

**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:

Stifel, Nicolaus & Company, Incorporated

Name of Financial Institution
515 South Figueroa Street, Suite 1800, Los Angeles, CA 90071

Street Address	City	State	Zip Code
Edward De La Rosa, Managing Director			

Contact Person Name and Title (213) 443-5210	edelarosa@stifel.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? 6
 - b. What was the total value of the awarded scholarships? \$12,000

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.

Edward De La Rosa, Managing Director	<i>Edward J. DeLaRosa</i>	<i>6-12-15</i>
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**

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

<u>Name of Charitable Organization</u>	<u>Type</u>	<u>Amount (\$)</u>
Garfield High School, John Benson Scholarship Fund	Education & Literacy	\$ 250.00
Whittier Police Officers Association	Education & Literacy	\$ 600.00
Santa Monica Little League	Children & Youth Development	\$ 700.00
Los Angeles Sheriff's Professional Association Cares for Kids	Children & Youth Development	\$ 900.00
Inner City Struggle	Education & Literacy	\$ 1,000.00
Watts-Willowbrook Boys & Girls Club	Children & Youth Development	\$ 1,000.00
Torrance-South Bay YMCA	Community Development	\$ 1,000.00
Long Beach City College Foundation	Education & Literacy	\$ 1,000.00
Salesian High School	Education & Literacy	\$ 1,000.00
Whittier City School Education Foundation	Education & Literacy	\$ 1,000.00
Girls Today Women Tomorrow	Women Empowerment	\$ 1,000.00
YMCA of Metro LA	Community Development	\$ 1,000.00
InnerCircle Foster Care & Adoption	Children & Youth Development	\$ 1,250.00
Loyola Marymount University	Education & Literacy	\$ 2,500.00
Variety Boys & Girls Club	Children & Youth Development	\$ 2,500.00
Women in Public Finance, LA	Women Empowerment	\$ 2,500.00
Mt. Sac Foundation	Education & Literacy	\$ 3,000.00
HOPE	Women Empowerment	\$ 3,000.00
Rio Hondo College	Education & Literacy	\$ 3,500.00
PUENTE Learning Center	Education & Literacy	\$ 5,000.00
Santa Monica-Malibu Education Foundation	Education & Literacy	\$ 5,000.00
Keichum-Downtown YMCA, Stair Climb for Los Angeles	Community Development	\$ 5,000.00
La Plaza de Culturas y Arte	Community Development	\$ 10,000.00
TELACU	Education & Literacy	\$ 10,000.00
University of Southern California, Sol Price School of Public Policy	Education & Literacy	\$ 10,000.00

2014-15 Fabric of Society Scholarship Program

Washington Prep High School	1 Scholarship Winner	\$ 2,000.00
Los Angeles High School	2 Scholarship Winner	\$ 4,000.00
Compton High School	2 Scholarship Winner	\$ 4,000.00
Morningside High School	1 Scholarship Winner	\$ 2,000.00

Note: List is inclusive of De La Rosa & Co.'s contributions. On April 1, 2014 Stifel acquired De La Rosa & Co.