



**NY MuniTrust**  
100% NEW YORK

## ENROLLMENT PACKET

SEPTEMBER 2022



## Welcome to NY MuniTrust®

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Thank you for choosing the NY MuniTrust Cooperative Investment Pool.

We are pleased to offer two competitive short-term, highly liquid investment funds for your operational and excess cash needs. The Pool and its investment funds are professionally managed and serviced by affiliates of BNY Mellon, one of the largest and oldest institutions headquartered in the state of New York. We are excited to partner with you and will deliver a streamlined process that seeks to maximize liquidity while providing competitive rates of return.

The enrollment packet includes the documents needed to set up your NY MuniTrust fund account(s). If you have any questions about the enrollment process or about your NY MuniTrust account(s), please contact BNY Mellon Institutional Services at 1 (833) NYS-MUNI or by email at: [LGIPService@bnymellon.com](mailto:LGIPService@bnymellon.com).

Investors should read the NY MuniTrust Information Statement carefully before investing. Investors should consider the investment objectives, risks, charges, and expenses associated with this or any security prior to investing. Investment in NY MuniTrust is not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government agency, and although NY MuniTrust seeks to preserve the value of the investment at a fixed share price, it is possible to lose money by investing in NY MuniTrust.

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**Not FDIC Insured. Not Bank Guaranteed. May Lose Value.**

**For New York Municipal Institutional Investors Only. | Not For Use with Retail Investors.**

MIC-289500-2022-07-28

[www.nymunitrust.com](http://www.nymunitrust.com)



## Enrollment Procedures

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### To join NY MuniTrust®, please complete the following:

1. Read the NY Municipal Trust Cooperation Agreement and Information Statement on the NY MuniTrust website at [www.nymunitrust.com](http://www.nymunitrust.com).
2. Approve, complete and sign the NY MuniTrust Authorizing Resolution Form.
3. Complete and sign the NY MuniTrust Local Government Investment Pool (LGIP) New Account Application.
4. Email the completed NY MuniTrust Authorizing Resolution Form and the NY MuniTrust Application to BNY Mellon Institutional Services at [LGIPService@bnymellon.com](mailto:LGIPService@bnymellon.com).
5. Upon receipt, BNY Mellon Institutional Services will provide a secure email confirmation with your new fund account number(s), AdvisorCentral® web portal credentials, navigation and trade guides. Note: If you do not receive your account number(s) or Web Portal credentials within 3-5 business days, please check your junk/spam folder before calling BNY Mellon Institutional Services at 1 (833) NYS-MUNI.
6. When ready to invest, please visit the NY MuniTrust website for access to the AdvisorCentral web portal to place your initial subscription trade orders for your new fund account(s).
7. Trade orders and payment for subscription order(s) must be received by The Bank of New York Mellon by 12:00 P.M. ET. Subscription monies (via Fed wire or ACH) must be sent to:

The Bank of New York Mellon  
4400 Computer Drive, Westborough, MA 01581 US  
ABA Number: 011001234  
DDA Number: 639230  
DDA Name: BNY Mellon Investment Servicing (U.S.) Inc. as Agent FBO LGIP-NY Municipal Trust  
FFC: Name of Fund, Account Number(s) (4-digit fund code, 10-digit account number) and Trade Date

8. Please access the NY MuniTrust website ([www.nymunitrust.com](http://www.nymunitrust.com)) for information about the Municipal Cooperative Pool, fund yields, monthly performance fact sheets, holiday trading schedule, audited annual statements, and access to AdvisorCentral.

### For enrollment or servicing inquiries, please contact:

BNY Mellon Institutional Services at 1 (833) NYS-MUNI or email us at [LGIPService@bnymellon.com](mailto:LGIPService@bnymellon.com), Monday-Friday from 8:30 A.M. – 5:00 P.M. ET

**Investors should read the NY MuniTrust Information Statement carefully before investing. Investors should consider the investment objectives, risks, charges, and expenses associated with this or any security prior to investing. Investment in the NY MuniTrust is not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government agency, and although the Funds seek to preserve the value of the investment at a fixed share price, it is possible to lose money by investing in NY MuniTrust.**

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## Municipal Cooperative Authorizing Resolution Form

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WHEREAS, New York General Municipal Law, Article 5-G, Section 119-o (Section 119-o) and Article 3-A, empowers municipal corporations (school districts, boards of cooperative educational services, counties, cities, towns, villages, and fire districts) to enter into, amend, cancel, and terminate agreements for the performance among themselves (or one for the other) of their respective functions, powers, and duties on a cooperative or contract basis;

WHEREAS the \_\_\_\_\_ [Municipal Corporation] wishes to invest portions of its available funds in cooperation with other municipal corporations pursuant to the Municipal Cooperation Agreement dated as of February 1, 2022 (the "Agreement") by and among Orange County and the participants thereto;

WHEREAS the \_\_\_\_\_ [Municipal Corporation] wishes to satisfy the safety and liquidity needs of their funds while optimizing rates of return;

Now, therefore, it is hereby resolved as follows:

That \_\_\_\_\_ [Key Contact\*] Title of \_\_\_\_\_ [Municipal Corporation] is hereby authorized to participate in the NY MuniTrust® program under the terms of the Agreement.

