

**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:

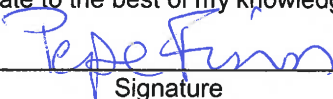
Stern Brothers & Co.			
Name of Financial Institution			
8000 Maryland Ave. Suite 800	St. Louis	MO	63105
Street Address			
Pepe Finn	Chairman & CEO		
Contact Person Name and Title			
314-743-4005	pfinn@sternbrothers.com		
Telephone No.		Email Address	

Please answer the following questions for the preceding calendar year.

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

Pepe Finn Chief Executive Officer		<u>7/6/18</u>
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**

Supplier Diversity Policy

Stern Brothers is committed to the goal of enhancing economic opportunities for minority-owned, woman-owned, disadvantaged, veteran and small business entities. Our objective is to have an equal opportunity sourcing and procurement process that includes actively seeking out diversity suppliers that can provide competitive, high-quality goods and services.

It is the policy of Stern Brothers not to discriminate against any person or organization because of race, color, religion, national origin, sex, sexual orientation, marital status, age, disability, or veteran status and to take action to ensure that all persons/businesses/vendors are treated fairly.