

# OFFICE OF THE ILLINOIS STATE TREASURER

## Broker/Dealer Questionnaire

Please fully complete this profile and attach any documentation to support the information provided. All information provided may be subject to independent verification by the Treasurer's Office. The Treasurer's Office reserves the right to request additional information from the firm prior to acceptance of the firm as a counterparty qualified to do business with the Office.

*(For any question that does not apply to your firm, please indicate by "N/A" in the response)*

### I. BACKGROUND

Name of firm \_\_\_\_\_

Primary Illinois Address \_\_\_\_\_  
 \_\_\_\_\_

Number employed in Illinois Offices: \_\_\_\_\_

Number offices in Illinois: \_\_\_\_\_

Number of Employees Corporate Wide: \_\_\_\_\_

Name \_\_\_\_\_ Name \_\_\_\_\_

Title \_\_\_\_\_ Title \_\_\_\_\_

Phone \_\_\_\_\_ Phone \_\_\_\_\_

Email \_\_\_\_\_ Email \_\_\_\_\_

Address \_\_\_\_\_ Address \_\_\_\_\_

*(If other than above)*

*(If other than above)*

### II. KEY PERSONNEL

Identify all personnel who will be trading with or quoting securities to the Treasurer's authorized investment staff.

Name	Registration Type	Phone

**III. DEALER: FIRM PROFILE**

Are you a member of NASD?     Yes  No

If yes, number of years \_\_\_\_\_

What was your firm's total trading volume in U.S. Government & Agency securities last year?

	Treasury	Agency
Firm-wide	\$ _____	\$ _____
# of transactions	_____	_____

Which instruments are predominately offered by your firm?  
 (Indicate by designation percentage of total business allocated to each type.)

- Treasury Instruments \_\_\_\_\_%
- U.S. Agencies \_\_\_\_\_%
- Repurchase Agreement \_\_\_\_\_%
- Commercial Paper \_\_\_\_\_%
- \_\_\_\_\_ \_\_\_\_\_%
- \_\_\_\_\_ \_\_\_\_\_%

Has your firm ever been notified by a regulatory, state or federal agency that it has conducted improper, fraudulent, disreputable or unfair activities related to the sale of any securities or money market instructions?  Yes  No

Does your firm or any of its employees have litigation pending that would materially impact the firm's business?  Yes  No

If yes, explain: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Has your firm consistently complied with SEC's net capital adequacy guidelines?  Yes  No

#### IV. ALL FIRMS: OWNERSHIP AND DIVERSITY PROFILE

Is your firm incorporated?                     Yes    No

If so:

- a. Where? \_\_\_\_\_
- b. Is it publicly traded?      Yes    No
- c. Is it privately held?        Yes    No

If your firm is not incorporated or privately held, note that the Treasurer’s Office seeks to accord preference to qualified brokers/dealers that can demonstrate or attest that (1) greater than 50% of the ownership interest of the firm is held by minority, female, veteran, and/or disabled persons, OR (2) greater than 75% of the firm’s senior managers are minority, female, veteran, and/or disabled persons.<sup>1</sup> Accordingly, please note the following:

What percentage of owners are:

- a. Female owners? \_\_\_\_\_ %
- b. Member of a minority group? \_\_\_\_\_ %
- c. Military veterans? \_\_\_\_\_ %
- d. Persons with disabilities? \_\_\_\_\_ %

Among your senior managers, what percentage of managers are:

- a. Female managers? \_\_\_\_\_ %
- b. Members of a minority group? \_\_\_\_\_ %
- c. Military veterans? \_\_\_\_\_ %
- d. Persons with disabilities? \_\_\_\_\_ %

Firms that meet the above-mentioned thresholds (greater than 50% for ownership or greater than 75% for management) and wish to claim preferential status must submit **at least one** of the following:

1. State of Illinois Certification – Provide documentation of a current State of Illinois certification.<sup>2</sup>
2. Attestation Form: Claiming Status as a Minority, Woman, Veteran, or Disabled-Owned or Managed Investment Firm – Provide a completed copy of the Attestation Form signed by the General Partner of the firm.

Please attach a listing of your senior management personnel that includes each manager’s (1) name, (2) title, (3) phone number, (4) email address, and (5) an annotation as to whether the individual claims status as a minority, female, veteran, or disabled person.

<sup>1</sup> For purposes of this process, the definitions of “minority,” “female,” “veteran,” and “disabled person” are located in the Business Enterprise for Minorities, Females and Persons with Disabilities Act ([30 ILCS 575](#)) and Sections 45-57 (“Veterans”) of the Illinois Procurement Code ([30 ILCS 500/45-57](#)).

<sup>2</sup> A State of Illinois Certification is a status granted by the Illinois Department of Central Management Services to a Minority Business Enterprise, a Female Business Enterprise, or a Person with Disabilities Enterprise under the Business Enterprise Program ([30 ILCS 575](#)), or to a Service-Disabled Veteran-Owned Business or a Veteran-Owned Business under the Veterans Business Program ([30 ILCS 500/45-57](#)).

## V. GENERAL INFORMATION

Periodic reviews are performed on all brokers/dealers that are included on the [Approved Broker/Dealer List](#). Changes made to the trading status of a broker/dealer will be reflected on the Illinois State Treasurer's website. It is the responsibility of the broker/dealer to periodically check the website to ensure that the entity is still considered an approved counterparty before attempting to execute a trade.

For brokers/dealers claiming special status as a minority, woman, veteran, or disabled-owned and/or managed firm, random inquiries are conducted by the Treasurer's Office through which said firms may be required to furnish proof/documentation (i.e. birth certificate, military discharge, disability letter, etc.) attesting to the veracity of the claimed status.

Should the Treasurer's Office identify a business opportunity, a specialist will follow up with further instructions. The specialist will ask for assistance obtaining the following documents, which are required:

- Audited financial statements or a published Statement of Condition;
- Proof of State of Illinois registration;
- Proof of registration with the Securities and Exchange Commission;
- Certification of notice and knowledge of the Treasurer's investment policies; and
- Proof of minority, woman, veteran, and/or disabled-owned status (if applicable), specifically a current State of Illinois certification or a signed Attestation Form.

Note that firms may be required to furnish additional information as necessary, for example:

- Information regarding insurance coverage for customers in case of default or failure (e.g., SIPC, self-insurance, surety bonds, errors and omissions);
- A statement representing compliance with SEC's net capital adequacy guidelines, including history of compliance, current status, SEC requirement and current level; and
- Resumes for Key Personnel.