

**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:

The Williams Capital Group, L.P.

Name of Financial Institution	650 Fifth Avenue, 9th Floor	New York	NY	10019
Street Address	David Coard, Principal	City	State	Zip Code
Contact Person Name and Title	212-830-4534	boyca@willcap.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? 0
 - b. What was the total value of the awarded scholarships? \$0
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.

David Coard, Principal		6/30/2016
Print Name, Title	Signature	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**



June 30, 2016

City of Los Angeles
Office of the City Administrative Officer
200 North Main St. Room 1500
Los Angeles, CA 90012

RE: Responsible Banking Investment Monitoring Program

Attention: Debt Management Group

The Williams Capital Group, L.P. (“Williams Capital” or the “Firm”) is pleased to provide the City of Los Angeles and related Departments with the attached Responsible Banking Investment Monitoring Program document and following statement of its Corporate Citizenship. Williams Capital prides itself on its record of philanthropy in the communities it serves. The Firm’s philanthropic sponsorships include support of numerous civic and non-profit organizations, and national programs dedicated to economic empowerment by underserved communities. The following is a subset of the wide range of programs supported by Williams Capital: Alvin Ailey Dance Foundation, Big Brothers Big Sisters, Foundation for Ethnic Understanding, Girl Scout Council, Hispanic Scholarship Fund, Museum of Modern Art, National Association of Securities Professionals, National Action Network, National Urban League, and Partnership for New York City.

Since Williams Capital’s California Public Finance office was established in 2012, the Firm’s record of philanthropy within the State includes donations to the Pancreatic Cancer Action Network, Larkin Street Youth Services, City of Hope, UCLA Foundation Scholarship Benefit, and Tourette Syndrome Association.

The following table lists 2015 charitable contributions within California made by Sean Boyea, Principal.

Year	Los Angeles-Based Charitable Support
2015	California Community Foundation – Children’s Health Initiative
	Community Financial Resource Center
	Japanese American National Museum (JANM)

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

Name of Charitable Organization	Type	Amount (\$)
California Community Foundation-Children's Health Initiative	Healthcare - General	\$25*
Community Financial Resource Center	Community Development	\$25*
Japanese American National Museum (JANM)	Arts & Culture	\$25*

*Contributions made directly by Williams Capital Group Principal, Sean K. Boyea