

**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:

Siebert Brandford Shank & Co., L.L.C.
 Name of Financial Institution
523 West Sixth Street, Suite 703 Los Angeles CA 90014
 Street Address City State Zip Code
Lisa Smith, Managing Director/Head of West Region
 Contact Person Name and Title
213-587-7402 lsmith@sbsco.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.
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.

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.

Lisa Smith, Managing Director Lisa Smith 8/12/14
 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**

Attachment for Question #1 - Responsible Banking Investment Monitoring Program for Investment Banks

Name of Charitable Organization	Type		Amount (\$)
Community Engagement Foundation, Inc	Community Development	\$	5,000.00
United Negro College Fund	Education & Literacy	\$	2,000.00
Community Engagement Foundation	Community Development	\$	2,000.00
The MLK Community Health Foundation	Healthercare - General	\$	2,500.00