

**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:

280 SECURITIES
Name of Financial Institution
575 MARKET ST. #3800 SF CA 94105
Street Address City State Zip Code
Tom Lockard, Managing Director
Contact Person Name and Title
415 218 9965 Tom@280cap.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? _____
 - 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.

Tom Lockard, Managing Director Tom Lockard 4/18/19
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

2019 JUN 24 AM 9:57
CITY ADMINISTRATIVE OFFICER