

**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:

| | | | |
|----------------------------------|----------------------------|-------|----------|
| Raymond James & Associates Inc. | | | |
| Name of Financial Institution | | | |
| One Embarcadero Center Suite 650 | San Francisco | CA | 94111 |
| Street Address | City | State | Zip Code |
| Tom Innis, Managing Director | | | |
| Contact Person Name and Title | | | |
| 415-616-8939 | tom.innis@raymondjames.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.

Tom Innis, Managing Director
Print Name, Title


Signature

6/23/16
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 (\$) |
|--|----------------------------|--------------------|
| Race to Erase MS | Race to Erase MS Gala 2015 | 5,000.00 |
| Midnight Mission | Raymond James Breakfast | 5,000.00 |

RAYMOND JAMES®

June 21, 2016

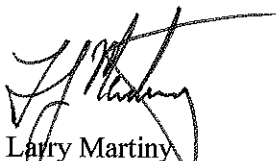
Judith Daco
Debt Manager
Finance & Risk Control Division
Los Angeles Department of Water & Power
111 N Hope Street, Room # 465
Los Angeles, CA 90012
Tel: (213) 367-3132
E-mail: Judith.daco@ladwp.com

RE: City of Los Angeles
Responsible Banking Investment Monitoring Program
For Investment Banking

Dear Judith,

Raymond James is dedicated to an inclusive and diverse environment where differences are understood respected and valued. As the Vice President of Procurement for Raymond James, I have the responsibility to ensure that the Firm's values with regard to diversity are extended to our suppliers as well. In 2012, we established a Supplier Diversity Program that actively encouraged minority, disabled and women owned businesses to become suppliers to Raymond James. In subsequent years we continue to steadily build upon this program. We are currently in the planning phases of enhancing our systems to help us measure the Firm's spending with minority, disabled and woman owned businesses so that we can track our progress toward the Firm's spending goals for these businesses. We look forward to updating you with our progress toward our diversity spending goals in future years.

Sincerely,



Larry Martiny
Vice President, Procurement
Raymond James & Associates, Inc.