

**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, Suite 1000 Minneapolis MN 55402
Street Address City State Zip Code
Mimi Bekele, Principal
Contact Person Name and Title
612 303 8326 mimi.bekele@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.

Mimi Bekele, Principal MBekele 3/5/15
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**

2014 Piper Jaffray Donations

Organization Name	Amount	Location
Alzheimers Disease & Related Disorders Association	\$60.00	Los Angeles
Entertainment Industry Foundation	\$225.00	Los Angeles
IMAGINE LOS ANGELES INC	\$1,000.00	Los Angeles
Network for Teaching Entrepreneurship-Greater Los Angeles	\$50.00	Los Angeles
U.S. Catholic Conference - St. Michaels Catholic School	\$775.00	Los Angeles
TOTAL		\$2,110.00

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.