

Ada County Treasurer's Investment Policy Checklist

I have read the Ada County Investment Policy.

I understand the compliance standards required of Ada County per the Ada County Investment Policy, including class and issuer limits

I understand the primary goals of the Ada County Investment Program are the following:

- Safety
 - Credit Risk
 - Interest Rate Risk
 - Diversification
- Liquidity
- Yield

X _____ Date _____

BY SIGNING ABOVE, YOU CERTIFY THAT YOU HAVE READ AND UNDERSTAND THE MEANING AND INTENT OF THE ADA COUNTY INVESTMENT POLICY.



ADA COUNTY

TREASURER

TAX COLLECTOR, PUBLIC ADMINISTRATOR

200 W. FRONT
P.O. Box 2868
BOISE, IDAHO 83701-2868

PHONE: (208) 287-6800
FAX: (208) 287-6809

Vicky McIntyre
Treasurer

Broker/Dealer Request for Information

Elizabeth Mahn
Chief Deputy

Instructions: Please complete and submit this fillable form and the Investment Policy Checklist for consideration in working with the Ada County Treasurer's Office. Submissions completed by hand will not be accepted.

FIRM NAME & CONTACT AT FIRM			
IS FIRM CURRENT BROKER/DEALER WITH ADA COUNTY? YES NO If YES, how many years?			
MAILING ADDRESS	CITY	STATE	ZIP
FIRM WEBSITE	CONTACT EMAIL		
CONTACT PHONE NO	CONTACT FAX NO		
Date firm formed?			
In the last 10 years, has your firm ever fallen below the SEC's net capital adequacy guidelines? If yes, please explain:			
Does firm have its own trading capabilities?			
Which company clears trades for your firm?			
Note any firm(s) that have a clearing agreement with your firm which will be used in transactions with Ada County:			
Broker Name	CRD #		

Check which regulatory agencies your firm is examined by and/or subject to its rules and regulations:

FDIC	SEC	NYSE
Comptroller of Currency	FINRA	Municipal Security Rule Making Board (MSRB)

Check each item below in which you make an active market:

US Treasuries	Commercial Paper	Repurchase Agreements
Federal Agencies	Banker's Acceptances	Money Market Mutual Funds
Foreign Debt	Corporate Notes	Municipal Securities

Indicate channels of communication with which the firm has capability in transmitting trade confirmation:

Fax	Email	US Mail
Over the Phone	Bloomberg Terminal	

If the firm has Bloomberg Terminal transaction capabilities, please provide subscribed pages: (i.e. FIT, BOOM, etc.)

In addition to the above completed form, please attach the following documentation with application:

1. A PDF of the firm's most recent audited summary financial statement.
2. A PDF of the firm's most recent FOCUS Report (SEC No. X-17 A-5)
3. A list of account representatives, including phone number, email address, and acknowledgment of compliance of the Ada County Investment Policy, who would be assigned to service Ada County.