

**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:

Bank of the West/BMO
Name of Financial Institution

180 Montgomery Street San Francisco CA 94104
Street Address City State Zip Code

Edward C. (Ted) Neu, Managing Director and Head of Public Finance
Contact Person Name and Title

415-765-4938 edward.neu@bankofthewest.com
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 X 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 X

- 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 X

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 X 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 X 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 X 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 X

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?

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.

<u>Edward C. (Ted) Neu, Managing Director, Public Finance</u>	<u>Edward C Neu</u>	<u>6/12/2023</u>
Print Name	Title	Signature
		Date

(*) 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 (\$)
Education Organizations - Total	Education	\$280,000
Los Angeles Room & Board		
YMCA of Metropolitan Los Angeles		
A Place Called Home		
Community Partners fbo Changeist		
EmpowHer Institute, Inc		
Library Foundation of Los Angeles		
Whitaker Peace & Development Initiative		
Financial Capability - Total	Financial Capability	\$25,000
Junior Achievement of Southern California		
Neighborhood Housing Services of Los Angeles County		
Job Growth - Total	Job Growth (small business, job training)	\$227,500
Downtown Women's Center (DWC)		
Homeboy Industries		
The Lagrant Foundation		
Local Initiatives Support Corporation		
Los Angeles Cleantech Incubator		
Other - Total	Other (health, human services, civic, cultural)	\$47,000
Union Rescue Mission		
Valley Family Center		