF, PLEASE PROVIDE THE NAME(S) OF THE TRUSTEE(S):

If there are none, please answer “NONE”. Note: A current listing of trustees can be found at the TRS website – www.trs.texas.gov.

PART 2: DISCLOSURES

DISCLOSURE REQUIREMENTS FOR FINANCIAL SERVICES PROVIDERS

Financial Services Providers must disclose information regarding certain relationships and interests to the TRS Executive Director and the Texas State Auditor pursuant to Texas Government Code Section 2263.005.

- 1) Do you or your business entity have or did you or your business entity have any relationship with any party to a transaction with TRS (other than a relationship necessary to the services that you or your business entity will perform, are performing, or performed for TRS) that a reasonable person could expect to diminish your or your business entity’s independence of judgment in the performance of your or your business entity’s responsibilities to TRS?
☐ Yes ☐ No

If yes, please explain in detail the nature of such relationships. (Attach additional sheets as needed.)

- 2) Do you or your business entity have or did you or your business entity have any direct or indirect pecuniary interests in any party to a transaction with TRS where the transaction is or was connected with any financial advice or service that you or your business entity provide to or provided to TRS or to a TRS trustee concerning TRS matters?

☐ Yes

☐ No

If yes, please explain in detail the nature of such pecuniary interests. (Attach additional sheets as needed.)

PART 3: SIGNATURE AND DATE

TO BE COMPLETED BY AN ENTITY ENGAGED BY TRS

Pursuant to Section IV. E. of the Code of Ethics for Contractors (the “Code”), an entity engaged by TRS as a Financial Services Provider shall be responsible for compliance with the Code by each of its employees and representatives. This Disclosure Statement must be submitted to TRS by such entity rather than by individual employees and representatives, and such entity is responsible for making a diligent inquiry before each submission and from time to time during its engagement as a Financial Services Provider to determine if further submissions are required.

Consistent with Section IV. E. of the Code, I hereby attest that I am authorized to file this Disclosure Statement on behalf of the business entity named above and that all information provided above is complete and accurate with respect to the business entity and all of its employees and representatives that provide financial advice or services to TRS. I further attest that a diligent inquiry of such employees and representatives was made by the business entity before each submission and periodically during the time that the business entity provides financial advice or services to TRS. Through the signature of the authorized individual below, the business entity hereby acknowledges its responsibility to submit promptly a new or amended Disclosure Statement to the parties listed in step 5 of the above instructions if any of the above information changes.

Signature_____

Date_____

Printed Name and Position_____

TO BE COMPLETED BY AN INDIVIDUAL ENGAGED BY TRS

I hereby attest that all information provided above is complete and accurate. I hereby acknowledge my responsibility to submit promptly a new or amended Disclosure Statement to the parties listed in step 5 of the above instructions if any of the above information changes.

Signature_____Date_____Printed

Name_____