

**County of El Paso, Texas  
Broker/Dealer Questionnaire**

Name of Firm: \_\_\_\_\_

Name of Parent Company (if applicable): \_\_\_\_\_

Local Address: \_\_\_\_\_

National Address: \_\_\_\_\_

\_\_\_\_\_

Phone: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ (800) \_\_\_\_\_ - \_\_\_\_\_

Fax: (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ E-Mail \_\_\_\_\_

Registered principal: \_\_\_\_\_

Title: \_\_\_\_\_

Account Representative: \_\_\_\_\_

Title: \_\_\_\_\_ CRD# \_\_\_\_\_

Backup Representative: \_\_\_\_\_

Title: \_\_\_\_\_ CRD# \_\_\_\_\_

Do you have an office of the firm for brokerage or other services located within our area? \_\_\_\_\_

Address of office \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Has/have the representative(s) listed above been authorized by the firm to be the account representative(s) for the County of El Paso, Texas? \_\_\_\_\_

By Whom? \_\_\_\_\_

Identify all personnel who will be trading with the El Paso County cash/investment management staff (additional back-ups)

Name	Title	CRD number
_____	_____	_____
_____	_____	_____

PLEASE ATTACH RESUMES of all the above persons.

Have all of the above personnel read our investment policies and procedures and signed our certification?

Yes [ ]      No [ ]

If the above answer is no, please explain: \_\_\_\_\_  
\_\_\_\_\_

If you are a broker/dealer or subsidiary of a national bank, is your firm licensed to do business in Texas?  
Yes [ ] No [ ]

If you are a broker/dealer or subsidiary of a national bank, is your firm a member of Financial Industry  
Regulatory Authority (FINRA) in good standing?  
Yes [ ] No [ ]

**Please provide your firm's CRD number** \_\_\_\_\_

What was your firm's trading volume in United States Government and Agency securities for the most recent fiscal year?

Firm-wide? \$ \_\_\_\_\_  
Number of Transactions \_\_\_\_\_  
Local Office \$ \_\_\_\_\_  
Number of Transactions \_\_\_\_\_

Which instruments are offered regularly by your local desk?

- Treasury Bills
- Treasury notes/bonds
- Agencies-specify

- \_\_\_\_\_
- Commercial paper
  - Other-specify
- \_\_\_\_\_

Please identify at least three of your most directly comparable public sector clients in Texas who have done business with the primary representative

Entity	Contact Person	Telephone No.	Client since
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Has your firm or any of your employees ever been investigated by a regulatory or state agency for alleged improper, fraudulent, disreputable, or unfair business practices in the sale of securities or money market instruments? If yes, please explain:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Please provide the most recent AUDITED financial statements for your firm.**

**Please provide your most recent FOCUS report.**

**Is your firm a subsidiary of another firm? [ ] yes [ ] no. if yes please provide the most recent audited financial statements for your parent corporation.**

How long has the direct representative been an institutional governmental securities broker? \_\_\_\_\_

How long has the direct representative been an institutional fixed-income broker? \_\_\_\_\_

Is your firm a member of FINRA (Financial Industry Regulatory Authority)? \_\_\_\_\_

If not, why? \_\_\_\_\_

Place an X by each regulatory agency that your firm is examined by and/or subject to its rules and regulations.

FDIC \_\_\_\_\_ SEC \_\_\_\_\_ NYSE \_\_\_\_\_ Federal Reserve System \_\_\_\_\_

Comptroller of Currency \_\_\_\_\_

Do you have full SIPC (Securities Investor Protection Corporation) insurance coverage? \_\_\_\_\_

SIPC policy number \_\_\_\_\_ \

Does the business organization have additional insurance coverage? \_\_\_\_\_ if yes, provide name of company, policy number, and amount \_\_\_\_\_

***Please provide information on a separate sheet regarding additional coverage for your customers in case of default or failures.***

Does the firm have primary dealer status with the Federal Reserve Bank of New York? \_\_\_\_\_

How long has the firm had primary dealer status? \_\_\_\_\_

Are the firm and the account representative(s) registered with the Texas State Securities Board?

Since? \_\_\_\_\_

Please provide references from at least four comparable public sector clients. We would prefer public sector clients located in the State of Texas, if possible.

Client Name \_\_\_\_\_

Address \_\_\_\_\_

Person to contact \_\_\_\_\_

Telephone Number \_\_\_\_\_ Length of relationship \_\_\_\_\_

Client Name \_\_\_\_\_

Address \_\_\_\_\_

Person to contact \_\_\_\_\_

Telephone Number \_\_\_\_\_ Length of relationship \_\_\_\_\_

Client Name \_\_\_\_\_

Address \_\_\_\_\_

Person to contact \_\_\_\_\_

Telephone Number \_\_\_\_\_ Length of relationship \_\_\_\_\_

Client Name \_\_\_\_\_

Address \_\_\_\_\_

Person to contact \_\_\_\_\_

Telephone Number \_\_\_\_\_ Length of relationship \_\_\_\_\_

***The following section is to be completed by any firm that does not currently hold primary dealer status.***

In which market sectors does the local firm/desk specialize, if any? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Please identify your most directly comparable public sector clients. \_\_\_\_\_

\_\_\_\_\_

How long has your firm been in business? \_\_\_\_\_

Are you a subsidiary of another firm? \_\_\_\_\_

If yes, which firm? \_\_\_\_\_

How long have the two firms been associated? \_\_\_\_\_

What was the firm's total volume in United States Treasuries and agencies for the last fiscal year?

Firm wide: \$ \_\_\_\_\_

This office: \$ \_\_\_\_\_

Is your firm an inventory dealer? \_\_\_\_\_

Do you take a position in securities that you sell or buy? \_\_\_\_\_

Does your firm comply with the SEC (Securities Exchange Commission) net capital guidelines on a continuous basis? \_\_\_\_\_ How much excess capital do you maintain? \_\_\_\_\_

Through which firm do you clear? \_\_\_\_\_

Do you clear on a fully disclosed basis, i.e., will the clearing firm be acting as principal on the transaction?

\_\_\_\_\_

***Please attach a separate sheet with your full delivery instructions.***

**Please return to:**

Edward A. Dion  
El Paso County Auditor  
800 East Overland, Room 406  
El Paso, Texas 79901-2407