



**CONSUMER PROTECTION**

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

Yes  No

If no, please briefly explain: To the best of our knowledge, yes, Stifel is in compliance with all applicable consumer protection laws.

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.**

**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.

Jake Campos Managing Director  
Print Name Title Signature Date  
 6/10/24

(\*) 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 (\$)
USC Latino Alumni Association	Education	\$6,000
Women in Public Finance	Women Empowerment	\$1,000
MuniPride	Community Development	\$1,000
Los Angeles Food Bank	Community Development	\$1,000
Women's Leadership Forum	Women Empowerment	\$6,000
Stifel's Fabric of Society Scholarship Program	Stifel Fabric Winners	
John H. Francis Polytechnic School	2 Winners	\$4,000
Woodrow Wilson Senior High	5 Winners	\$10,000
Marco Antonio Firebaugh High	3 Winners	\$6,000

Exhibit 3  
RBO – Corporate Citizenship Statement Form  
Stifel, Nicolaus & Company, Incorporated

Answer to Question 5

Stifel, Nicolaus & Company, Incorporated (“Stifel”) is an investment banking and securities firm providing investment services to individuals and institutional clients, investment banking, and related services including the day-to-day purchase and sale of securities. Stifel is a wholly-owned subsidiary of Stifel Financial Corp. (SF). In the normal course of business, at any given time, Stifel is subject to a number of claims and disputes, as well as regulatory matters including examinations, reviews, investigations, or formal actions. All required disclosures of material litigation and regulatory matters are made in Stifel Financial Corp.’s public filings with the SEC and other regulatory authorities, such as its Form 10-K and the most recent Form 10-Q filed with the U.S. Securities and Exchange Commission (the “SEC”), 8-K’s, and in other regulatory filings, such as Form B/D, as amended. You are further referred to the FINRA website, where you can access Broker Check reports for Stifel, Nicolaus & Company, Incorporated which may be located with the following hyperlink: <http://brokercheck.finra.org/Firm/Summary/793>. This contains the regulatory reports on Stifel’s disciplinary disclosures.