

**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:

Mischler Financial Group, Inc.

Name of Financial Institution			
1111 Bayside Drive, Suite 100	Corona del Mar	CA	92625
Street Address	City	State	Zip Code
Doyle L. Holmes - President			
Contact Person Name and Title			
(949) 720-0640	dholmes@mischlerfinancial.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.

Doyle L. Holmes, President		6/9/2015
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**

PARTICIPATION BY MINORITY BUSINESSES

Mischler Financial Group (“MFG”) affirms our commitment to seek and identify qualified minority businesses, to offer them the opportunity to participate, and to encourage them to participate as a subcontractor on various projects in which MFG is involved.

To ensure MFG’s policy assists businesses that are owned and controlled in both form and substance by one or more minorities, MFG will pre-qualify or certify the eligibility of minority businesses. MFG will maintain a data bank describing materials and services provided by minority business enterprises. MFG will provide information to minority enterprises about MFG’s contracting procedures.

MFG has developed appropriate procedures for compliance with the verifiable goals to utilize minority subcontractors.

- A. To ensure that MFG’s policy assists businesses that are owned and controlled in both form and substance by one or more minorities, MFG will pre-qualify or certify the eligibility of minority businesses.
- B. Communications with Minority Business: MFG shall provide information to minority business enterprises about our contracting procedures.
- C. Certification by Contractors: MFG shall require potential subcontractors to provide the following information in writing. The successful subcontractor shall provide the following information to MFG.
 - a. The names and addresses of the minority business firm that will participate in the contract.
 - b. A description of the work the minority business will perform.
 - c. The dollar amount of participation by the minority business.
- D. Criteria for Certification of Minority Businesses
 1. The term “minority business” means a business;
 - a. In which at least fifty-one percent (51%) is owned by one or more minority persons, or in the case of a corporations, in which at least fifty-one (51%) of the stock is owned by one or more minority persons; and