

**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:

Rice Securities, LLC			
Name of Financial Institution			
888 7th Avenue, 6th Floor	New York	NY	10106
Street Address			
City			
State			
Zip Code			
Don Rice, CEO			
Contact Person Name and Title			
212-908-9200		don.rice@ricefin.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 X 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 X If yes, please provide a copy of your policies.

Rice Financial is minority owned and does not use subcontractors.

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.

Don Rice, CEO		4/18/19
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**

2019 JUN 24 AM 9:57
CITY ADMINISTRATIVE OFFICER

