

**Clackamas County
Office of the Treasurer
Broker/Dealer Questionnaire**

Firm Name: _____
CRD Number: _____

Local office/address: _____

Please attach a bio of the primary and secondary representatives covering this account:

Primary Representative: _____

Telephone: _____
Fax: _____
E-Mail: _____
CRD Number: _____

Secondary Representative or sales assistant: _____

Telephone: _____
E-Mail: _____
CRD Number: _____

Branch Manager: _____
Telephone: _____

Is firm designated as a primary dealer by the Federal Reserve?* _____
If not does you maintain an inventory? (Dealer status)* _____

Is the firm registered with the State Securities Board?* _____
Is the firm and all its representatives registered with the NASD?* _____

List three comparable public clients currently working with this representative.
Entity name, contact and phone number.

** If the answer to any of these questions is no, please explain each separately.*

What are the market sectors in which you and your firm are involved? Please feel free to provide additional information regarding specialization in any of the following market sectors.

	<u>Firm Involvement</u>	<u>Broker Involvement</u>
US Treasuries	_____	_____
US Agencies	_____	_____
Repo	_____	_____
MBS	_____	_____
CP/BA	_____	_____
Corporate	_____	_____
CD	_____	_____
Other?	_____	_____

Has this firm, or the representatives assigned to this account, been subject to a regulatory agency, state or federal investigation for alleged improper, disreputable, unfair or fraudulent activities related to the sale of securities or money market instruments that resulted in a suspension or censure?

Is there outstanding litigation which would materially affect your financial stability?

If yes to either, please explain _____

Do you provide any fixed income research and economic commentary? _____
 Please *attach sample*.

Please provide the firm's most recent audited financial statement.

Describe the precautions taken by your firm to protect the interests of the public when dealing with a local public entity.

Our Investment Policy is located on our department website. Please go to the County's website at co.clackamas.or.us. The representatives assigned to the account must acknowledge that they have read and understood that Policy by signing below.

 Signature

 Date

 Signature

 Date