**MARYLAND STATE RETIREMENT AND PENSION SYSTEM**

**INITIAL BROKER QUESTIONNAIRE**

**Instructions:**

1. Please complete all information as requested below.
2. Submit your response including any supplemental attachments via email to [brokerquestionnaire@sra.state.md.us](mailto:brokerquestionnaire@sra.state.md.us).
3. Following a review of your response to this initial questionnaire, a more in depth questionnaire will be sent to the sales/marketing contact listed below for further consideration.
4. Firm information
   1. Counterparty legal entity name (exact) and LEI
      1. Address
      2. City
      3. State
      4. ZIP
      5. Phone
      6. Website
      7. Country/state of jurisdiction for legal entity
      8. Legal structure (corporation, partnership, limited liability company, joint venture, sole proprietorship, if other please specify)
   2. Ultimate parent legal name
      1. Address
      2. City
      3. State
      4. ZIP
      5. Phone
      6. Website
      7. Country/state of jurisdiction for legal entity
   3. Describe your firm’s ownership and capital structure, including full disclosure of all direct and indirect ownership relationships.
   4. When was your firm founded?
   5. Is your firm a parent, subsidiary or affiliate of another firm?
   6. Please give a brief description of your organizational structure, including the total number of persons employed by your firm by asset class.
   7. Provide a list of your firm’s Board of Directors (including brief bios).
   8. Has your client base changed significantly in the past 12 months? (Please provide details).
   9. Is your firm majority owned (>50%) by any of the following groups: minority, women, veterans or disabled? Please include a description of your status.
   10. List of all pertinent professional liability insurance coverage and provide certificates of insurance
5. Trading services
   1. Provide a brief description of trading services offered by asset class.
   2. Provide a brief description of your services in the respective primary markets.
6. Legal and compliance
   1. Please disclose any disciplines/sanctions levied by the SEC, NASD, or any other regulatory authority against your firm or employees in the past five years.
   2. In the past two years, has your firm, its parent or affiliates, or any officer or principal been involved in any business litigation, received subpoenas related to trading, received a Wells notice, or other legal proceedings? If yes, please describe.
   3. Please detail any conflicts of interest with the Maryland State Retirement and Pension System or persons affiliated with the Maryland State Retirement Agency.
7. Key contacts (name/title/email/phone)
   1. Sales/marketing
   2. Key trader(s)
   3. Compliance
   4. Back office/operations