



Broker /Dealer Questionnaire

Thank you for your interest in working with Yamhill County. If you have questions regarding the Broker/Dealer approval process please contact the Treasurer, Paulette Alexandria at 503-434-7501 or Alexandriap@yamhillcounty.gov.

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 the NASD?* _____

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

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 _____

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

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? | _____ | _____ |

List three local governments you currently work with in the State of Oregon.

| Local Government | Contact |
|------------------|---------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |