

**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, do you maintain an inventory? (Dealer status)* _____

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

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 in an attachment to this document.*

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 office's website. Please go to the County's website at www.clackamas.us/treasurer. The representatives assigned to the account must acknowledge that they have read and understood that Policy by signing below.

Signature

Date

Signature

Date