

**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:**

Stern Brothers & Co.

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Name of Financial Institution	Sherman Oaks	CA	91403
14724 Ventura Blvd Suite 809			
Street Address	City	State	Zip Code
Rich DeProspo			
Contact Person Name and Title	rdeprospo@sternbrothers.com		
818-906-4452			
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.

Rich DeProspo, Managing Director  
Print Name, Title

  
Signature

06-14-16  
Date

**PLEASE SEND THE ORIGINAL SIGNED FORM TO THE ADDRESS BELOW AND EMAIL A COPY TO CAO.DEBT@LACITY.ORG.**

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