

**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:

SIEBERT CISNEROS SHANK & CO., LLC			
Name of Financial Institution			
660 S. FIGUEROA STREET, STE. 1720	LOS ANGELES	CA	90017
Street Address	City	State	Zip Code
GRACE YUEN--SENIOR VICE PRESIDENT			
Contact Person Name and Title			
213-236-0521	GYUEN@SCSCAPITAL.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? N/A
 - b. What was the total value of the awarded scholarships? N/A

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.

JOSEPH MENDOLA, CHIEF COMPLIANCE OFFICER		06/15/2017
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 (\$)
NALEO EDUCATIONAL FUND	Community Development	\$2,500.00
SOUTHERN CALIFORNIA VISION TO LEARN	Children & Youth Development	\$500.00
WOMEN IN PUBLIC FINANCE	Community Development	\$1,500.00
THE POSSE FOUNDATION, INC.	Children & Youth Development	\$1,000.00
ASIAN AMERICANS IN PUBLIC FINANCE	Community Development	\$500.00
MALDEF	Community Development	\$5,000.00