



## Correspondent Services Questionnaire

Date: \_\_\_\_\_

### FIRM INFORMATION

Firm Name		Tax ID:	
Address 1:		Phone Number:	
Address 2:		Fax Number:	
City:	State:	Zip Code:	Web Site:
Date Business Started:	Parent's name?		

### BROKER DEALER INFORMATION

Current Clearing Firm(s):	Registered Broker Dealer: Yes <input type="checkbox"/> No <input type="checkbox"/> Application in Process <input type="checkbox"/>
Current Clearing Firm DTC/NSCC#:	Does firm clear for correspondents?
BD Net Cap Requirement: \$	Fidelity Bond Value \$
Total Capital: \$	Excess Net Capital: \$
	Current Clearing Deposit \$

### LINES OF BUSINESS

Full Service Sales/Retail: %	Discount: %	Institutional: %	Mutual Funds: %
Wrap: %	Firm Trading: %	Options: %	Explain:
IPO's: %	Prime Broker: %	Other: %	

### REGISTRATION INFORMATION

NASD Executing Symbol:	FINS #	CRD #	SEC #
Memberships / Registrations:	<input type="checkbox"/> NASD	<input type="checkbox"/> SEC	<input type="checkbox"/> NYSE
	<input type="checkbox"/> RIA	<input type="checkbox"/> SIPC	<input type="checkbox"/> MSRB
	<input type="checkbox"/> AMEX	<input type="checkbox"/> CSE	<input type="checkbox"/> CBOE
	<input type="checkbox"/> CFTA	<input type="checkbox"/> OCC	<input type="checkbox"/> Other:
Exchange and Execution Venue interfaces (list current and desired):			
Current data processing back office system:		Current contact manager:	
Current quote vendor:		Current Web provider:	
Does the firm maintain a Data Warehouse/ Repository?		Bloomberg?	

### BROKER DEALER EMPLOYEE & OFFICE INFORMATION

EMPLOYEES:		OFFICES:	
Number of Sales Reps		Number of Registered Branches	
Number of Staff Administration		Number of OSJ Branches	
Number of Operations Personnel		Number of Other Offices	
Number of Trading Personnel		Number of Correspondents	
Number of Systems Personnel		Please Provide Org Chart	
Total Employees			

### PERSONNEL DIRECTORY

Position	Individual Name	Phone	Fax	E-mail
Chief Executive Officer				
Chief Operating Officer				
Chief Financial Officer				
Compliance Officer				
Conversion Coordinator				
Financial/Operations Principal				
Operations Manager				
Chief Information Officer				

**RETAIL CLASSIFICATION OF MONTHLY TRADE VOLUME**

	Customer Monthly Trades	Firm Monthly Trades	Executed by
Listed Equities			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
OTC Equities			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Pink Sheets			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Options			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Governments			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Municipals			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Corporates			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Foreign	Held in <input type="checkbox"/> US\$ <input type="checkbox"/> Other	Held in <input type="checkbox"/> US\$ <input type="checkbox"/> Other	<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
SMA Rebalancing			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
NASDAQ Agency			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
NASDAQ Principal			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Other			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Annuities			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Mutual Funds		<input type="checkbox"/> Held at Fund <input type="checkbox"/> Held at Clearing Firm	
Level 0		<input type="checkbox"/> Held at Fund <input type="checkbox"/> Held at Clearing Firm	
Level 1		<input type="checkbox"/> Held at Fund <input type="checkbox"/> Held at Clearing Firm	
Level 2		<input type="checkbox"/> Held at Fund <input type="checkbox"/> Held at Clearing Firm	
Level 3		<input type="checkbox"/> Held at Fund <input type="checkbox"/> Held at Clearing Firm	
Level 4		<input type="checkbox"/> Held at Fund <input type="checkbox"/> Held at Clearing Firm	
Mutual Fund PIP/SWP		Number of Mutual Fund Positions:	
<b>Total</b>		Networked:	Non-Networked:

**INSTITUTIONAL CLASSIFICATION OF MONTHLY TRADE VOLUME**

	Customer Monthly Trades	Firm Monthly Trades	Executed by
Listed Equities			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
OTC Equities			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Pink Sheets			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Foreign			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
NASDAQ Agency			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
NASDAQ Principal			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Government			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Municipals			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Corporates			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
Other			<input type="checkbox"/> Self <input type="checkbox"/> Clearing Firm
<b>Total</b>			
DTC Institutional BD #		Do you use: <input type="checkbox"/> Oasys <input type="checkbox"/> Alert	OASYS Acronym:

**OTHER TRADING ACTIVITY**

Do you engage in Underwritings?	<input type="checkbox"/> Fixed Income <input type="checkbox"/> Equities <input type="checkbox"/> None		
If YES, in what capacity?	<input type="checkbox"/> Manager <input type="checkbox"/> Syndicate <input type="checkbox"/> Selling Group <input type="checkbox"/> Other (describe):		
Market Making	<input type="checkbox"/> Yes <input type="checkbox"/> No	Market Maker MPID:	System Used:
If YES, how many securities?	<input type="checkbox"/> Listed	<input type="checkbox"/> OTC <input type="checkbox"/> Bulletin Board	<input type="checkbox"/> Pink Sheets

**ACCOUNT PROFILE**

<b>Account Type</b>	<b>Number</b>	<b>Account Type</b>	<b>Number</b>
Cash		Margin	
Accounts with Balance or Position		Retail Accounts	
Accounts w/short positions		Accounts w/options	
IMA (Check Writing/Debit Card)		Wrap Accounts	
Retirement Accounts		Non-Resident Alien Accounts	
Institutional Accounts		Accounts with Foreign Dollar Positions	
Monthly Statements		Quarterly Statements	
1099's Issued		5498's Issued	
Orders		Executions	
Mutual Fund Selling Agreements		Mutual Fund Omnibus Accounts	

**FIRM ACCOUNTS**

Proprietary Investment  Fixed Income  Average Price  Riskless Principal  Error  Other:

**INSTITUTIONAL****BROKER TO BROKER**

<b>Account Type</b>	<b>Number of Accounts</b>	<b>Account Type</b>	<b>Number of Accounts</b>	<b>Volume (Trades)</b>
DVP				

**ACCOUNT BALANCES**

<b>Account Type</b>	<b>Balance</b>	<b>Account Type</b>	<b>Balance</b>
Cash	Free Credit Balance	Margin	Debit Balance
Money Market	Credit Balance	Short	Credit Balance
Retirement	Free Credit Balance	Inventory	Asset Value

For questions regarding this questionnaire, please contact:

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