

**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:

Backstrom McCarley Berry & Co., LLC

Name of Financial Institution

115 Sansome St., Mez A

San Francisco CA 94533

Street Address

City

State

Zip Code

Vincent McCarley, CEO

Contact Person Name and Title

415-857-6101

vmccarley@bmcbbc.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.

Vincent McCarley CEO



6/14/2022

Print Name

Title

Signature

Date

(*) Signature must be that of the Head of Public Finance or equivalent corporate executive.

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**



Backstrom McCarley Berry & Co., LLC

BMCB'S AFFIRMATIVE ACTION PLAN & POLICIES

BMcB is an African-American owned small business enterprise certified by the State of California as a Disadvantaged Business Enterprise, which has a reciprocal agreement with the City of Los Angeles as Minority Business Enterprise. As a minority owned business, we are keenly aware of the value of efforts to recruit and procure from all sectors of the population with an added outreach toward emerging populations.

Affirmative policies are key within BMcB's business strategies to ensure that our work force and procurement sources are representative of the total community.

Implementation Process & Recruitment Methods:

- Focus recruitment and procurement efforts through media or with employment organizations, schools, and/or training establishments, which are concerned with securing employment and vendor services for all individuals, including minorities and women.
- Make it clear that minorities and women are encouraged to apply for positions and contracting opportunities in our firm and to place high priority on securing employment and contracts for underrepresented persons.
- Assist local and regional minority law firms to gain valuable securities experience by selecting them as sole or co-underwriter's counsel when our firm acts as senior manager.
- Make every effort to utilize Historically Underutilized Businesses for any available work associated with financings undertaken by our firm.
- Provide equal employment and training opportunities for after-school, summer employment and internships to underrepresented young persons.

BMcB has a total of nine minority employees, including one woman. As a minority firm, we are aware of the value of efforts to recruit and procure from all sectors of the population. BMcB has and continues to partner with "minority/women owned" businesses as opportunities arise.