

**MFDA FINANCIAL QUESTIONNAIRE AND REPORT  
CERTIFICATE OF PARTNERS OR DIRECTORS**

\_\_\_\_\_  
(Firm Name)

I/We have examined the attached statements and schedules and certify that, to the best of my/our knowledge, they present fairly the financial position and capital of the firm at \_\_\_\_\_ and the results of operations for the period then ended, and are in agreement with the books of the firm.

I/We certify that the following information is true and correct to the best of my/our knowledge for the period from the last audit to the date of the attached statements which have been prepared in accordance with the current requirements of the MFDA and MFDA Investor Protection Corporation.

**ANSWERS**

- |   |  |
|---|--|
| <ol style="list-style-type: none"> <li>1. Do the attached statements fully disclose all assets and liabilities including the following:               <ol style="list-style-type: none"> <li>(a) All future purchase and sales commitments? .....</li> <li>(b) Writs issued against the firm or partners or corporation or any other litigation pending? .....</li> <li>(c) Income tax arrears of partners or corporation?.....</li> <li>(d) Other contingent liabilities, guarantees, accommodation, endorsements or commitments affecting the financial position of the firm? .....</li> </ol> </li> <li>2. Does the firm promptly segregate clients' cash and securities in accordance with the Rules and Policies prescribed by the MFDA?.....</li> <li>3. Does the firm determine on a regular basis its segregation amount and act promptly to segregate assets as appropriate in accordance with the Rules and Policies prescribed by the MFDA? .....</li> <li>4. Does the firm carry insurance of the type and in the amount required by the Rules and Policies of the MFDA? .....</li> <li>5. Does the firm monitor on a regular basis its adherence to early warning requirements in accordance with the Rules and Policies prescribed by the MFDA?.....</li> <li>6. Does the firm perform regular reconciliations of its trust accounts in accordance with the Rules and Policies prescribed by the MFDA ? .....</li> <li>7. Does the firm perform regular reconciliations of its mutual fund transactions with fund company records in accordance with the Rules and Policies prescribed by the MFDA ? .....</li> <li>8. Does the firm have adequate internal controls in accordance with the Rules and Policies prescribed by the MFDA ? .....</li> <li>9. Does the firm maintain adequate books and records in accordance with the Rules and Policies prescribed by the MFDA ? .....</li> </ol> | <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> |
|---|--|

\_\_\_\_\_  
*[date]*

**Name and Title - Please print**

**Signature**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_