

**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:

PIPER JAFFRAY & CO.
Name of Financial Institution

800 NICOLLET MALL, JDQNO2 MINNEAPOLIS, MN
Street Address City State Zip Code 55402

CHRISTINE ESCKILSEN
Contact Person Name and Title

612-303-8145 christine.n.esckilsen@pjc.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. *See attached*
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. *See attached*

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.

Christine Esckilsen, Head of Human Capital Christine Esckilsen Aug 12, 2014
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

2013 Charitable Contributions State of California	
Payee	Amount
Embarcadero YMCA	\$7,500
United Way of Fresno County	\$300
United Way of San Diego County	\$250
United Way of the Bay Area	\$2,295
EL PORTAL PARENTS CLUB	\$50
DUARTE COMMUNITY & EDUCATION	\$1,000
MIRA COSTA COLLEGE FOUNDATION	\$1,000
WEST CONTRA COSTA PUBLIC	\$10,000
TOTAL	\$22,395

2013 Matching Gifts State of California	
Payee	Amount
Alzheimers Disease and Related Disorders Association Inc	\$50
American National Red Cross	\$500
Black Business Association of Los Angeles	\$12
Crenshaw Cougars Youth Football Organization Inc	\$144
Crenshaw Senior High School	\$144
Entertainment Industry Foundation	\$50
Humboldt State University Advancement Foundation	\$525
Las Lomitas Education Foundation	\$3,000
Los Angeles Regional Food Bank	\$1,205
Los Angeles Team Mentoring Inc A Delaware Corporation	\$1,500
Marin Symphony Association	\$1,500
Painted Turtle Gang Camp Foundation	\$336
Redondo Beach Educational Foundation	\$360
Sierra Club Foundation	\$390
Special Olympics Northern California Inc	\$150
St Francis Center of Redwood City	\$2,000
St Monica Academy Inc	\$3,000
Stanford University Board of Trustees-Stanford University	\$2,000
UC Santa Barbara Foundation	\$525
United Way California Capital Region	\$300
United Way Inc	\$100
United Way of Fresno County	\$48
United Way of San Diego County	\$50
United Way of the Bay Area	\$1,442
University of California Berkeley Foundation	\$1,500
Young Mens Christian Association of Metropolitan Los Angeles	\$100
TOTAL	\$20,931

Attachment for Question #3

We currently make a good faith effort to do business with enterprises owned by minorities, women, persons with disabilities and small business enterprises (“minority suppliers”) where contracts are in line with company objectives. We request that large vendors who work with other companies provide a report of the business they do with minority suppliers.