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:

Piper Jaffray & Co.  
Name of Financial Institution  
1100 S. Coast Highway, Suite 300A, Laguna Beach, CA 92651  
Street Address  
Katie Koster, Managing Director  
Contact Person Name and Title  
949-494-6110  
Telephone No.  
katherine.a.koster@pjc.com  
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.

Katherine A. Koster  
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
### Responsible Banking Ordinance

#### Summary of Investment Banks

<table>
<thead>
<tr>
<th>Firm Name</th>
<th>Charitable Contributions</th>
<th>Employee Volunteer Hours</th>
<th>LOCAL AND DIVERSITY PROCUREMENT?</th>
<th>Amount Expended ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>No. of Charities</td>
<td>Donations ($)</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Susan G. Komen Breast Cancer Foundation</td>
<td>$</td>
<td>100.00</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Pencils for Kids Inc</td>
<td>$</td>
<td>500.00</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Entertainment Industry Foundation</td>
<td>$</td>
<td>25.00</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Alzheimers Disease and Related Disorders Assn</td>
<td>$</td>
<td>175.00</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>United Way Inc</td>
<td>$</td>
<td>25.00</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Simon Wiesenthal Center</td>
<td>$</td>
<td>1,000.00</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Network for Teaching</td>
<td>$</td>
<td>1,150.00</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Entrepreneurship - Greater Los Angeles</td>
<td>$</td>
<td>175.00</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Mercy for Animals</td>
<td>$</td>
<td>175.00</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>The Leukemia &amp; Lymphoma Society</td>
<td>$</td>
<td>250.00</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

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**Legend:**
- Yes: ☐
- No: ☐

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**Notes:**
- Please fill out the table with the amounts and policies for each firm.
- Check ☐ for Yes or ☐ for No in the appropriate columns.
- Ensure all required fields are completed.
- Review the amounts and policies for accuracy.

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**Contact Information:**
- For any questions or further assistance, please contact the responsible banking ordinance office.
- Check website for updates and changes to the investment guidelines.

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**Important:**
- All contributions and policies are subject to review by the responsible banking ordinance office.
- Any discrepancies will be addressed promptly.
- Compliance with the guidelines is mandatory.