



FINANCE AND ADMINISTRATIVE SERVICES DEPARTMENT

115 S. Andrews Avenue, Room 513 • Fort Lauderdale, Florida 33301 • 954-357-7130 • FAX 954-357-7134 • Email: finance@broward.org

BROKER – DEALER QUESTIONNAIRE

*If additional room is needed for your response, a supplemental form may be used.
Please cross-reference your response on both forms.*

FIRM AND BROKER INFORMATION

Name of Firm: _____
Firms CRD Number: _____ Broker Dealer/DTC Number: _____
Address: _____
City: _____ State: _____ Zip: _____
Telephone: _____
Years Established: _____ Number of Employees: _____
Bloomberg Inventory Pages: _____

Primary Representative

Name: _____ Title: _____
Address: _____
City: _____ State: _____ Zip: _____
Telephone: _____ Email: _____
CRD Number: _____ Years with the Firm: _____

Will this person be trading with or quoting security offers to Broward County? Yes__ No__
Confirm this person has read and understands Broward County’s Investment Policy. Yes__ No__

Sales Associate/Backup

Name: _____ Title: _____
Address: _____
City: _____ State: _____ Zip: _____
Telephone: _____ Email: _____
CRD Number: _____ Years with the Firm: _____

Will this person be trading with or quoting security offers to Broward County? Yes__ No__
Confirm this person has read and understands Broward County’s Investment Policy. Yes__ No__

QUESTIONS

1. In order to be eligible to serve the County, you must meet one of the requirements listed below.

Choose one option that applies to you (attach proof of eligibility to your application):

- Primary dealer as defined by the Federal Reserve Bank of New York,
or
- Top 10 Bank by Total Capital that is also a Qualified Public Depository for the State of Florida,
or
- Regional dealer that **meets all** the following criteria:
 - Complies with the SEC mandated Minimum Net Capital Rule 15c3-1;
 - Can provide most recent Financial and Operational Combined Uniform Single (FOCUS) report showing a minimum net capital of \$10 million on either line 3750 or line 3760 of the Report;
 - Has been in continuous business operations for the five (5) years preceding the date of application; and
 - If a banking institution, must be a Qualified Public Depository, as defined in Section 280.02, Florida Statutes.

2. Which of the following instruments are offered regularly by the firm?

- | | |
|---|--------------------------------------|
| <input type="checkbox"/> Treasury Bills | Government Agencies: |
| <input type="checkbox"/> Treasury Notes/Bonds | <input type="checkbox"/> FFCB |
| <input type="checkbox"/> Commercial Paper (A1/P1 Minimum) | <input type="checkbox"/> FNMA |
| <input type="checkbox"/> World Bank/IBRD Notes/Bonds | <input type="checkbox"/> FHLB |
| <input type="checkbox"/> World Bank/IBRD Discount Notes | <input type="checkbox"/> FHLMC |
| <input type="checkbox"/> Other _____ | <input type="checkbox"/> Farmer Mac |
| | <input type="checkbox"/> Other _____ |

3. Does your firm specialize in any of the above instruments?

If so, please specify:

4. Does your firm have direct access to Discount Windows:

- | | | |
|-------------------------------|-------------------------------------|--|
| <input type="checkbox"/> FHLB | <input type="checkbox"/> FNMA | <input type="checkbox"/> FHLMC |
| <input type="checkbox"/> FFCB | <input type="checkbox"/> Farmer Mac | <input type="checkbox"/> IBRD/World Bank |

5. Does your firm execute trades electronically through Bloomberg?

- Yes No

If yes, do you trade on:

Fixed Income Trading (FIT) Platform (select all that apply)

Treasury Bills Treasury Notes/Bonds Government Agencies

Money Market Offerings (BOOM) Platform (select all that apply)

Commercial Paper (A1/P1 Minimum) Discount Notes

Other _____

Please check box and initial to confirm that access to all electronic trading available/selected from list above will be available to Evan Zacharia and Greg Krohner. _____

6. Has your firm ever been temporarily closed or prohibited from trading due to net capital inadequacy?

Yes No

If yes, please explain:

7. Has your firm been subject to a regulatory, state, or federal agency investigation for alleged improper, fraudulent, disputable or unfair activities related to the purchase or sale of fixed-income type securities or investments?

Yes No

If yes, please explain:

8. Have any employees trading with or quoting securities to Broward County undergone any disciplinary action, fines, suspension, or revocation of licenses within the last five years?

Yes No

If yes, please explain:

9. Have any of the firm's public-sector clients ever sustained a loss on a securities transaction arising from a misunderstanding or misrepresentation of the risk characteristics of the instrument in the last five years?

Yes No

If yes, please explain:

10. For applicants who have not previously worked with Broward County: Please provide three references from public-sector clients with which the firm has conducted business in the last five years. The references should include a mix of municipalities both within Florida and outside of Florida:

11. Is there anything in your background in fixed-income securities business that makes you stand out above the rest? Why should Broward County do business with you?

12. If selected, what (if any) documents/forms does your firm require in order to establish an account for the County?

13. Does your firm have office(s) in Florida? _____

If so, please provide location(s) _____

CHECKLIST

- Signed *Public Funds Account Authorization to Trade*
- Most recent Financial and Operational Combined Uniform Single (FOCUS) report
- Proof of Financial Industry Regulatory Authority (FINRA) certification and of state registration
- Violations/Sanctions disclosure
- Completed *Broker – Dealer Questionnaire*
- References

Qualified Representative

Signature

Printed Name & Title

Date