

**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		6/21/16
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 (\$)
BuildOn	Education & Literacy	15,000.00
Department of Michigan, Veterans of Foreign Wars	Veterans & Military Families	\$ 150.00
The PKD Foundation	Cancer/Aids/Other Diseases	\$ 500.00
Back Road Brigade Running Club	Veterans & Military Families	\$ 2,000.00
Veterans on Wall Street	Veterans & Military Families	\$ 10,000.00
First Graduate	Education & Literacy	\$ 3,000.00
New Jersey Firemen's Home	Community Development	\$ 250.00
BuildOn	Education & Literacy	\$ 10,000.00
Veterans on Wall Street	Veterans & Military Families	\$ 10,000.00
Semper Fi	Veterans & Military Families	\$ 20,000.00
Lead the Way Fund	Veterans & Military Families	\$ 25,000.00
Ronald McDonald House Charities	Children & Youth Development	\$ 6,000.00
Veterans Assistance Foundation	Veterans & Military Families	\$ 250.00
Pan Mass Challenge	Cancer/Aids/Other Diseases	\$ 500.00
The Carnival Association	Community Development	\$ 1,000.00
JDRF	Cancer/Aids/Other Diseases	\$ 1,500.00
Doctors without Borders	Cancer/Aids/Other Diseases	\$ 100.00
VetEd Challenge	Veterans & Military Families	\$ 22,000.00
Army Athletic Association	Veterans & Military Families	\$ 1,604.00

Charities are not located within the City of Los Angeles, however, recipients of funds from the charities could be residents of Los Angeles.

Mischler Financial Group, Inc.

Diversity vision

Mischler Financial Group, Inc. (“MFG”) recognizes its talented and diverse workforce as a key competitive advantage. Our business success is a reflection of the quality and skill of our people and our partners. MFG is committed to seeking out and retaining the finest talent to ensure top business growth and performance both with internal hiring and with our external partners, subcontractors and consultants

Diversity management benefits individuals, teams, our company as a whole, and our customers. We recognize that each employee brings their own unique capabilities, experiences and characteristics to their work. We value such diversity at all levels of the company in all that we do.

MFG is diverse along many dimensions. Our diversity encompasses differences in ethnicity, gender, language, age, sexual orientation, religion, socio-economic status, physical and mental ability, thinking styles, experience, and education. We believe that the wide array of perspectives that results from such diversity promote innovation and business success. Managing diversity makes us more creative, flexible, productive and competitive.

Investment Banking Activity

Our commitment to utilize “woman owned”, “minority owned” and “disabled veteran owned” business whenever possible as subcontractors, consultants or partners when responding to RFQ’s. MFG is committed to identifying and utilizing woman, minority and veteran owned firms whenever possible in all of our investment banking activities.

Recruitment

As a national player, MFG recruits people from all around the country. We believe that our employees from many different cultural, linguistic and national backgrounds provide us with valuable knowledge for understanding complex markets. We have established procedures to identify talented individuals from under-represented backgrounds for recruitment. We contribute to organizations that support under-represented talent such as American Veterans.

Career development and promotion

MFG rewards excellence and all employees are promoted on the basis of their performance. All managers are trained in managing diversity to ensure that employees are treated fairly and evaluated objectively.

Community programs

MFG recognizes that there are distinct demographic groups that have long been disadvantaged. We recognize that racism, ageism, sexism and other forms of discrimination are problems both for our organization and society as a whole. MFG is committed to tackling cultural stereotypes both within and outside our organization. We have clear reporting procedures for any type of discrimination or harassment combined with follow-up procedures to prevent future incidents.

Diversity practices

All employees undergo diversity training. Diversity training encompasses raising awareness about issues surrounding diversity and developing diversity management skills.

MFG provides a safe and pleasant environment for our employees. We offer:

- Flexible working time arrangements
- Employee education assistance
- Employee network and support groups
- Open communication
- Mentor programs

Diversity bodies

Our commitment to diversity is led by our Board of Directors which make up a diversity committee, which is responsible for ensuring that our diversity policy is articulated in the day to day running and the strategic direction of the company.