

**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			
<b>200 Vesey Street</b>	<b>New York</b>	<b>NY</b>	<b>10281</b>
Street Address	City	State	Zip Code
<b>Christine Pihl, Managing Director</b>			
Contact Person Name and Title			
<b>(206) 621-3221</b>	<b>christine.pihl@rbccm.com</b>		
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.

**Christine Pihl, Managing Director**

Print Name, Title

  
Signature

**9/2/2014**  
Date

**PLEASE SEND THE ORIGINAL SIGNED FORM TO THE ADDRESS BELOW AND EMAIL A COPY TO [CAO.DEBT@LACITY.ORG](mailto: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 (\$)
TreePeople	Environment	\$ 100,000
The Grammy Foundation	Arts & Culture	25,000
Cedar Sinai Medical Center	Cancer/Aids/Other Diseases	5,000
LA's BEST	Regional Grant	5,000
The UCLA Foundation	Gift Matching	1,300
University of California Los Angeles Foundation	Education & Literacy	1,000
University of Southern California	Gift Matching	500
American Heart Association Inc. - Los Angeles	Gift Matching	425
Connecting Cultures Mobile Museum	Gift Matching	200
Movember	Cancer/Aids/Other Diseases	100
Omg Everywhere	Gift Matching	100
Entertainment Industry Foundation	Gift Matching	50
<b>Total</b>		<b>\$ 138,675</b>



August 29, 2014

To Whom It May Concern:

*Diversity for Growth and Innovation* is a core value at RBC, and this commitment translates to our communities and our customers. RBC is committed to purchasing materials and goods and services from a diversified vendor base, while maintaining or improving the levels of quality, service and technology we require.

As Head of Procurement in the US, I have championed our Supplier Diversity Program across our US businesses. Our Supplier Diversity program aims to achieve a truly inclusive supply chain and to advance the achievement of equality in providing access to purchasing opportunities to all qualified suppliers.

Through the Supplier Diversity program at US RBC I have been able to:

- Establish targets for suppliers who support diversity as part of our Request for Proposal process (5% of suppliers must align to our definition);
- Execute supplier relationships with Chambers of Commerce across the US;
- Further roll out our Supplier Diversity Program globally; and
- Participate in the Hispanic Chamber of Commerce in DC as a member of the Board of Directors for the Procurement Council.

In the US, we are proud to be a corporate member of the National Minority Supplier Development Council (NMSDC) and the National Gay and Lesbian Chamber of Commerce (NGLCC). Vendors are encouraged to contact the NMSDC, NGLCC and the Women Business Enterprise National Council (WBENC) for information on how to acquire and maintain supplier certification. Each of our US subsidiaries is a member of NMSDC.

On an annual basis we participate in events with the above organizations with the objective to network with and recruit diverse firms who meet our minimum vendor requirements. We have also participated in "meet and procure" events with different chambers of commerce with the same objective of doing more business with diverse firms.

As a global organization, RBC believes that in order to succeed in the marketplace, we must attract, employ and fully integrate diversity in our workforce as well as our third party supplier relationships. We have the full commitment from our senior leaders, beginning from our CEO, to drive results with accountability, consistent activities, and local results.

If you would like additional information to substantiate RBC's and my commitment to Supplier Diversity, I can be reached at (704) 451-8894 or [marco.perez@rbc.com](mailto:marco.perez@rbc.com).

Kind regards,

A handwritten signature in blue ink, which appears to read "Marco Perez", is written over a blue circular stamp or watermark. The signature is fluid and cursive.

Marco Perez