



Broker/Dealer Questionnaire

With a population of just over 3,100 residents, the City of Clyde Hill is incorporated under the laws of the State of Washington and enjoys all the rights and privileges applicable to a Code City. The City operates under a Council-Mayor form of government, and provides basic local government services including public safety, maintenance and construction of public improvements, recreation, planning, zoning, and general administration. The City Treasurer oversees an investment portfolio ranging in size from \$5 million to \$10 million, which is currently comprised of deposits with the Washington State Local Government Investment Pool (LGIP). The City has adopted a written Investment Policy that regulates the standards and procedures used in its cash management activities. A current copy is available on request and should be reviewed prior to submitting this RFQ.

Firm Name _____

Year Founded _____

Corporate office address _____

Telephone #: _____

Principal, Managing Director or Partner:

Name _____

Title _____

Direct phone _____

E-mail address _____

Is your firm a broker (does not own securities being offered)? _____

Is your firm a dealer (does own securities being offered)? _____

Is your firm a "primary dealer" in U.S. Government securities? _____

Is your firm a "regional dealer" in U.S. Government securities? _____

Local office address: _____

Please attach a bio or resumé of the primary and secondary representatives covering this account, including securities-related employment history, licensing, certificates, complaints, disciplinary action, arbitration, litigation:

Primary Representative:

Name _____
Title _____
Direct phone _____
E-mail address _____

Secondary Representative:

Name _____
Title _____
Direct phone _____
E-mail address _____

Provide proof of registration with State of Washington attached
Provide proof of registration with FINRA attached
Provide most recent audited financial statements attached

Is your firm examined by and subject to rules and regulations of:

FDIC	<input type="checkbox"/> Yes	<input type="checkbox"/> No
SEC	<input type="checkbox"/> Yes	<input type="checkbox"/> No
NYSE	<input type="checkbox"/> Yes	<input type="checkbox"/> No
FINRA	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Federal Reserve System	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Which of the following instruments are offered regularly by your trading desk?

- | | |
|------------------------------|--|
| () T-Bills / Treasury Notes | () Other CDs |
| () Agencies (specify): | () Commercial Paper (AI/ PI) |
| FNMA, FHLMC, FHLB, FFCB | () BA's (domestic) |
| () Negotiable CDs | () Money Market Funds |
| () CDARS | () Other : Municipal bonds, corporate bonds |

Which of the above instruments does your firm specialize in marketing? _____

Has the 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?

Yes No

Does your firm have any pending litigation with public sector clients, or have you been subject to any within the last five years?

Yes No

Do you provide any fixed income research and economic commentary?

Yes No

Describe the precautions taken by your firm to protect the interests of the public when dealing with a local public entity as an investor.

Attached n/a

Has any client sustained a loss on a securities transaction engendered from a misunderstanding or misrepresentation of the risk characteristic of a financial instrument by your firm?

Yes No

Please describe the reports, transactions, confirmations and paper trail the City would receive.

Attached n/a

What training would you provide for our employees and officers?

Attached n/a

CERTIFICATION

I hereby certify that the preceding is true and correct to the best of my knowledge and that I am authorized to execute this request for information on behalf of the broker/dealer firm.

The firm has in place reasonable procedures and a system of controls designed to preclude imprudent investment activities arising out of transactions conducted between the firm and the City of Clyde Hill.

All individuals assigned to the City's account have read the City's current Investment Policy, understand the objectives and constraints set forth by the policy, agree to disclose potential conflicts or risks to public funds that might arise out of business transactions between the firm and the City, and will incorporate due diligence in conforming to the provisions of the policy as well as all applicable state and federal regulations as they apply to the investment activities of Washington municipalities.

The firm shall be provided the most current Investment Policy for the City and shall be informed of any changes to the policy. The undersigned certify that no securities will be sold to the City that are in violation of State code or City policy; however, the City shall be responsible for ensuring compliance with percentage limits established by State code and City policy.

Primary Representative:

Name: _____ Signature: _____
Title: _____ Date: _____

Secondary Representative:

Name: _____ Signature: _____
Title: _____ Date: _____

Principal, Managing Director or Partner:

Name: _____ Signature: _____
Title: _____ Date: _____