



**CITY OF COLLEGE STATION
FISCAL SERVICES**

P.O. BOX 9960 1101 TEXAS AVENUE
COLLEGE STATION, TEXAS 77842
(979) 764-3552 Fax (979) 764-3899
email schmelar@cstx.gov

BROKER/DEALER QUESTIONNAIRE AND CERTIFICATION

1. NAME OF FIRM: _____
CRD Number: _____
Office servicing account: _____
Address:: _____

-
2. PRIMARY REPRESENTATIVE: _____
(Please attach bio of primary and secondary representatives covering this account.
Telephone: _____
Fax: _____
E-mail: _____
CRD Number: _____

3. Secondary Representative or sales assistant: _____
Telephone: _____
E-mail: _____
CRD Number: _____

4. 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 Texas 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, phone number and e-mail address.)

**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.**

If you are a primary dealer – go to Page 3, Item 5
If you are a non-primary broker/dealer continue with the remainder of this form.

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.

	<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 the firm's financial stability?

Do you provide any fixed income research and economic commentary? _____

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. _____

5. 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

Printed Name and Title

Signature

Printed Name and Title