

**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:**

BMO Bank N.A.

Name of Financial Institution

180 Montgomery Street

San Francisco

CA

94104

Street Address

City

State

Zip Code

Edward C. Neu, Managing Director, Public Finance

Contact Person Name and Title

212-748-9879

edward.neu@bmo.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  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?

\_\_\_\_\_

\_\_\_\_\_

**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.

Edward C. Neu	Managing Director, Public Finance		06/10/2024
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](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**

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

<b>Name of Charitable Organization</b>	<b>Type</b>	<b>Amount (\$)</b>
A Place Called Home	Education	15,000
Adventist Health White Memorial Foundation	Workforce Development	25,000
Alta Med Health Services	Education	20,000
Changeist	Education	15,000
COR Community Development Corporation	Small Business	10,000
Downtown Women's Center	Health & Wellness	20,000
EmpowHer Institute	Education	15,000
Habitat for Humanity of Greater Los Angeles	Affordable Housing	100,000
Homeboy Industries	Workforce Development	420,000
Junior Achievement Southern California	Financial Capabilities	20,000
JVS SoCal	Workforce Development	15,000
Los Angeles Library Foundation	Arts, Culture, Civic	15,000
Local Initiatives Support Corporation	Small Business	50,000
Los Angeles Cleantech Incubator	Small Business	25,000
Los Angeles LGBT Center	Health & Wellness	20,000
Los Angeles Room and Board	Affordable Housing	20,000
MLK Community Healthcare	Health & Wellness	25,000
Neighborhood Housing Services of Los Angeles County	Financial Capabilities	10,000
Southern California Grantmakers	Arts, Culture, Civic	10,000
Thrive Scholars	Education	750,000
Union Rescue Mission	Health & Wellness	8,000
United Way of Greater Los Angeles	Health & Wellness	225,000
Whitaker Peace and Development Institute	Education	150,000
YMCA of Metropolitan Los Angeles	Education	25,000

## Exhibit 2 - Supplier Diversity

Below, please find information related the Bank's supplier diversity policy.

### 3.3 RFP Requirements

An RFP is generally recommended every three (3) years for all purchases of supplies, goods, equipment, and services where the estimated life value of the contract exceeds \$200,000 and/or when outsourcing material technology services. This may be accomplished through the solicitation of competitive quotes from two or more, however three or more is preferred, TPPs, at least one of which should be a Minority and Women Owned Business Enterprises (MWBE) certified company, if at all possible.