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:

Jefferies LLC
Name of Financial Institution
11100 Santa Monica Blvd., 12th Floor
Los Angeles, CA 90025
Street Address
City
State
Zip Code
John Gust, Senior Vice President
Contact Person Name and Title
310.575.5207
jgust@jefferies.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.

John Gust, Senior Vice President
Print Name, Title
Signature
6/26/2017
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
<table>
<thead>
<tr>
<th>Name of Charitable Organization</th>
<th>Type</th>
<th>Amount ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADOPT A HIGHWAY LITTER REMOVAL SERVICE</td>
<td>Environment</td>
<td>$11,550.00</td>
</tr>
<tr>
<td>UNION RESCUE MISSION</td>
<td>Homelessness</td>
<td>$12,500.00</td>
</tr>
<tr>
<td>CHILDREN'S BUREAU OF SOUTHERN CALIFORNIA</td>
<td>Children &amp; Youth Development</td>
<td>$1,750.00</td>
</tr>
<tr>
<td>UCLA</td>
<td>Education &amp; Literacy</td>
<td>$50.00</td>
</tr>
<tr>
<td>MERCY FOR ANIMALS</td>
<td>Animal Rights</td>
<td>$50.00</td>
</tr>
<tr>
<td>USC, SHOAH FOUNDATION</td>
<td>Human Rights &amp; Public Advocacy</td>
<td>$50.00</td>
</tr>
<tr>
<td>CHILDREN'S HUNGER FUND</td>
<td>Hunger - Food</td>
<td>$2,500.00</td>
</tr>
<tr>
<td>A WOMAN'S NATION</td>
<td>Women Empowerment</td>
<td>$25.00</td>
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