

ORIGINAL

**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:

Piper Jaffray & Co.
Name of Financial Institution
120 Vantis Drive, Suite 330 Aliso Viejo CA 92656
Street Address City State Zip Code
Katherine A. Koster, Managing Director
Contact Person Name and Title
949-494-6110 katherine.a.koster@pjc.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.

Katherine A. Koster, Managing Director  6/12/2019
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**

Corporate Citizenship and Commitment to Diversity:

Piper Jaffray extends our commitment to local California communities through community action programs, diversity programs and networks and affirmative

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- ◆ Phase One Foundation L.A.
 - ◆ International Medical Corps
 - ◆ UCLA Endowment Fund
 - ◆ AIDS Foundation Los Angeles, Inc.
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action policy, including recruiting for a diverse workforce and specific community giving. In 2018, over 72% of our firm's employees took part in the annual Piper Jaffray Community Partnership Campaign; through this campaign employees made donations to 952 different U.S. and international charitable organizations. Within Los Angeles, Piper Jaffray's employees have taken an active participation with various charitable and non-profit organizations by providing monetary and volunteer contributions. Some examples of organizations in Los Angeles that are supported are highlighted in the table above, other supported charities are located in the communities surrounding the City. At Piper Jaffray, we also value having an inclusive culture based on our Firm's Guiding Principles. We strive to take an inclusive approach to everything we do because it best serves our clients, employees, communities and shareholders. Furthermore, Piper Jaffray makes a good faith effort to do business with enterprises owned by minorities and women, persons with disabilities, disabled veterans and small business enterprises ("minority suppliers") where contracts are in line with company objectives. Additionally, we request that large vendors who work with other companies provide a report of the business they do with minority suppliers. Piper Jaffray's offices in the Los Angeles region use local vendors on occasion to obtain certain of its goods and services. Since 2010, Piper Jaffray has maintained a Tax Registration Certificate with the City of Los Angeles and has filed its returns on an annual basis. Recently the Firm renewed its registration for 2019 and is not aware of any tax related disputes or proceedings between Piper Jaffray and the City.

