# 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:** 

Ва	ackstrom McCarley Berry & Co., LLC
Name	of Financial Institution
115	5 Sansome St., Mez A San Francisco, CA 94104
Street	Address City State Zip Code
Vin	cent McCarley, CEO
Conta	ct Person Name and Title
41	5-857-6101 vmccarley@bmcbco.com
Telep	hone No. Email Address
	AL RESPONSIBILITY
Pleas	e answer the following questions for the preceding calendar year.
1.	Did your firm make monetary donations to charitable programs within the Citylimits?
	Yes <u>X</u> 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_
	<ul><li>a. How many scholarships were awarded?</li><li>b. What was the total value of the awarded scholarships?</li></ul>
3.	Does your firm have internal policies regarding utilization of subcontractors which are designated as "women owned," "minority owned," or "disabled business enterprises? Yes _x 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 _ X_ No		
	If no, please briefly explain:		
	<del>,</del> _		
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 <u>X</u> 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 <u>X</u> 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 <u>X</u>		
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.

to this form is true and accurate to the best of my knowledge and belief.

Vincent McCarley, CEO

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	Туре	Amount (\$)
Center Theatre for (Arts Progran	n) 501 (c) (3)	\$100

#### **Utilization of Subcontractors**

As a minority owned business, we are keenly aware of the value of efforts to recruit and procure from all sectors of the population with an added outreach toward emerging population. We have worked with several minority and/or women-owned firms in multiple projects in a joint capacity, as a prime firm and as subcontractor.

Affirmative policies are key within BMcB's business strategies to ensure that our work force and procurement sources are representative of the total community.

BMcB has and continues to partner with "minority/women owned" businesses as opportunities arise.

These policies are in addition to the firm's affirmative action policies.