

City of Seattle NOTIFICATION of mini-RFP exemption from Municipal Advisor Rule enacted under the Securities Exchange Act of 1934 (Rule 15Ba1 et seq.) effective July 1, 2014.

*** This communication is acknowledgement that the City of Seattle is aware of the "Municipal Advisor Rule" enacted under the Securities Exchange Act of 1934 (Rule 15Ba1 et seq.) effective July 1, 2014 and the RFP/RFQ exemption from the definition of "municipal advisor" for a person providing "advice". Pursuant to the RFP/RFQ exemption, your firm is one of fifteen receiving this communication, as it has been pre-screened and pre-selected by the City of Seattle FAS Treasury Investment Staff. City of Seattle Treasury Investment Staff wishes your firm to provide opinions and recommendations for the investment of up to \$50MM of excess funds available for investment beyond one year. The City of Seattle intends for opinions and recommendations to **qualify for the RFP/RFQ exemption** and fully understands that by responding to this RFP/RFQ, **respondents are not municipal advisors to the City of Seattle and respondents will not receive compensation for their response**. Per the RFP/RFQ exemption, **this mini-RFP is not a formal procurement process**. Your recommendations may be made orally or, in writing via Bloomberg and/or email. The City of Seattle reserves the right to accept or reject any proposals submitted to it. This mini-RFP is in effect today from 0630 Hours - 1300 Hours PST.