\_\_\_\_\_  
Key Contact Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

\*The key contact on an account is the main point of contact for a Municipal Corporation. They receive voting credentials for Governing Board elections and all other important communications.

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MIC-289503-2022-07-28

www.nymunitrust.com



**2. Banking Instructions:**    **ACH**         **Fed Wire (only for same day transactions)**         **Both**

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Name of Bank \_\_\_\_\_ ABA# \_\_\_\_\_

Address of Bank \_\_\_\_\_

Account Name \_\_\_\_\_ Account # \_\_\_\_\_

Client Address on Bank Account (if different than physical mailing address above) \_\_\_\_\_

For Further Credit Account Name \_\_\_\_\_ For Further Credit Account # \_\_\_\_\_

**3. Authorized Persons and Signers - please read carefully and sign:**

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By the execution of this account application, the Participant: (i) represents and warrants that the designated Authorized Person(s) listed below has full right, power and authority to make the investment(s) by telephone, in writing or through the AdvisorCentral<sup>®</sup> portal (as designated by the LGIP), as designated authorized persons pursuant to this application; (ii) agrees that each of the above named Funds, BNY Mellon Investment Servicing (US), Inc. (the Transfer Agent), Dreyfus, a division of Mellon Investments Corporation (the Adviser), BNY Mellon Securities Corporation (the Distributor), The Bank of New York Mellon (the Custodian) and any subsidiary or affiliate thereof, and the respective officers, directors, trustees, employees and agents of each of the foregoing, shall not be liable for, and shall be indemnified and held harmless by the Participant from and against, any loss, damage, expense or cost (including but not limited to attorneys' fees) for acting upon any instructions or inquiries believed genuine; (iii) represents and warrants that it is duly authorized to sign this application and to purchase or redeem shares of the named Fund(s) for the account; and (iv) affirms that it has received a current Information Statement of the named Fund(s).

**The Participant acknowledges that the NY MuniTrust Local Government Investment Pool is not FDIC-insured. The Fund(s) are not bank deposits, bank obligations or bank guaranteed. They pose investment risks, including the possible loss of principal.**

**Taxpayer Identification Number Certification:** Under the penalties of perjury, the Institution certifies that [1] Taxpayer Identification Number shown in Section 1 of this application is its correct Taxpayer Identification Number, [2] it is not subject to backup withholding either because: (a) it is exempt from backup withholding, or (b) it has not been notified that it is subject to backup withholding as a result of a failure to report all dividends, or the Internal Revenue Service (IRS) has notified it that it is no longer subject to backup withholding, [3] it is a U.S. person (including a U.S. resident alien) and [4] the Foreign Account Tax Compliance Act (FATCA) code(s) entered on this form (if any) indicating that the Institution is exempt from FATCA reporting is (are) correct. If you are exempt from FATCA reporting (if you are unsure, consult your tax advisor or the IRS), enter your exemption from FATCA reporting code (if any) here: \_\_\_\_\_.

NOTE: Strike out item [2] if the Institution has been notified that it is subject to backup withholding by the IRS and has not received a notice from the IRS advising that backup withholding has been terminated.

*The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.*

**PLEASE SIGN HERE:**

By: _____ Authorized Key Contact/Board Chairperson/Chief Fiscal Officer	By: _____ Second Authorized Key Contact/Board Chairperson/Chief Fiscal Officer (if applicable)
_____ Print Name	_____ Print Name
_____ Title	_____ Title
_____ Date	_____ Date
_____ Date of Birth	_____ Date of Birth
_____ City and State of Residence	_____ City and State of Residence

**4. Authorized Person(s) and AdvisorCentral® Access**

<b>Inquiry</b>	<b>Trader</b>	<b>Signer</b>
Inquiry allows AdvisorCentral access to view account information only.	Trader has AdvisorCentral inquiry and trading access to process, modify or cancel transactions.	Signer has AdvisorCentral inquiry and trading access in addition to authorization to initiate, modify and/or change account information, authorized person(s)/signer(s), taxpayer identification number, dividend options, banking/ACH instructions, process, modify and/or cancel transactions.





