



**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.*

**BASIC INFORMATION**

Name of Firm: \_\_\_\_\_  
Firms CRD Number: \_\_\_\_\_ Broker Dealer/DTC Number: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_  
Years Established: \_\_\_\_\_ Number of Employees: \_\_\_\_\_

Primary Representative

Name: \_\_\_\_\_ Title: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_  
CRD Number: \_\_\_\_\_ Years with the Firm: \_\_\_\_\_

Will this person be trading with or quoting security offers to Broward County?  
Has this person read and understands Broward County’s Investment Policy?  
Market sectors in which the representative specializes: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Sales Associate/Backup

Name: \_\_\_\_\_ Title: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_  
CRD Number: \_\_\_\_\_ Years with the Firm: \_\_\_\_\_

Will this person be trading with or quoting security offers to Broward County?  
Has this person read and understands Broward County’s Investment Policy?  
Market sectors in which the representative specializes: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## 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** of 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;
  - 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"/> BA's (domestic)                  | <input type="checkbox"/> FHLB  |
| <input type="checkbox"/> World Bank/IBRD Notes/Bonds      | <input type="checkbox"/> FFCB  |
| <input type="checkbox"/> Other                            | <input type="checkbox"/> FHLMC |
|   | <input type="checkbox"/> Other |

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

If so, please specify:

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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
  - Treasury Bills  Treasury Notes/Bonds  Government Agencies
- Money Market Offerings (BOOM) Platform
  - Commercial Paper (A1/P1 Minimum)  Discount Notes
- Other \_\_\_\_\_

6. Will your firm provide an electronic trade ticket i.e. VCON to Broward County within two hours of the trade being executed?

- Yes  No

**\*\* All transactions will be completed delivery versus payment**

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

- Yes  No

If yes, please explain:

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8. 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 any type of securities or investments?

- Yes  No

If yes, please explain:

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9. 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:

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**10.** 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:

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**11.** 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:

- a) Municipalities within Florida,
- b) Municipalities outside of Florida.

**12.** 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?

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

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## 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

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Signature

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Printed Name & Title

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Date