

**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:**

Loop Capital Markets LLC

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Name of Financial Institution

6080 Center Drive 6th Floor

Los Angeles

CA

90045

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Street Address

City

State

Zip Code

Tarun Anjan, Senior Vice President

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Contact Person Name and Title

310.439.5549

tarun.anjan@loopcapital.com

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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: \_\_\_\_\_  
Loop Capital is an institutional investment bank that does  
provide services to consumers which would necessitate implement such a policy.

\_\_\_\_\_

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?

**See attached for Exhibit 3**

\_\_\_\_\_

\_\_\_\_\_

**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.

Stephen Berkeley, CCO and Regulatory Counsel

Print Name	Title	Signature	Date
		<b>Stephen Berkeley</b>	06/13/23

Digitally signed by Stephen Berkeley  
DN: cn=Stephen Berkeley,  
o=Loop Capital Markets, ou,  
email=stephen.berkeley@loopcapital.com, c=US  
Date: 2023.06.13 11:48:34 -05'00'

(\*) 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](mailto: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**

<b>Name of Charitable Organization</b>	<b>Type</b>	<b>Amount (\$)</b>
N/A		



Exhibit 2

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 240 employees during the last 25 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 black ink that reads "Celeste Wright Harris".

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Celeste Wright Harris  
Chief Human Resources Officer

March 23, 2022  
Date

### **Exhibit 3**

In September 2022, without admitting or denying the violations, Loop Capital Markets LLC entered a settlement with the SEC regarding allegations that between 2017 and 2019, the Firm acted as a Municipal Advisor without registration in connection with the investment of municipal bond proceeds by a municipal entity. The Firm's Institutional Fixed Income sales and trading desk was the focus of the inquiry.

From time to time and as a regular course of business, Loop Capital Markets responds to requests for information and subpoenas from its designated examining authority and federal and state regulatory organizations. In connection with these inquiries, the Firm and its associated persons provide documents, information and appear for testimony. To the best of the Firm's knowledge, neither it nor any of its associated persons are the subjects or targets of the proceedings. Loop Capital Markets does not believe any of the aforementioned matters is material in nature or would otherwise affect the Firm's performance of services to LADWP.