

**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:

Loop Capital Markets LLC			
Name of Financial Institution			
12100 Wilshire Blvd., Suite 605	Los Angeles	CA	90025
Street Address	City	State	Zip Code
Jason Richter, Vice President			
Contact Person Name and Title			
(310) 439-5547	jason.richter@loopcapital.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.

Stephen Berkeley, CCO & Regulatory Counsel

Print Name, Title


Signature

06/19/17

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 (\$)
Women in Institutional Investments	Women Empowerment	1,500.00
National Utilities Diversity Council	Minority Empowerment	2,250.00
Special Olympics of Southern California	Minority Empowerment	500.00
Los Angeles Urban League	Minority Empowerment	7,500.00



Loop Capital

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**LOOP CAPITAL
DIVERSITY POLICY STATEMENT**

Loop Capital is committed to diversity both in its workforce and in its procurement activities. As a minority owned-business that has expanded from 6 employees to over 175 employees during the last 20 years, the firm has a keen interest in supporting the growth and establishment of other minority-owned, woman-owned and other emerging market businesses. Loop Capital regularly selects qualified minority and woman owned businesses as vendors and partners to support our business. Minority and woman owned businesses used as vendors and/or business partners by the firm include, but are not limited to, attorneys, insurance and real estate brokers, architects, consultants and photographers. Likewise, when an assignment necessitates the use of outside professionals, the firm seeks qualified minority and woman owned businesses who will allow us to provide comprehensive services and solutions to our clients. Even when considering firms who are not minority or woman owned, Loop Capital strives to support the development and growth of the minorities and women within those organizations by requesting minorities and women be given significant and substantive roles on the services to be performed.

A handwritten signature in cursive script that reads "Celeste Wright Harris".

Celeste Wright Harris
Vice President, Human Resources

A handwritten date in cursive script that reads "April 12, 2017".

Date