

**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:**

**RBC Capital Markets, LLC**

Name of Financial Institution

555 South Flower Street, Suite 820 Los Angeles CA 90071

Street Address

City

State

Zip Code

**Greg Dawley, Managing Director**

Contact Person Name and Title

**(213) 362-4126**

**greg.dawley@rbccm.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.

<b>Greg Dawley</b>	<b>Managing Director</b>		6/20/2025
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).**



Name of Charitable Organization	Type	Amount (\$)
International Medical Corps	Culture, Wellbeing & Environment\Health & Welfare	620,000
Young Mens Christian Association Of Metropolitan Los Angeles	Culture, Wellbeing & Environment\Youth Services	510,750
West Angeles Community Development Corporation	Economic Empowerment & Opportunity\Economic Development	467,500
Center For Strategic Economic Studies And Institutional Dvlp Inc	Economic Empowerment & Opportunity\Economic Development	463,035
United Way Inc	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	440,000
Neighborhood Housing Services Of Los Angeles County	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	400,000
Entertainment Industry Foundation	Culture, Wellbeing & Environment\Health & Welfare	350,000
Community Build Inc	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	260,000
Project Angel Food	Culture, Wellbeing & Environment\Health & Welfare	200,250
Grammy Museum Foundation Inc	Culture, Wellbeing & Environment\Arts & Culture	200,000
Jewish Federation Council Of Greater Los Angeles	Culture, Wellbeing & Environment\Faith-Based	200,000
Array Alliance Inc	Culture, Wellbeing & Environment\Arts & Culture	125,000
United States Veterans Initiative	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	125,000
California Community Economic Development Association	Economic Empowerment & Opportunity\Economic Development	110,000
Friends Of The Los Angeles Free Clinic	Culture, Wellbeing & Environment\Health & Welfare	105,000
Screen Actors Guild - American Federation Of Television And Radio	Culture, Wellbeing & Environment\Arts & Culture	104,455
Cedars-Sinai Medical Center	Culture, Wellbeing & Environment\Health & Welfare	100,000
Pacific Coast Regional Urban Small Business Development Corporation	Economic Empowerment & Opportunity\Economic Development	100,000
Black Cooperative Impact Fund	Economic Empowerment & Opportunity\Economic Development	87,500
Aids Healthcare Foundation	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	75,000
Hispanas Organized For Political Equality-California	Culture, Wellbeing & Environment\Social Justice	70,000
Shalom Center For T R E E Of Life Therapy Research Education &	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	60,250
New Economics For Women	Economic Empowerment & Opportunity\Economic Development	60,250
Weingart Center Association	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	60,000
Ronald Mcdonald House Charities Of Southern California	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	59,500
Haven Services	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	55,000
Jvs Social	Culture, Wellbeing & Environment\Health & Welfare	52,750
Faith And Community Empowerment	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	51,500
Baby2baby	Culture, Wellbeing & Environment\Health & Welfare	50,250
California Science Center Foundation	Culture, Wellbeing & Environment\Arts & Culture	50,000
Geffen Playhouse	Culture, Wellbeing & Environment\Arts & Culture	50,000
J Paul Getty Trust	Culture, Wellbeing & Environment\Arts & Culture	50,000
TELACU Education Foundation	Culture, Wellbeing & Environment\Literacy	50,000
Los Angeles Urban League	Economic Empowerment & Opportunity\Economic Development	50,000
Instituto De Avance Integral Latino Inc A Community Development Non-P	Economic Empowerment & Opportunity\Economic Development	45,000
