

BROKER/DEALER QUESTIONNAIRE

1. Name of Firm:

Local Address:

Local Telephone Number:

National Address:

National Telephone Number: _____ Fax Number: _____

2. Primary Representatives:

Name/title:

Name/title:

Name/title:

3. Is your firm a primary U.S. Government securities broker/dealer?

4. Which of the following instruments does your firm offer?

- U.S. Treasury Bills
- U. S. Treasury Bonds and Notes
- U. S. Government agency (specify type) _____
- Domestic BA's
- Yankee BA's
- Commercial Paper
- Negotiable CD's
- FHLMC discount notes
- FHLB discount notes
- FNMA discount notes

5. Identify all personnel who will be accepting orders or quoting prices to AMMA managers. For each person, list:

1. Name:

2. Function (i.e., operations, traders, etc.):

3. Registrations (i.e., Series 7, 63, etc.):

4. States where registered:

5. Length of time with your firm:

6. Immediate supervisor's name and telephone number:

1. Name:

2. Function (i.e., operations, traders, etc.):

3. Registrations (i.e., Series 7, 63, etc.):

4. States where registered:

5. Length of time with your firm:

6. Immediate supervisor's name and telephone number:

If available, attach resumes of those persons listed.

6. Who performs your operations functions on a day-to-day basis?

Name/title:

Telephone number:

If this person is unavailable, who else in your organization may be contacted in the event of operations problems?

7. Who is your clearing bank?

What are your wire instructions? Include Federal Reserve Bank and commercial bank utilities, ABA# and account number.

8. Will out clients be charged any fees on delivery or receiving of securities from your firm?

9. What types of fixed income research would you provide for our clients? List and enclose sample copies.

10. Enclosed samples of the following documents:

- Customer confirmation of a transaction
- Both a buy and sell confirmation for a repurchase agreement
- Monthly customer statement
- Master repurchase agreement

11. Enclosed a copy of your firm's most recent:

- Annual report
- Interim financial report
- If operating as a GSL, financial reports for your parent firm

I (We) have read the above questionnaire and attest that to the best of our knowledge it is an accurate statement. We will notify AMMA in the event of any material change in our broker/dealer status or financial condition. We will update this questionnaire and submit it, along with our most recent financial reports, to AMMA annually before the last day of February.

Signed

Date

Signed

Date