

**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:

Cabrera Capital Markets, LLC
Name of Financial Institution
633 West Fifth Street, Ste 2617, Los Angeles, CA 90071
Street Address City State Zip Code
Carmen Vargas, Senior Vice President
Contact Person Name and Title
(213) 223-2352 cvargas@cabreracapital.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.

Carmen Vargas, SVP  8/13/2014
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

Name of Charitable Organization	Type	Amount (\$)
Westchester Little League	Children & Youth Development	\$ 400.00
NALEO Education Fund	Minority Empowerment	\$ 700.00
Relay for Life (Inglewood)	Cancer/Aids/Other Diseases	\$ 450.00
TELACU Education Fund	Children & Youth Development	\$ 5,000.00
Independent Cities Summer Sponsorship	Politics	\$ 1,500.00
Women in Public Finance National & Los Angeles	Women Empowerment	\$ 1,025.00
League of Cities Latino Caucus	Politics	\$ 2,500.00
Assoc. of Women in Water Finance and Energy	Women Empowerment	\$ 125.00
National Latino Peace Officers Association of LA County	Legal Services/Justice	\$ 400.00

2. Sponsorship to National Women in Public Financing (WPF) conference was utilized in part for a scholarship for a LAUSD high school student; Sponsorship to TELACU Foundation was utilized for scholarships for LA Area High School Students

3. As a minority business enterprise, Cabrera Capital Markets understands the importance of utilizing women, minority and disabled business enterprises and does utilize the services of these business enterprises when subcontracting is needed. The company is committed to seeking out and utilizing WBE/MBE/DBE firms as vendors and service providers for our business needs. At this time, we do not have a formal internal policy in place.