Friends Of South Central Losangeles Regional Center For Develop	Culture, Wellbeing & Environment\Individuals with Disabilities	42,000
Restorela-Cdc	Financial Inclusion & Wealth Creation\Financial Education	40,500
East L A Community Corporation	Economic Empowerment & Opportunity\Economic Development	40,000
Genesis La Economic Growth Corporation	Economic Empowerment & Opportunity\Economic Development	40,000
Big Brothers Big Sisters Of Greater Los Angeles Inc	Culture, Wellbeing & Environment\Youth Services	36,000
Los Angeles Sports & Entertainment Commission	Culture, Wellbeing & Environment\Arts & Culture	35,000
Pacific Asian Consortium in Employment	Economic Empowerment & Opportunity\Economic Development	35,000
The Chrysalis Center	Economic Empowerment & Opportunity\Economic Development	32,500
Foundation For The Los Angeles Community Colleges	Culture, Wellbeing & Environment\Education - Non Financial	30,000
Los Angeles Brotherhood Crusade Inc	Culture, Wellbeing & Environment\Literacy	30,000
Water Buffalo Club Inc	Culture, Wellbeing & Environment\Youth Services	30,000
Vermont-Slauson Ldc Inc	Economic Empowerment & Opportunity\Economic Development	30,000
Women Organizing Resources Knowledge And Services	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	27,500
Public Counsel	Economic Empowerment & Opportunity\Economic Development	25,500
Legal Aid Foundation of Los Angeles	Culture, Wellbeing & Environment\Health & Welfare	25,250
All Within My Hands	Culture, Wellbeing & Environment\Health & Welfare	25,000
Abode Communities	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	25,000
Homeboy Industries	Economic Empowerment & Opportunity\Economic Development	25,000
Los Angeles Chapter Of The National Black Mba Association	Economic Empowerment & Opportunity\Economic Development	25,000
Verbum Dei Jesuit High School	Culture, Wellbeing & Environment\Education - Non Financial	23,690
Downtown Womens Center	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	23,000
After-School All-Stars	Culture, Wellbeing & Environment\Education - Non Financial	20,000
The Colburn School	Culture, Wellbeing & Environment\Education - Non Financial	20,000
Hear Of The Brain Foundation	Culture, Wellbeing & Environment\Health & Welfare	20,000
Western Center on Law & Poverty	Culture, Wellbeing & Environment\Health & Welfare	20,000
Apla Health & Wellness	Culture, Wellbeing & Environment\LGBTQ+	20,000
Gay & Lesbian Alliance Against Defamation	Culture, Wellbeing & Environment\LGBTQ+	20,000
YMCA - Stuart M. Ketchum Downtown L.A.	Culture, Wellbeing & Environment\Youth Services	16,600
Jewish Big Brothers Big Sisters Association Of Los Angeles	Culture, Wellbeing & Environment\Youth Services	15,750
Museum Associates	Culture, Wellbeing & Environment\Arts & Culture	15,000
Turnaround Arts California	Culture, Wellbeing & Environment\Education - Non Financial	15,000
Alliance For Childrens Rights	Culture, Wellbeing & Environment\Health & Welfare	15,000
St Johns Community Health	Culture, Wellbeing & Environment\Health & Welfare	15,000
The Elizabeth Taylor Aids Foundation	Culture, Wellbeing & Environment\Health & Welfare	15,000
50 50 Women On Boards Inc	Culture, Wellbeing & Environment\Literacy	15,000
Multicultural Real Estate Alliance For Urban Change	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	15,000
Economic Development Corporation Of Los Angeles	Economic Empowerment & Opportunity\Economic Development	15,000
Ltsc Community Development Corporation	Economic Empowerment & Opportunity\Economic Development	15,000
University of Southern California (USC) - Lusk Center for Real Estate	Culture, Wellbeing & Environment\Education - Non Financial	12,500
Southern California Grantmakers	Culture, Wellbeing & Environment\Literacy	11,150
American National Red Cross	Culture, Wellbeing & Environment\Health & Welfare	10,500
Asian Pacific Community Fund Of Southern California	Culture, Wellbeing & Environment\Other	10,349

