



OFFICE OF THE TREASURER-TAX COLLECTOR

HALL OF FINANCE & RECORDS
12 CIVIC CENTER PLAZA, SUITE G76
POST OFFICE BOX 4515
SANTA ANA, CA 92701
www.ttc.ocgov.com

CHRISS W. STREET
TREASURER-TAX COLLECTOR

PAUL C. GORMAN, C.P.A., CTP
CHIEF ASSISTANT TREASURER-TAX COLLECTOR

JENNIFER BURKHART, CFA
ASSISTANT TREASURER-TAX COLLECTOR

WALTER DANIELS
ASSISTANT TREASURER-TAX COLLECTOR
TAX COLLECTION

ROBIN RUSSELL
ASSISTANT TREASURER-TAX COLLECTOR
ADMINISTRATION

EXHIBIT A BROKER/DEALER QUESTIONNAIRE

1) Name of Firm:

2) Local Address:

National Address:

3) Telephone:

4) Primary representative/manager/partner-in-charge:

Name: _____ Phone: _____

Secondary representative/manager/partner-in-charge:

Name: _____ Phone: _____

5) Are you a Primary Dealer in U.S. Government Securities? _____

6) Are you a member of NASD? _____

If not, please explain.

7) Do you participate in the SIPC Insurance program? _____

If not, please explain.

7) What is the date of your firm's fiscal year-end? _____

8) Has your Firm consistently complied with the Federal Reserve Bank's

Capital adequacy guidelines? _____

If not, please explain.

9) Is your firm owned by a holding company? _____

If so, what is its name and net capitalization? _____

10) Identify the principal who will be trading with or quoting securities to our employees (attach current resumes of all persons listed).

11) Please identify your most directly comparable clients in our geographical area, including name, address, contact, phone#, length or relationship? _____

12) Please indicate a percentage breakdown of your client base by portfolio size.

13) Have any of your public clients ever sustained or claimed a loss on a securities transaction or loss of principal arising from a misunderstanding or misrepresentation of the risk characteristics of a recommended instrument purchased through your firm? _____ If yes, please explain.

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

16) Has your firm ever been subject to a regulatory, state or federal agency investigation for alleged improper, fraudulent, disreputable or unfair activities related to the sale of government securities or money market instruments? _____ If yes, please explain.

17) Which instruments are offered regularly by your local desk?

18) Which of the above does your firm specialize in marketing?

19) What reports, transaction confirmations, and paper trail will we receive?

20) What precautions are taken by your firm to protect the interest of the public when dealing with government agencies as investors?

21) What training would you provide for our employees and investment officers?

22) What portfolio information do you prefer from your clients?

23) Please provide your wiring and delivery instructions.

24) Attach certified documentation of your capital adequacy and financial solvency. In addition, an audited financial statement must be provided within 120 days of your fiscal year-end.

25) Please include samples of research reports or market information that your firm regularly provides to clients.

26) No Broker/Dealer of security firm shall be selected who has within any consecutive 48 month period, made a political contribution in an amount exceeding the limitations contained in Rule G-37 of the Municipal Securities Rulemaking Board, to the local treasurer or any member of the Board of Supervisors or to any candidate for these offices. Please provide a current copy of your firm's MSRB Rule G-37 filing.