**4.4. Authorized Person (please select access type)**

Inquiry     Trader     Signer

First Name	Middle Initial	Last Name	Date of Birth
Title	City	State	
Phone Number	Email Address (group email addresses are not accepted)		
Specimen Signature			

Please provide a list of additional Directors / Control Person(s). These persons would be positioned to make or influence decision making on behalf of the entity.

<u>Name</u>	<u>City and State</u>

**5. Political/Military Officials**

Please indicate if any authorized persons (related party\*) is either a senior military, government or political official in the U.S. or any other country or jurisdiction, or is closely associated with such official or an immediate family member of such official (such as self, spouse, parents, siblings, children, and in-laws):

Yes     No

If yes, please provide name of official, office held, and country

Name	Office	Country
Name	Office	Country
Name	Office	Country

\*A related party can be an Authorized Key Contact, Board Chairperson or Chief Fiscal Officer as listed in Section 3.

## 6. three+one® Balance and Transaction Data Authorization\*

Please check the box below to authorize BNY Mellon Investment Servicing (US), Inc. to send Participant account information, as outlined below, to three+one, a liquidity service provider.

Authorization to send balance and transaction data to three+one: Participant/Authorized Person authorizes and agrees to allow the transmission of the aggregated balance and transaction data, identical to that of a monthly account statement, to be sent via secure file transfer protocol (SFTP) to three+one to facilitate monthly, quarterly, or periodic data and liquidity analyses. three+one will comply with privacy and security obligations under applicable laws regarding data collection, use, transfer, storage, protection, disposal, or disclosure.

\*If you are not currently a three+one customer and are interested in their services, please call: 1 (585) 484-0311.

Please provide your three+one client code: \_\_\_\_\_

## 7. Additional Accounts to be Established

### **FBO Sub-Account Name(s)\*:**

**(To be completed by Participant – select appropriate Fund(s))**

_____	<input type="checkbox"/> NY MuniTrust Excelsior Fund (4701)
	<input type="checkbox"/> NY MuniTrust Empire Fund (4702)
_____	<input type="checkbox"/> NY MuniTrust Excelsior Fund (4701)
	<input type="checkbox"/> NY MuniTrust Empire Fund (4702)
_____	<input type="checkbox"/> NY MuniTrust Excelsior Fund (4701)
	<input type="checkbox"/> NY MuniTrust Empire Fund (4702)
_____	<input type="checkbox"/> NY MuniTrust Excelsior Fund (4701)
	<input type="checkbox"/> NY MuniTrust Empire Fund (4702)
_____	<input type="checkbox"/> NY MuniTrust Excelsior Fund (4701)
	<input type="checkbox"/> NY MuniTrust Empire Fund (4702)
_____	<input type="checkbox"/> NY MuniTrust Excelsior Fund (4701)
	<input type="checkbox"/> NY MuniTrust Empire Fund (4702)

\*Participant name and additional sub-account name must be limited to 35 characters. Additional sub-accounts will utilize the information completed in sections 1 through 6.

**Customer Identification Program Notice**  
**Important Information About Procedures for Opening a New Account**  
USA PATRIOT Act, Bank Secrecy Act, and Anti-Money Laundering

To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify, and record information that identifies each individual or entity that opens an account. What this means for you: When you open an account, we will ask for information that will allow us to identify you. Until you provide the information or documents requested, we may not be able to open an account or effect any additional transactions for you.

**Unlawful Internet Gambling Enforcement Act ("Act") Notice:** Transactions associated with unlawful internet gambling are prohibited. Specifically, the Act "prohibits any person engaged in the business of betting or wagering (as defined in the Act) from knowingly accepting payments in connection with the participation of another person in unlawful internet gambling." LGIP Participants must not initiate or receive wire transfers, checks, drafts or other debit/credit transactions that are restricted by the Act. For more information, please refer to: <https://www.federalreserve.gov/newsevents/pressreleases/files/bcreg2008112a1.pdf>.

**Escheatment Notice:** Your property may be transferred to the appropriate state if no activity occurs in your Fund accounts within the time period specified by law.

If required information is missing, your application may be rejected. If an account is established pending receipt of requested information, it may be restricted to liquidating transactions only and closed if requested information is not received within specified time frames.

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**Please Note:** After your new account is established, a secure email confirmation will be sent from LGIP1Service@bnymellon.com. It will contain your AdvisorCentral portal login credentials, navigation and trading guides. If you do not receive your login credentials within 3-5 business days, please check your junk/spam folder before calling the BNY Mellon Institutional Services Client Service team at 1 (833) NYS-MUNI or by email at LGIPService@bnymellon.com for assistance.

**FOR INTERNAL USE BY BNY MELLON INSTITUTIONAL SERVICES ONLY**

\_\_\_\_\_  
Dealer Name

\_\_\_\_\_  
Dealer/Branch Number