



CITY OF PORTLAND
OFFICE OF MANAGEMENT AND FINANCE

Ted Wheeler, Mayor
Tom Rinehart, Chief Administrative Officer
Ken Rust, Chief Financial Officer

Jennifer Cooperman, Treasurer
1120 S.W. Fifth Avenue, Rm. 1250
Portland, Oregon 97204
(503) 823-4220
FAX (503) 823-4209
TTY (503) 823-6868

Approved Broker/Dealer List – Request for Information

January 3, 2017

To Whom It May Concern:

The Treasury Division of the City of Portland (“City”) is determining which broker/dealer firms and affiliated registered representatives shall be eligible to conduct investment transactions with the City.

To be considered for inclusion on the City’s Approved Broker/Dealer List, please submit the following information **no later than January 20, 2017** to the address below:

For Organization

1. Proof of registration with all federal and state regulators (SEC, FINRA, SIPC, etc.).
2. Most recent audited financial statements.
3. FINRA Focus Report filings.
4. Proof of State of Oregon Minority, Women’s, Emerging Small Business certification (if applicable).
5. Proof of U.S. Department of Commerce Minority Business Development Agency certification; U.S. Department of General Services Office of Small Business Certification and Resources; or other similar federal government certification (if applicable).
6. Supplemental information evidencing:
 - a. Understanding of and experience with State of Oregon statutes related to allowable investments for public sector; ORS 294 and 295.
 - b. Area(s) of specialization, products and services.
 - c. Economic research and other resources available to clients.

For Each Registered Representative Assigned to Sales Coverage for the City

1. Complete copy FINRA BrokerCheck report.
2. Proof of licensure by State of Oregon.
3. Relevant public sector investing and fixed income experience.
4. Certification in writing that they have read, understood and agree to comply with the [City of Portland Investment Policy](#). URL: <https://www.portlandoregon.gov/brfs/60661>

Submission of this information does not guarantee inclusion on the City’s Approved Broker/Dealer List. The City, in its sole discretion, may elect not to renew existing broker/dealers or may add additional broker/dealers to its existing Approved Broker/Dealer List.

Please submit all information **by mail** to:

City of Portland – Treasury Division
Attn: Michael Montgomery
1120 SW Fifth Avenue, Room 1250
Portland, OR 97210
Michael.montgomery@portlandoregon.gov

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To help ensure equal access to programs, services and activities, the Office of Management & Finance will reasonably modify policies/procedures and provide auxiliary aids/services to persons with disabilities upon request.