Name of Charitable Organization	Type	Amount (\$)
Armand Hammer Museum of Art and Cultural Center	Culture, Wellbeing & Environment\Arts & Culture	10,000
Coalition For Responsible Community Development	Culture, Wellbeing & Environment\Health & Welfare	10,000
Vista Del Mar Child & Family Services	Culture, Wellbeing & Environment\Health & Welfare	10,000
Educating Young Minds	Culture, Wellbeing & Environment\Literacy	10,000
Library Foundation Of Los Angeles	Culture, Wellbeing & Environment\Literacy	10,000
Mexican American Legal Defense And Educational Fund	Culture, Wellbeing & Environment\Literacy	10,000
World Trade Center Association Los Angeles-Long Beach	Culture, Wellbeing & Environment\Other	10,000
Los Angeles Center For Law And Justice	Culture, Wellbeing & Environment\Social Justice	10,000
Hollywood Community Housing Corporation	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	10,000
People Assisting The Homeless	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	10,000
Volunteers of America	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	10,000
Community Services Unlimited	Economic Empowerment & Opportunity\Economic Development	10,000
Inclusive Action For The City	Economic Empowerment & Opportunity\Economic Development	10,000
Jewish Free Loan Association	Economic Empowerment & Opportunity\Economic Development	10,000
San Fernando Valley Small Business Development Corporation	Economic Empowerment & Opportunity\Economic Development	10,000
Shelter Partnership Inc	Economic Empowerment & Opportunity\Economic Development	10,000
Jenesse Center	Economic Empowerment & Opportunity\Technical Assistance	10,000
YMCA - Westside Family	Culture, Wellbeing & Environment\Youth Services	7,750
California Jazz And Blues Museum	Culture, Wellbeing & Environment\Arts & Culture	7,500
Otis College Of Art And Design	Culture, Wellbeing & Environment\Arts & Culture	7,500
The Harmony Project	Culture, Wellbeing & Environment\Arts & Culture	7,500
Communities In Schools Of Los Angeles Inc	Culture, Wellbeing & Environment\Literacy	7,500
Variety Boys And Girls Club	Culture, Wellbeing & Environment\Youth Services	7,500
Directors Guild Foundation	Culture, Wellbeing & Environment\Arts & Culture	6,500
Los Angeles Center Of Photography	Culture, Wellbeing & Environment\Arts & Culture	6,000
Westcoast Sports Associates Inc	Culture, Wellbeing & Environment\Youth Services	6,000
American Cinematheque	Culture, Wellbeing & Environment\Arts & Culture	5,850
Levitt & Quinn Family Law Center	Culture, Wellbeing & Environment\Health & Welfare	5,700
Pta California Congress Of Parents Teachers & Students Inc	Culture, Wellbeing & Environment\Education - Non Financial	5,500
Friends Of The Los Angeles River	Culture, Wellbeing & Environment\Environmental	5,500
Union Rescue Mission	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	5,500
Chinatown Service Center	Economic Empowerment & Opportunity\Economic Development	5,250
Holocaust Museum La	Culture, Wellbeing & Environment\Arts & Culture	5,000
Los Angeles County Museum Of Natural History Foundation	Culture, Wellbeing & Environment\Arts & Culture	5,000
Rideback Rise Inc	Culture, Wellbeing & Environment\Arts & Culture	5,000
Women in Film	Culture, Wellbeing & Environment\Arts & Culture	5,000
Central City Neighborhood Partners	Culture, Wellbeing & Environment\Health & Welfare	5,000
Childrens Institute Inc	Culture, Wellbeing & Environment\Health & Welfare	5,000
Community Partners	Culture, Wellbeing & Environment\Literacy	5,000
Connections For Children	Culture, Wellbeing & Environment\Literacy	5,000
Southern California Center For Nonprofit Management	Culture, Wellbeing & Environment\Literacy	5,000
VDHS Work Study, Inc	Culture, Wellbeing & Environment\Literacy	5,000
Lacer Afterschool Programs	Culture, Wellbeing & Environment\Youth Services	5,000
P F Bresee Foundation	Culture, Wellbeing & Environment\Youth Services	5,000
The Plus Me Project	Culture, Wellbeing & Environment\Youth Services	5,000
A Community Of Friends	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	5,000
The American Dream Grant Program	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	5,000
The Translatin Coalition	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	5,000
Asian American Drug Abuse Program Inc	Economic Empowerment & Opportunity\Economic Development	5,000
Asian Pacific Islander Small Business Program Incorporated	Economic Empowerment & Opportunity\Economic Development	5,000
City Scholars Foundation	Economic Empowerment & Opportunity\Economic Development	5,000
Esperanza Community Housing Corporation	Economic Empowerment & Opportunity\Economic Development	5,000
Koreatown Youth & Community Center	Economic Empowerment & Opportunity\Economic Development	5,000
Los Angeles Conservation Corps	Economic Empowerment & Opportunity\Economic Development	5,000
Pacific Council On International Policy	Economic Empowerment & Opportunity\Economic Development	5,000
Southern California Minority Supplier Development Council Inc	Economic Empowerment & Opportunity\Economic Development	5,000
Young Womens Christian Association Of Greater Los Angeles California	Economic Empowerment & Opportunity\Economic Development	5,000
Hearth Of Los Angeles Youth Inc	Economic Empowerment & Opportunity\Technical Assistance	5,000
Rotary Club Of Los Angeles Foundation	Financial Inclusion & Wealth Creation\Other	5,000
The Gabriella Foundation (Everybody Dance LA)	Culture, Wellbeing & Environment\Arts & Culture	4,600
Concern Foundation	Culture, Wellbeing & Environment\Health & Welfare	4,000
Empower Institute Inc	Culture, Wellbeing & Environment\Literacy	4,000
Yeshiva University High School of Los Angeles	Culture, Wellbeing & Environment\Education - Non Financial	3,600
Los Angeles Ronald McDonald House	Culture, Wellbeing & Environment\Health & Welfare	3,500
Our House Grief Support Center	Culture, Wellbeing & Environment\Health & Welfare	3,500
Turning Point Alcohol & Drug Education Program Inc	Culture, Wellbeing & Environment\Health & Welfare	3,500
Los Angeles Conservancy	Culture, Wellbeing & Environment\Arts & Culture	3,000
Asian American Professional Association	Culture, Wellbeing & Environment\Education - Non Financial	3,000
College Access Partnership Inc	Culture, Wellbeing & Environment\Education - Non Financial	3,000
Cancer Support Community Los Angeles	Culture, Wellbeing & Environment\Health & Welfare	3,000
Latina Lawyers Bar Association	Financial Inclusion & Wealth Creation\Other	3,000
Thai Community Development Center	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	2,850
A Place Called Home	Culture, Wellbeing & Environment\Youth Services	2,800
Tailwaggers Foundation	Culture, Wellbeing & Environment\Animals	2,500
Barcid Foundation	Culture, Wellbeing & Environment\Arts & Culture	2,500
Ica La	Culture, Wellbeing & Environment\Arts & Culture	2,500
Music Guild	Culture, Wellbeing & Environment\Arts & Culture	2,500

