

**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 1<sup>st</sup> 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  
515 S. Flower St. 18th Floor Los Angeles CA 90071  
Street Address City State Zip Code  
Michael Placencia, Managing Director  
Contact Person Name and Title  
917-861-0745 mplacencia@sternbrothers.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.

Michael Placencia, Managing Director  06-11-19  
Print Name, Title Signature Date

**PLEASE SEND THE ORIGINAL SIGNED FORM TO THE ADDRESS BELOW AND EMAIL A COPY TO [CAO.DEBT@LACITY.ORG](mailto: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.