

**City of Los Angeles  
Responsible Banking Investment Monitoring Program  
For Investment Banks**

Investment banks providing City investment banking services or seeking City investment banking business must complete and submit this form no later than July 1<sup>st</sup> of each year to the City Administrative Officer to comply with Chapter 5.1, Section 20.95.1 of the Los Angeles Administrative Code.

**Contact Information:**

Backstrom McCarley Berry & Co., LLC

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Name of Financial Institution			
115 Sansome St., Mez A	San Francisco, CA	94104	
<hr/>			
Street Address	City	State	Zip Code
Vincent McCarley, CEO			
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Contact Person Name and Title		vmccarley@bmcaco.com	
(415) 857-6101			
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Telephone No.	Email Address		

Please answer the following questions for the preceding calendar year.

1. Did your firm make monetary donations to charitable programs within the City limits?  
Yes \_\_\_ No  If yes, please complete the attached form.
  
2. Did your firm provide any scholarship awards to residents of the City of Los Angeles?  
Yes \_\_\_ No 
  - a. How many scholarships were awarded? \_\_\_\_\_
  - b. What was the total value of the awarded scholarships? \_\_\_\_\_
  
3. Does your firm have internal policies regarding utilization of subcontractors which are designated as "women owned," "minority owned," or "disabled" business enterprises?  
Yes  No \_\_\_ If yes, please provide a copy of your policies.

**CERTIFICATION UNDER PENALTY OR PERJURY**

I certify under penalty of perjury that I have read and understand the questions contained in this form and the responses contained in the form and on all the attachments. I further certify that I have provided full and complete answers to each question, and that all information provided in response to this form is true and accurate to the best of my knowledge and belief.

Vincent McCarley, CEO		7/6/16
<hr/> Print Name, Title	<hr/> Signature	<hr/> Date

**PLEASE SEND THE ORIGINAL SIGNED FORM TO THE ADDRESS BELOW AND EMAIL A COPY TO [CAO.DEBT@LACITY.ORG](mailto:CAO.DEBT@LACITY.ORG).**

**Office of the City Administrative Officer  
200 North Main St. Room 1500  
Los Angeles, CA 90012  
Attention: Debt Management Group**



## BMCB'S AFFIRMATIVE ACTION PLAN & POLICIES

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BMcB is an African-American owned small business enterprise certified by the State of California as a Disadvantaged Business Enterprise, which had a reciprocal agreement with the City of Los Angeles. As a minority owned business, we are keenly aware of the value of efforts to recruit and procure from all sectors of the population with an added outreach toward emerging populations.

Affirmative policies are key within BMcB's business strategies to ensure that our work force and procurement sources are representative of the total community.

### Implementation Process & Recruitment Methods:

- Focus recruitment and procurement efforts through media or with employment organizations, schools, and/or training establishments, which are concerned with securing employment and vendor services for all individuals, including minorities and women.
- Make it clear that minorities and women are encouraged to apply for positions and contracting opportunities in our firm and to place high priority on securing employment and contracts for underrepresented persons.
- Assist local and regional minority law firms to gain valuable securities experience by selecting them as sole or co-underwriter's counsel when our firm acts as senior manager.
- Make every effort to utilize Historically Underutilized Businesses for any available work associated with financings undertaken by our firm.
- Provide equal employment and training opportunities for after-school, summer employment and internships to underrepresented young persons.

BMcB has a total of eleven minority employees, including three women. The firm is certified as a Minority Business Enterprise ("MBE") with several agencies, including a DBE certification with the State of California as mentioned above which has a reciprocal agreement with the City of Los Angeles meeting its MBE requirement. As well as a SBE with LACMTA.

As a minority firm, we are aware of the value of efforts to recruit and procure from all sectors of the population. BMcB has and continues to partner with "minority/women owned" businesses as opportunities arise.