



**Yamhill County, Oregon  
Broker/Dealer Questionnaire**

- 1) **Name of Firm:**
- 2) **Firm CRD #:**
- 3) **Firm Address:**
- 4) **Check one of the following:**  
 Primary Broker/Dealer       Regional Broker/Dealer
- 5) **How long has the firm been in the investment services field?**
- 6) **Has your firm consistently met the Securities and Exchange Commission (SEC) Rule 15C3-1 (Uniform Net Capital Rule) over the past three years?**
- 7) **Identify all personnel who will be trading with or quoting securities to Yamhill County employees:**

_____	_____
Name	Name
_____	_____
Title	Title
_____	_____
Email Address	Email Address
_____	_____
Toll Free Phone Number	Toll Free Phone Number
_____	_____
Fax Number	Fax Number
_____	_____
CRD Number	CRD Number
_____	_____
Alternate Phone Number	Alternate Phone Number

\*\* Provide additional personnel as an attachment if necessary.

8) **Supervisor's Information:**

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
Email Address

- 9) **Have all the above personnel read Yamhill County's investment policies and the State of Oregon investment statutes?**
- 10) **Have any of your government agency clients ever sustained a loss on a securities transaction arising from a misunderstanding or misrepresentation of the risk characteristics of the instrument? If so, please explain.**
- 11) **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?**
- 12) **Please list the marketable securities regularly offered by your firm.**
- 13) **Please list additional services you provide regularly to public entities.**
- 14) **Please list three comparable Oregon public entities as references for which the firm has conducted business with in the most recent fiscal year. Include entity name, contact name, phone number, and length of firm's relationship with the entity.**
- 15) **What reports, transaction confirmations and paper trail will be provided to Yamhill County?**
- 16) **In addition to answering the above questions, please furnish the following (preferably in an electronic format):**
- a) **Documentation that your firm is registered, licensed, and has been in operation for at least five years in the State of Oregon.**
  - b) **Copies of licenses and professional credentials for those who will be providing investment services to Yamhill County. Please include Financial Industry Regulatory Authority (FINRA) and Securities and Exchange Commission (SEC) credentials for all personnel listed under question #7.**
  - c) **Complete schedule and disclosure of any fees or charges associated with various transactions.**
  - d) **Proof of firm's Securities Investor Protection Corporation (SIPC) membership.**
  - e) **Firm's most recent audited financial statements.**
  - f) **Signed certification (attached) for all personnel listed under question #7.**

**Certification**

I hereby certify that I have personally read the investment policies and objectives of Yamhill County. I agree not to intentionally offer or suggest investments contrary to Yamhill County's investment policy. I further certify that I am familiar with and understand the Oregon Revised Statutes regulating investment practices for Oregon municipalities. I agree that the decision of Yamhill County's investment staff on the eligibility to conduct transactions with Yamhill County is final. I agree to notify Yamhill County immediately by telephone and writing in the event of material adverse change in the financial condition of the firm I represent. I pledge to exercise due diligence in informing you of all foreseeable risks associated with financial transactions conducted with our firm. I attest to the accuracy of my firm's responses to Yamhill County's questionnaire.

Signed: \_\_\_\_\_  
Title Date

Signed: \_\_\_\_\_  
Title Date

Signed: \_\_\_\_\_  
Title Date

\* Certification must be signed by each person listed in Question #7 of the questionnaire.