

Retirement System of Allegheny County Brokerage Questionnaire

Date: _____

Firm Name: _____

Address: _____

Phone: _____

Fax: _____

Primary Contact: _____

Contact Title: _____

Email: _____

1. Please provide a brief history of your firm.
2. Ownership Structure of your firm.
 - a. Public Corporation
 - b. Private Corporation
 - c. Partnership
 - d. Joint Venture
 - e. Sole Proprietor
 - f. Subsidiary
3. Provide a copy of the most recent Form BD on file with the Securities and Exchange Commission.
4. What status do you seek? Check those that apply.
 Minority owned* Women owned* Disabled Veteran owned*
 Allegheny County firm

*Provide a copy of a document, issued by the appropriate governmental authority, which indicates that your firm has been granted this ownership status.

5. Check the type of brokerage services your firm provides.
 Introducing Executing Clearing
6. If you are not a clearing broker please provide the following for each firm you clear through:

Firm name _____
 Address _____
 Net Capital _____

7. Please provide any further details of your clearing arrangement and copies of your clearing agents financial statements.
8. List the Exchanges or Regulatory bodies your firm is registered with.
9. Which does your firm trade as;

Principal Agent

10. Is your firm a registered market maker? If yes, in how many securities?
 Yes No

11. Please provide the following information for the three most recent calendar years:

Total Number of Shares Traded			
Total Dollar Volume Traded			
What % of Dollars Traded were Institutional			
Average Trade Size			

12. How many individuals in your firm are dedicated primarily to facilitating institutional executions?
13. Please identify all professionals that would be involved in this engagement.
14. What percent of brokerage revenues comes from institutional accounts?
15. Please disclose a representative list of your institutional clients.
16. What pools of liquidity do you access?
17. Do you have algorithmic trading capabilities? Please explain.

18. Do you outsource any of the aforementioned trading capabilities?

19. Describe your firm’s equal employment opportunity and affirmative action policies. Also, please include statistical breakdowns by ethnicity and gender of all employees and principals within the firm.

20. Is your firm involved in any litigation? If yes please describe.

21. In the past 10 years, has your firm made any major settlements with any regulatory body? If yes, please describe.

_____ Yes _____ No

22. Please provide your latest audited financial statement.

23. Comments
