

**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:

Cabrera Capital Markets LLC

Name of Financial Institution

10 South LaSalle Street, Suite 1050 Chicago IL 60603

Street Address

City

State

Zip Code

Brian Corley, Senior Vice President

Contact Person Name and Title

213-279-2120

bcorley@cabreracapital.com

Telephone No.

Email Address

SOCIAL RESPONSIBILITY

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, labeled at Exhibit 1.

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, labeled as Exhibit 2

CONSUMER PROTECTION

1. Is the financial institution currently in compliance with all applicable consumer financial protection laws?

Yes No

If no, please briefly explain: _____

2. Does the financial institution have policies to prevent the use of illegal predatory consumer adverse sales goals as the bases for evaluation, promotion, discipline or compensation of employees?

Yes No

If no, please briefly explain: _____

3. Does the financial institution encourage and maintain whistleblower protection policies for its employees and/or customers to report suspected illegal practices, including predatory sales goals?

Yes No

If no, please briefly explain: _____

4. In the last five years, has the financial institution been subject to any disciplinary actions such as fines, suspensions, or settlements, undertaken by the Securities and Exchange Commission, the Consumer Financial Protection Bureau, the Municipal Securities Regulation Board, the Financial Industry Regulatory Agency and/or any State regulatory agency?

Yes No

5. If the answer to question no. 4 is yes, please provide in separate attachment labeled Exhibit 3, what the violation(s) are, the reason for the enforcement action, what government agencies are involved, the date of the enforcement action, what is the current status, and how were or will the issues be resolved?

CERTIFICATION UNDER PENALTY OF 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.

Brad Ziemba Chief Compliance Officer

6/10/2020

Print Name Title

Signature 

Date

(*) Signature must be that of the Head of Public Finance or equivalent corporate executive.

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 (\$)
Barrio Silicon	Children & Youth Development	1000
Dukes	Triple Sponsor	1000
San Gabriel Valley Civic Alliance	Community Development	2500
Latino Donor Collaborative, Inc (LDC)	Minority Empowerment	5000
TELACU Education	Education & Literacy	2500
Roybal Foundation	Community Development	1500
Cathedral High School	Education & Literacy	1250
El Monte Chamber of Commerce	Economic Development	500
Olivarez Madruga Lemieux O'Niell	Education & Literacy	6572



CABRERA CAPITAL MARKETS LLC

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On October 12, 2017 (related to activity in 2013), without admitting or denying the findings, the firm consented to sanctions and to the entry of findings by FINRA related to the maintenance of due diligence files, internal procedures for underwriting when not acting as a lead underwriter, and regulatory registrations. With respect to these items, FINRA did not note any negative impact to any client or to the public. In addition, the firm has revised its internal procedures to address each of the concerns raised by FINRA's findings. The full text of the findings FINRA made with respect to the matter noted above can be found at the following link <https://brokercheck.finra.org/> by entering the Cabrera's CRD# 10081.