

State of Ohio

Office of the State Treasurer



Semi-Annual Update to the Broker / Dealer Request for Information

Fiscal Year 2013

Josh Mandel, State Treasurer of Ohio

**Broker/Dealer Request for Information
Semi-Annual Update
Fiscal Year 2013**

**Only complete if you are already approved to do business with the Investment
Department of The Office of The State Treasurer*

Statement of Position and General Requirements

The State Treasurer of Ohio (hereinafter referred to as the “Treasurer”) manages a multi-billion dollar portfolio which is comprised mainly of U.S. Treasury and Agency obligations, Government balanced securities and money market instruments. The Treasurer must follow section 135 of the Ohio Revised Code and has adopted written Investment Policies for the standards and procedures used in its cash management activities.

The Treasurer maintains relationships with qualified Broker/Dealers who understand the needs, regulations and goals of the Treasurer.

This semi-annual form is for approved Broker/Dealers to update the Treasurer on any changes to their previously submitted RFI. The Office of the Treasurer will respond to these updates in writing or via email following the completion of the evaluation process. Transactions with the Broker/Dealer will be halted with notification in the instance that the semi-annual update demonstrates that the Broker/Dealer is out of compliance with the Treasurer’s standards.

Personnel in the Treasurer’s office will review and substantiate all information requested in the document; therefore, please answer all questions as thoroughly as possible. Only complete submissions will be considered. Any false information knowingly submitted can result in the permanent exclusion of the broker from any further business dealings with the Office of the Treasurer. All violations and misrepresentations will be reported to both the Ohio Department of Commerce and The Securities and Exchange Commission.

Please note that a fully completed, original copy of this documentation should be returned to the Office of the State Treasurer of Ohio no later than **October 31, 2012**.

NOTE: All Broker/Dealers are required to answer Question 11 on Page 4 and Section II on Page 5

Section I Firm Information

1. Firm Name: _____

Address

Street _____

P.O. Box _____

City _____

State _____

Zip Code _____

2. Headquarters Location:

Address

Street _____

P.O. Box _____

City _____

State _____

Zip Code _____

Please check if information is unchanged since last submission.

3. Telephone: _____

Local Office: (_____) _____

Fax: (_____) _____

Headquarters: (_____) _____

Fax: (_____) _____

Please check if information is unchanged since last submission.

STATE OF OHIO
JOSH MANDEL, STATE TREASURER OF OHIO

4. Has your status as a bank changed and/or your principal banking/custodial banking relationship changed since the last RFI submission to the State Treasurer of Ohio? (Y/N) _____

If your status has changed, please provide updated information.

Bank Name: _____
Address: _____
Headquarters Location: _____
Contact Person: _____
Telephone No.: _____
Length of Relationship: _____

5. Does your firm have its own trading capabilities? (Y/N)_____

Please check if information is unchanged since last submission.

6. Does your firm have a clearing agreement with any other firm(s), which will be used in transactions with the Treasurer's office? (Y/N) _____

Please check if information is unchanged since last submission. If so, skip to #8.

7. Please identify each clearing broker and their corresponding CRD#.

_____ CRD# _____
_____ CRD# _____
_____ CRD# _____
_____ CRD# _____

Settlement and Delivery Instructions:

8. Has a public sector client, since your last RFI submission to the State Treasurer of Ohio, notified your firm in writing that the firm representative was partially responsible for a loss on a securities transaction arising from a misunderstanding or misrepresentation of the characteristics of an instrument? (Y/N) _____

If yes, please explain.

STATE OF OHIO
JOSH MANDEL, STATE TREASURER OF OHIO

9. Has your firm's status changed as "primary dealer" since your last RFI submission to the State Treasurer of Ohio? (Y/N) _____

10. If applicable, please check the agency windows that your firm currently has access to:

FFCB:	_____	FNMA:	_____
FHLB:	_____	TVA:	_____
FHLMC:	_____	Other:	_____

11. Has a representative of your firm listed on the State of Ohio account been convicted of a felony criminal offense since the last RFI submission to the State Treasurer of Ohio? (Y/N) _____

If yes, please explain?

12. If applicable, please list the name and contact information of the immediate supervisor of the account representative(s) named to the account.

Please check if information is unchanged since last submission.

STATE OF OHIO
JOSH MANDEL, STATE TREASURER OF OHIO

*****Please complete regardless of unchanged broker/dealer information since last submission.***

Section II **Broker Information**

Contact Personnel: Provide as an attachment if more space is required. In addition, please provide an updated FINRA Broker Check report for all Brokers listed on the account. Please mark as “**Attachment A.**”

(Note: Broker CRD# must be disclosed.)

Primary Contact

Name: _____
Title: _____
Telephone No.: _____
Email: _____
CRD#: _____
Years with Firm: _____

Secondary Contact

Name: _____
Title: _____
Telephone No.: _____
Email: _____
CRD#: _____
Years with Firm: _____

Tertiary Contact

Name: _____
Title: _____
Telephone No.: _____
Email: _____
CRD#: _____
Years with Firm: _____

Quaternary Contact

Name: _____
Title: _____
Telephone No.: _____
Email: _____
CRD#: _____
Years with Firm: _____

STATE OF OHIO
JOSH MANDEL, STATE TREASURER OF OHIO

Quinternary Contact

Name: _____
Title: _____
Telephone No.: _____
Email: _____
CRD#: _____
Years with Firm: _____

Back Office / Trade Clearing Contact

Name: _____
Title: _____
Telephone No.: _____
Email: _____
CRD#: _____
Years with Firm: _____

STATE OF OHIO
JOSH MANDEL, STATE TREASURER OF OHIO

Section III **Regulatory Information**

Please check if information is unchanged since last submission.
(Only complete items that have changed since last submission)

1. Is your firm a member of FINRA (formerly NASD)?

(Y/N) _____ CRD# _____

If no, please explain?

2. Is your firm a member of the Securities Investor Protection Corporation (SIPC)?

(Y/N) _____

3. Place an "X" by each regulatory agency by which your firm is examined and/or subject to its rules and regulations.

FDIC _____ SEC _____ NYSE _____

Comptroller of Currency _____ Federal Reserve System _____

Other _____ (e.g. State regulatory agency) (*specify*)

Multi-state firms please note: It is not necessary to include regulatory agencies that do not have jurisdiction over your firm's activities in Ohio.

4. At any point since the last RFI submission to the State Treasurer of Ohio, has the firm failed to meet its net capital requirements subject to SEC rule 15C3-1 or 15C3-3?

(Y/N) _____

If so, please provide a complete explanation of the reason(s) why marked "Attachment B."

***Additionally, please submit the firm's most recently available quarterly FOCUS report marked "Attachment C."**

STATE OF OHIO
JOSH MANDEL, STATE TREASURER OF OHIO

Section IV **Certification**

I have read the most recent Investment Policies (available on the Treasurer's website at www.tos.ohio.gov) of the Treasurer for the Interim Funds of the State of Ohio and for STAR Ohio.

I hereby certify that the above is true and correct to the best of my knowledge and that I am authorized to execute this request for information on behalf of:

I, the undersigned, have the authority to bind the investment organization.

Firm Name: _____

By (Print Name) _____

Signature: _____

Title:* _____

Date: _____

*Note the foregoing form must be signed by a principal of your firm.

Section IV **Submittal Requirements**

One copy of each firm's response shall be submitted to Gordon Short at the following address:

Gordon Short, Chief Investment Officer
Ohio Treasurer Josh Mandel
30 East Broad Street, 9th Floor
Columbus, Ohio 43215-3461
Phone: 614-466-3511