

**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 1st 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:

Stifel, Nicolaus and Company, Inc.

Name of Financial Institution			
515 South Figueroa St., Ste 1800	Los Angeles	CA	90071
Street Address	City	State	Zip Code
Guillermo Garcia			
Contact Person Name and Title			
(415) 364-5962	ggarcia@stifel.com		
Telephone No.	Email Address		

Please answer the following questions for the preceding calendar year.

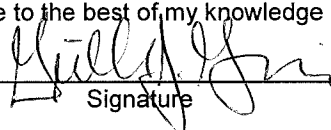
1. Did your firm make monetary donations to charitable programs within the City limits?
Yes No If yes, please complete the attached form.
2. Did your firm provide any scholarship awards to residents of the City of Los Angeles?
Yes No
 - a. How many scholarships were awarded? 1
 - b. What was the total value of the awarded scholarships? \$2,000
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.

Guillermo Garcia, Director

Print Name, Title


Signature

6/29/2016

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**

Equal Employment Opportunity

Stifel is committed to providing equal employment opportunities (EEO) to all associates and applicants for employment without regard to race, color, religion, creed, gender, pregnancy, sexual orientation, gender identity, national origin, ancestry, age, disability, weight, genetic information, marital status, citizenship status, familial status, status as a covered veteran or any other protected criteria in accordance with applicable federal, state and local laws. Stifel complies with applicable state and local laws governing non-discrimination in employment applicable to Effective April 2016 each location in which the firm operates. Stifel strictly prohibits any form of unlawful discrimination.

Equal opportunity extends to all aspects of the employment relationship, including hiring, transfers, promotions, training, termination, working conditions, compensation, benefits, and other terms and conditions of employment. All Stifel associates are responsible for implementing this EEO policy in their daily actions, conduct and decisions. All associates are expected to treat each other with respect and professionalism.

Associates are encouraged to contact Human Resources regarding any potential violation of this policy as soon as possible. Stifel strictly prohibits any type of retaliation against an individual who in good faith reports a violation of this policy, raises a complaint or concern regarding discrimination or harassment, or otherwise engages in protected activity under the law.

Stifel will also comply with the applicable provisions of the Americans with Disabilities Act (ADA) and state and local laws, and it will not discriminate against any qualified associate or applicant because of a disability. Stifel will make reasonable accommodations for qualified associates or applicants with disabilities or for pregnancy consistent with applicable law. Retaliation for requesting an accommodation for a disability or pregnancy is prohibited.

Attachment for Question #1 - Responsible Banking Investment Monitoring Program for

Name of Charitable Organization	Type	Amount (\$)
USC	Education & Literacy	\$10,000
Forecast LA at LMU	Education & Literacy	\$5,000
LA 5 Rotary Club Downtown LA	Community Development	\$5,000
YMCA - Downtown LA	Children & Youth Development	\$5,000
HOPE Gala Dinner	Women Empowerment	\$3,500
Variety Boys & Girls Club – LA	Children & Youth Development	\$2,500
CORO – LA	Community Development	\$2,500
PUENTE Learning Center	Community Development	\$2,500
Inner-City Struggle	Education & Literacy	\$1,000
LA Bike Coalition	Community Development	\$1,000