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:

Name	e of Financial Institution					
Stree	et Address	City	State	Zip Code		
Conta	act Person Name and Title					
Telep	phone No.	Er	nail Address			
<u>soci</u>	IAL RESPONSIBILITY					
Pleas	se answer the following question	s for the prece	ding calendar	year.		
1.	Did your firm make monetary limits?	donations to ch	naritable prog	rams within the City		
	Yes No					
	If yes, please complete the att	ached form, lal	peled at Exhib	oit 1.		
2.	Did your firm provide any scholarship awards to residents of the City of Los Angeles?					
	Yes No					
	a. How many scholarsb. What was the total	•		rships?		
3.	Does your firm have internal which are designated as "wo business enterprises? Yes	omen owned,"				
	If yes, please provide a copy of	of your policies,	labeled as E	xhibit 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? In the past three years, the Firm has been subject to one disciplinary action by FINRA. Specifically, on December 23, 2021, without admitting or denying the findings, the firm entered into an Acceptance, Waiver, and Consent (AWC) letter with FINRA with respect to the inclusion of certain information in trade confirmations for certain of the Firm's institutional preferred trading clients. FINRA did not note any negative impact to any client or to the public. The full text of the findings FINRA made with respect to the matter noted above, and the Firm's full history, can be found at the following link, https://brokercheck.finra.org/, by entering the Firms' CRD# 10081.			

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.

		Snan Mull	
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	Туре	Amount (\$)