Name of Charitable Organization	Type	Amount (\$)
Childrens Hospital Los Angeles	Culture, Wellbeing & Environment\Health & Welfare	2,500
Karsh Family Social Service Center Inc	Culture, Wellbeing & Environment\Health & Welfare	2,500
Ladmc Foundation	Culture, Wellbeing & Environment\Health & Welfare	2,500
Pediatric And Family Medical Center	Culture, Wellbeing & Environment\Health & Welfare	2,500
A Step To Freedom	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	2,500
Black Business Association Of Los Angeles	Economic Empowerment & Opportunity\Economic Development	2,500
Executive Service Corps Of Southern California	Economic Empowerment & Opportunity\Economic Development	2,500
Step Up Womens Network	Economic Empowerment & Opportunity\Economic Development	2,500
Southern California Association of Non-Profit Housing	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	2,375
Los Angeles World Affairs Council	Culture, Wellbeing & Environment\Literacy	2,040
Free Methodist Church Of North America	Culture, Wellbeing & Environment\Faith-Based	1,500
Program For Torture Victims	Culture, Wellbeing & Environment\Health & Welfare	1,500
University Of Southern California	Culture, Wellbeing & Environment\Literacy	1,500
Grand Performances	Culture, Wellbeing & Environment\Arts & Culture	1,250
Los Angeles C A C A Community Action	Culture, Wellbeing & Environment\Arts & Culture	1,250
Walkgood Inc	Culture, Wellbeing & Environment\Health & Welfare	1,250
Go For Broke National Education Center	Culture, Wellbeing & Environment\Veterans & Military	1,190
Find Your Light Foundation	Culture, Wellbeing & Environment\Arts & Culture	1,000
Mount Saint Marys University	Culture, Wellbeing & Environment\Education - Non Financial	1,000
Los Angeles Community Garden Council	Culture, Wellbeing & Environment\Environmental	1,000
Joan Marie Williams Foundation	Culture, Wellbeing & Environment\Health & Welfare	1,000
Love 2 Yeu	Culture, Wellbeing & Environment\Youth Services	1,000
Westside Shepherd Rescue Of Los Angeles Inc	Culture, Wellbeing & Environment\Animals	750
Friends Of The Open School	Culture, Wellbeing & Environment\Education - Non Financial	750
Small Acts for Good	Culture, Wellbeing & Environment\Health & Welfare	750
Solano Ave Elementary School	Culture, Wellbeing & Environment\Education - Non Financial	500
Town And Gown Of The University Of Southern California	Culture, Wellbeing & Environment\Education - Non Financial	500
St Annes Foundation	Culture, Wellbeing & Environment\Health & Welfare	500
Wage Justice Center	Culture, Wellbeing & Environment\Social Justice	500
C5 Youth Foundation of Southern California	Culture, Wellbeing & Environment\Youth Services	500
Mothers-In-Action Inc	Culture, Wellbeing & Environment\Youth Services	500
Motivating Our Students Through Experience	Culture, Wellbeing & Environment\Youth Services	500
Pacific Charter School Development Inc	Culture, Wellbeing & Environment\Youth Services	500
Wags And Walks	Culture, Wellbeing & Environment\Animals	250
Western Usa Lieutenancy Of The Equestrian Order Of The Holy	Culture, Wellbeing & Environment\Animals	250
Enlightened Mentor Corporation	Culture, Wellbeing & Environment\Education - Non Financial	250
National Caca Community Involvement Fund	Culture, Wellbeing & Environment\Education - Non Financial	250
California Community Foundation	Culture, Wellbeing & Environment\Health & Welfare	250
Growing Communities Inc	Culture, Wellbeing & Environment\Health & Welfare	250
L A Chinatown Firecracker Run Committee Inc	Culture, Wellbeing & Environment\Health & Welfare	250
Lincoln Heights Tutorial Program	Culture, Wellbeing & Environment\Literacy	250
Imagine Los Angeles Inc	Economic Empowerment & Opportunity\Affordable Housing/ Unhoused	250



