

**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 1<sup>st</sup> 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:**

R4 California Tax-Exempt Bond Partners II LP [1]  
Name of Financial Institution

780 Third Avenue, 16th Floor          New York          NY          10017  
Street Address    City                          State                  Zip Code

James D. Spound, President  
Contact Person Name and Title

646-844-0935    jspound@r4cap.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 \_x\_ 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 \_x\_

- 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 \_x\_

If yes, please provide a copy of your policies, labeled as Exhibit 2

**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.

James D. Spound, President      [Signature]      9/3/20  
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**

*[1] This form was completed by R4 California II GP LLC, as General Partner of R4 California Tax-Exempt Bond Partners II LP, on behalf of the General Partner and its affiliates. R4 California Tax-Exempt Bond Partners II LP was formed to invest in bonds to finance the acquisition, construction, rehabilitation and/or refinancing of properties each of which is a qualified low income housing project located within the State of California.*