

**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  
980 Ninth St., 16<sup>th</sup> Fl Sacramento CA 95814  
 Street Address City State Zip Code  
SAM SMALLS, Managing Director  
 Contact Person Name and Title  
916.449.9935 SSMALLS@MAC.COM  
 Telephone No. Email Address

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.
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.

**CERTIFICATION UNDER PENALTY OR 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.

SAM SMALLS, MD [Signature] 8/12/14  
 Print Name, Title Signature Date

**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**

**Vendor, Contractor and Subcontractor Notification**  
**41 C.F.R. § 60-741.44(f)(5)**

Vendors, contractors and subcontractors will be notified, as required, that Jefferies & Company, Inc. is an Equal Employment Opportunity employer and has established an Affirmative Action Program for Individuals with Disabilities. The notice will expressly state that the company has taken affirmative steps to recruit, employ, and advance in employment, qualified disabled applicants and employees. Each vendor, contractor and subcontractor will be encouraged to undertake affirmative action to employ and advance in employment qualified individuals with disabilities. Any contractual agreement between Jefferies & Company, Inc. and its vendors, contractors and subcontractors shall include the affirmative action clause (41 C.F.R. § 60-741.5(a)), as required.