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## Exhibit 3

RBC Capital Markets, LLC ("RBCCM") is an indirect, wholly-owned subsidiary of Royal Bank of Canada, a large global institution subject to many different legal and regulatory requirements in the United States, Canada and other jurisdictions. Our response to this question is limited to matters involving the Municipal Markets business of RBC Capital Markets, LLC, the broker-dealer through which we conduct our municipal underwriting and financial advisory activities. From time to time, certain of RBCCM's regulators may conduct investigations, initiate enforcement proceedings and/or enter into settlements with RBCCM with respect to issues raised in various investigations.

RBCCM complies fully with its regulators in all investigations and in all settlements RBCCM reaches. The Financial Industry Regulatory Authority ("FINRA"), in furtherance of its responsibilities as the securities industry's self-regulatory organization pursuant to Section 15A(i) of the Securities Exchange Act of 1934, maintains a public database on registered broker-dealers and their associated persons known as BrokerCheck (<http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/>). The information made available through BrokerCheck is derived from the Central Registration Depository (CRD®), the securities industry online registration and licensing database. Information in CRD is obtained through forms that broker-dealers, their associated persons and regulators complete as part of the securities industry registration and licensing process, and to comply with comprehensive disclosure obligations imposed by FINRA and other regulators. RBCCM generally does not disclose investigations, proceedings, or settlements except as required through CRD, and RBCCM makes no representations as to the existence or non-existence of any such investigations, proceedings, or settlements beyond what is available through CRD. To the extent material to the financial results of Royal Bank of Canada, any investigation, proceeding or settlement involving RBCCM also is disclosed in Royal Bank of Canada's financial statements, which may be obtained by visiting [www.rbc.com/investorrelations/](http://www.rbc.com/investorrelations/).