

BROKER DEALER QUESTIONNAIRE

Name of Firm:

Local Address:

National Address:

Telephone:

1. Identify the members of your sales team who will be trading with or quoting securities to our employees (please attach resumes of all persons listed):

2. Identify your most directly comparable client in our geographic area.

Name:

Address:

Contact: Phone:

Length of relationship:

3. Does your firm have any pending litigation with public-sector clients or have you been subject to any within the last 3 years? If yes, please explain.

4. Which instruments are offered regularly by your local desk and which of those does your firm specialize in marketing?

5. Please explain how you will add value to the City of Sacramento Investment Desk while helping us adhere to the parameters and meet the goals listed in our investment policy.

6. **Please include samples of research reports or market information that you regularly provide to clients.**

Please submit the completed application and any other relevant paperwork to: PZalasky@cityofsacramento.org

Applications will be accepted on a continuing basis and will be reviewed semi-annually.

Your firm will be notified directly if you are chosen to join our platform.