



CITY OF INGLEWOOD
BROKER/DEALER QUESTIONNAIRE

1. Name of Firm _____
2. Address _____ (Local) _____ (National Headquarters)

3. Telephone No. () _____ () _____
(Local) (National Headquarters)
4. Primary Representative: Name _____ Manager/Partner-in-Charge: Name _____
Title _____ Title _____
Telephone No. _____ Telephone No. _____
No. of Yrs in Institutional Sales _____ No. of Yrs in Institutional Sales _____
Number of Years with Firm _____ Number of Years with Firm _____
5. Are you a primary dealer in U.S. Government Securities? [] YES [] NO
If so, for how long has your firm been a primary dealer? _____
6. Are you a Broker instead of a Dealer, i.e., You DO NOT own positions of Securities? [] YES [] NO
7. What was your firm's total volume in U.S. Government and agency securities trading last year?
Firm-wide \$ _____ Number of transaction _____
Your local office \$ _____ Number of transaction _____
8. Which instruments are offered regularly by your local desk?
[] T-bills [] BAs (domestic)
[] T-notes/bonds [] BAs (foreign)
[] Agencies (specify) [] Commercial paper
[] _____ [] CDs
[] _____ [] Medium Term Notes
[] _____ [] Other (specify)
[] Repurchase Agreement _____

9. What makes your firm stand out above the rest, what do you specialize in? _____

15. Please identify your public-sector clients in our geographical area who are most comparable to our City.

<u>Entity</u>	<u>Contact person</u>	<u>Telephone no.</u>	<u>Client since</u>
		()	
		()	
		()	
		()	

16. Have any of your public-sector clients ever sustained a loss on a securities transaction arising from a misunderstanding or misrepresentation of the risk characteristics of the instrument? If so, explain.

17. Has your firm ever been subject to a regulatory or state or federal agency investigation for alleged improper, fraudulent, disreputable or unfair activities related to the sale of government securities or money market instruments? Have any of your employees ever been so investigated? Explain.

18. Has public-sector client ever claimed in writing that your firm was responsible for investment losses? Explain.

19. Has your firm consistently complied with the Federal Reserve Bank's capital adequacy guidelines? Include certified documentation of your current capital adequacy as measured by Federal Reserve standards.

20. Please provide certified financial statements and other indicators regarding your firm's capitalization. In addition, an audited financial statement must be provided within 120 days of your fiscal year-end.

21. Do you participate in the SIPC insurance program? If not, explain.

22. Please include samples of research reports or market information that you firm regularly provides to public-sector clients.

23. What training would you provide to our employees and investment officers?

24. What portfolio information do you require from your clients?

25. How many and what percentage of your transactions failed last month? _____
Last year? _____

26. Describe the precautions taken by your firm to protect the interests of the public when dealing with governmental agencies as investors.

27. Enclose a complete schedule of fees and charges for various transactions.

-CERTIFICATION-

I hereby certify that I have personally read the investment policies and objectives of the City of Inglewood and have implemented reasonable procedures and a system of controls designed to preclude imprudent investment activities arising out of transaction conducted between our firm and the City of Inglewood. All sales personnel will be routinely informed of your investment objectives, horizon, outlook, strategies and risk constraints whenever we are so advised. We will notify you immediately by telephone and in writing in the event of a material adverse change in our financial condition. We 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 responses to your questionnaire.

Signed: _____ Date: _____

(Countersigned by company president or person in charge of government securities operations.)

This Broker/Dealer Questionnaire was duly affirmed by the Authority of the City Council of the City of Inglewood on the _____ day of _____ 2002.

Mayor

Attest: _____
City Clerk