

**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:

Blaylock Van, LLC

Name of Financial Institution

350 Frank H. Ogawa Plaza, 10th Floor, Oakland, CA 94612

Street Address

City

State

Zip Code

Leonard Jones, Executive Director and Head of Public Finance

Contact Person Name and Title

212.715.3310

ljones@brv-llc.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.

Leonard Jones, Executive Director and Head of Public Finance  6/26/2025

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**

Exhibit 2

Blaylock Van, LLC actively promotes diversity and inclusion not only within our workforce but also through our external engagements.

One way we demonstrate our commitment to diversity and inclusion is by partnering with diverse suppliers. For example, we collaborate with [Thinkzilla Consulting](#) (a marketing and consulting firm focused on D&EI digital marketing, branding and recruiting strategies), and [Banks, Finley, White](#) (an accounting firm with a strong focus on supporting minority-owned businesses). Additionally, we work closely with [Assured Partners](#), (a New York-based, women-led insurance consulting firm that handles all our insurance needs). These partnerships not only support diverse communities but also foster economic inclusion.

We continue to work with like-minded organizations to engage in meaningful discussions, workshops focused on diversity and inclusion. During Black History Month, our CEO participated in a panel entitled '[Sharing our Stories and Owning the Narrative](#)'. This event was led by Steven Cranwell, Kevin Garrow, and Anita Gray from Standard Chartered.

Exhibit 3

In November 2016, Blaylock Van entered into a Letter of Acceptance, Waiver and Consent (“AWC”) with FINRA due to an administrative error by a prior Chief Compliance Officer on certain of its G-37 filings. There were no allegations or findings in the AWC that the Forms G-37 at issue had failed to disclose political contributions, if any, made by the Firm or any of its municipal securities professionals and that the Firm had engaged in any other wrongful conduct.

In January 2023, Blaylock Van settled with FINRA for supervisory failures that violated Municipal Securities Rulemaking Board Rule G-27 in connection with the firm's failure to detect pre-arranged trading that occurred between 2016 and 2017. There was no harm to any issuers or customers.