

**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:

RBC Capital Markets, LLC			
Name of Financial Institution			
1918 8th Ave. Suite 3600	Seattle	WA	98101
Street Address	City	State	Zip Code
Christine Pihl, Managing Director			
Contact Person Name and Title			
(206) 621-3221	christine.pihl@rbccm.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.

Christine Pihl, Managing Director		6/22/2015
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 (\$)
The UCLA Foundation	Education & Literacy	\$ 10,000.00
LA's BEST	Education & Literacy	\$ 5,000.00
Los Angeles Team Mentoring Inc.	Children & Youth Development	\$ 5,000.00
After-School All-Stars	Education & Literacy	\$ 2,000.00
Foundation for Prader Willi Research	Cancer/Aids/Other Diseases	\$ 500.00
University of Southern California	Education & Literacy	\$ 500.00
Connecting Cultures Mobile Museum	Arts & Culture	\$ 250.00
Camp Kesem National	Cancer/Aids/Other Diseases	\$ 100.00
Total		\$ 23,350.00

Contributions made from January 1, 2014 to December 31, 2014

RBC



RBC Bank

June 22, 2015

To Whom It May Concern:

Diversity for Growth and Innovation is a core value at RBC, and this commitment translates to our communities and our customers. RBC is committed to purchasing materials and goods and services from a diversified vendor base, while maintaining or improving the levels of quality, service and technology we require.

As Head of Procurement in the US, I have championed our **Supplier Diversity Program** across our US businesses. Our Supplier Diversity program aims to achieve a truly inclusive supply chain and to advance the achievement of equality in providing access to purchasing opportunities to all qualified suppliers.

Through the Supplier Diversity program at US RBC I have been able to:

- Establish targets for suppliers who support diversity as part of our Request for Proposal process (5% of suppliers must align to our definition);
- Execute supplier strategy and relationships with Chambers of Commerce across the US;
- Profile supplier diversity activities as part of RBC's Active Leaders program;
- Further rollout Supplier Diversity Program globally in 2014; and
- Participate in the Hispanic Chamber of Commerce in DC as a member of the Board of Directors for the Procurement Council.

In the US, we are proud to be a corporate member of the National Minority Supplier Development Council (NMSDC) and the National Gay and Lesbian Chamber of Commerce (NGLCC). Vendors are encouraged to contact the NMSDC, NGLCC and the Women Business Enterprise National Council (WBENC) for definitions and information on how to acquire and maintain supplier certification. Each of our US subsidiaries is a member of NMSDC.

On an annual basis we participate in events with the above organizations with the objective to network with and recruit minority firms who will meet our minimum requirements for vendor

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selection. We have also been able to participate in “meet and procure” events with different chambers of commerce with the same objective of doing more business with identified minority firms.

As a global organization, RBC believes that in order to succeed in the marketplace, we must attract, employ and fully integrate diversity in our workforce as well as our third party supplier relationships. In order for us to achieve this goal, we have the full support and commitment from our senior leaders, beginning from our CEO, to drive results with clear accountability, consistent activities, and local results. This enables us to build strong partnerships within our committee through sharing enterprise best practices and activities for the benefit of our workforce, communities and the marketplace.

RBC is a thought leader regarding supplier diversity globally. In fact, RBC was a founding member of the Canadian Aboriginal and Minority Supplier Council (CAMSC) which is the longest-running and most well-established of the six global affiliates of National Minority Supplier Development Council (NMSDC).

If you would like additional information to substantiate RBC’s and my commitment to Supplier Diversity, I can be reached at (919) 788-6173 or marco.perez@rbc.com

Kind regards,



Sherry Hartmann
On behalf of Marco Perez