



CITY OF ROSEVILLE
BROKER/DEALER QUESTIONNAIRE

Firm Name: _____

CRD Number: _____

Office servicing account: _____

Address: _____

Primary Representative:

Please attach bio of primary and secondary representatives covering this account.

Telephone: _____

Fax: _____

E-Mail: _____

CRD Number: _____

Secondary Representative or sales assistant: _____

Telephone: _____

E-Mail: _____

CRD Number: _____

Branch Manager: _____

Telephone: _____

Is your firm designated as a primary dealer by the Federal Reserve?* _____

If not, does your firm maintain an inventory? (dealer status)* _____

Is the firm registered with the State of _____ State Securities Board?* _____

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

In what market sectors does the account representative specialize? _____

List three comparable public clients currently working with this representative.

Entity name, contact and phone number.

Three horizontal lines for listing public clients.

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

Attach complete delivery instructions.
All transactions will be completed delivery versus payment.



BROKER/DEALER QUESTIONNAIRE

Page 2 to be completed by non-primary broker/dealers only.

Firm Name: _____ CRD #: _____

Years in business at this location: _____ Total years: _____

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.

Table with 2 columns: Firm Involvement, Broker Involvement. Rows include 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 that would materially affect the firm's financial stability?

Three horizontal lines for providing a response to the investigation question.

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

What portfolio information do you require from your clients? _____

One horizontal line for providing a response to the portfolio information question.

Please provide the firm's most recent audited financial statement. (The City will require an annual financial statement be provided.)

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

Three horizontal lines for describing precautions taken by the firm.

Attached is our Investment Policy. The representatives assigned to the account must acknowledge that they have received, read and understood the Policy, dated _____ by signing below.

Signature

Name and Title

Signature

Name and Title