

**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:

Mesirow Financial, Inc.

 Name of Financial Institution

<u>353 N Clark Street</u>	<u>Chicago</u>	<u>IL</u>	<u>60654</u>
Street Address	City	State	Zip Code

Todd E. Waldrop, Senior Managing Director

 Contact Person Name and Title

<u>312-595-6242</u>	<u>todd.waldrop@mesirow.com</u>
Telephone No.	Email Address

SOCIAL RESPONSIBILITY

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, labeled at Exhibit 1.

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, labeled as Exhibit 2

CONSUMER PROTECTION

1. Is the financial institution currently in compliance with all applicable consumer financial protection laws?

Yes No

If no, please briefly explain: _____

2. Does the financial institution have policies to prevent the use of illegal predatory consumer adverse sales goals as the bases for evaluation, promotion, discipline or compensation of employees?

Yes No

If no, please briefly explain: _____

3. Does the financial institution encourage and maintain whistleblower protection policies for its employees and/or customers to report suspected illegal practices, including predatory sales goals?

Yes No

If no, please briefly explain: _____

4. In the last five years, has the financial institution been subject to any disciplinary actions such as fines, suspensions, or settlements, undertaken by the Securities and Exchange Commission, the Consumer Financial Protection Bureau, the Municipal Securities Regulation Board, the Financial Industry Regulatory Agency and/or any State regulatory agency?

Yes No

5. If the answer to question no. 4 is yes, please provide in separate attachment labeled Exhibit 3, what the violation(s) are, the reason for the enforcement action, what government agencies are involved, the date of the enforcement action, what is the current status, and how were or will the issues be resolved?

Please see Exhibit 3 on page 5.

CERTIFICATION UNDER PENALTY OF 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.

Todd E. Waldrop, Senior Managing Director		4/20/2021
Print Name	Title	Date
	Signature	

(*) Signature must be that of the Head of Public Finance or equivalent corporate executive.

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**

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

Name of Charitable Organization	Type	Amount (\$)
Alzheimer's Greater Los Angeles	Health (Alzheimer's)	500
Alzheimer's Greater Los Angeles	Health (Alzheimer's)	500
Guide Dogs of America	Health (Blind/visually impaired, Veterans, Autism)	2,000
Guide Dogs of America	Health (Blind/visually impaired, Veterans, Autism)	500
Guide Dogs of America	Health (Blind/visually impaired, Veterans, Autism)	2,000
Guide Dogs of America	Health (Blind/visually impaired, Veterans, Autism)	250
HollyRod Foundation	Health (Parkinson's & Autism)	5,000
Waco Theatre Center	Arts & Culture	2,000
Pancreatic Cancer Action Network	Health (Pancreatic Cancer)	500

Neither the firm nor any individual partners or employees has been part of any suspension or settlement, nor is the subject of a subpoena in connection with any investigation.

In September 2018, the firm was fined \$20,000 for failing to submit official statements, advance refunding documents, and other required paperwork to EMMA within the FINRA timeframe.