

**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:**

**Jefferies LLC**

Name of Financial Institution

11100 Santa Monica Blvd., Fl. 12 Los Angeles CA 90025

Street Address

City

State

Zip Code

**John Gust, Managing Director**

Contact Person Name and Title

**(310) 575-5207**

**jgust@jefferies.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? 0  
b. What was the total value of the awarded scholarships? 0

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: Our wealth management department prohibits sales goals.  
\_\_\_\_\_

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?

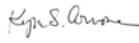
Yes ☒ No ☐

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?

See attached 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.

|            |                   |                                                                                   |           |
|------------|-------------------|-----------------------------------------------------------------------------------|-----------|
| Kym Arnone | Managing Director |  | 6/10/2026 |
| Print Name | Title             | Signature                                                                         | Date      |

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

**PLEASE EMAIL THE COMPLETED FORM TO [CAO.DEBT@LACITY.ORG](mailto:CAO.DEBT@LACITY.ORG).**

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

| <b>Name of Charitable Organization</b>   | <b>Type</b>                           | <b>Amount (\$)</b> |
|------------------------------------------|---------------------------------------|--------------------|
| LOS ANGELES FIRE DEPARTMENT FOUNDATION   | Fire Department Support               | 2,000,000.00       |
| <b>HABITAT FOR HUMANITY</b>              | Home Building and Repair              | 1,000,000.00       |
| ALL HANDS AND HEARTS SMART RESPONSE INC  | Disaster Relief                       | 1,000,000.00       |
| GLOBAL EMPOWERMENT MISSION INC           | Disaster Relief                       | 1,000,000.00       |
| CALIFORNIA COMMUNITY FOUNDATION          | Health, Housing, Economic Development | 1,000,000.00       |
| <b>CHRYSLIS</b>                          | Career Transition Support             | 500,000.00         |
| SAINT JOHN'S HEALTH CENTER FOUNDATION    | Hospital Caregiver Support            | 500,000.00         |
| <b>THE FARMLINK PROJECT</b>              | Food Rescue and Food Security         | 500,000.00         |
| <b>WAGS AND WALKS</b>                    | Dog Rescue                            | 250,000.00         |
| <b>BABY2BABY</b>                         | Provides Children's Necessities       | 250,000.00         |
| <b>A SENSE OF HOME</b>                   | Foster Youth Support                  | 250,000.00         |
| YOUR PALISADES PARK IMPROVEMENT          | Community Support                     | 250,000.00         |
| LOS ANGELES FIRE DEPARTMENT FOUNDATION   | Fire Department Support               | 5,000.00           |
| <b>TEAM RUBICON</b>                      | Disaster Response                     | 5,000.00           |
| <b>BABY2BABY</b>                         | Provides Children's Necessities       | 2,500.00           |
| <b>HILLEL AT UCLA</b>                    | Jewish Student Life                   | 1,500.00           |
| JOHN RITTER FOUNDATION FOR AORTIC HEALTH | Heart Health                          | 37.50              |
| LOS ANGELES FIRE DEPARTMENT FOUNDATION   | Fire Department Support               | 25.00              |
| LOS ANGELES FIRE DEPARTMENT FOUNDATION   | Fire Department Support               | 25.00              |
| <b>TEAM RUBICON</b>                      | Disaster Response                     | 20.00              |
|                                          |                                       |                    |
|                                          |                                       |                    |
|                                          |                                       |                    |
|                                          |                                       |                    |
|                                          |                                       |                    |
|                                          |                                       |                    |

### Exhibit 3

In the normal course of business, we have been named as defendants or co-defendants in lawsuits involving primarily claims for damages. We are also involved in a number of judicial and regulatory matters arising out of the conduct of our business. Based on currently available information, we do not believe that any matter will have a material adverse effect on our financial condition nor has any prior matter had a material adverse effect on our financial condition or otherwise resulted in significant reputational or franchise risk. Additionally, our BrokerCheck Report, which contains any settled regulatory matters, may be obtained by following the links at: <https://brokercheck.finra.org/firm/summary/2347>. Please contact us with any questions about our BrokerCheck Report.