

**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:**

Stifel, Nicolaus and Company, Incorporated			
Name of Financial Institution			
515 South Figueroa Street, Ste 1800	Los Angeles	CA	90071
Street Address		City	State Zip Code
Guillermo Garcia, Director			
Contact Person Name and Title			
415-364-5962	ggarcia@stifel.com		
Telephone No.	Email Address		

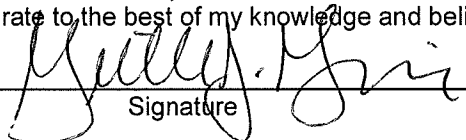
Please answer the following questions for the preceding calendar year.

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? 6
  - b. What was the total value of the awarded scholarships? \$12,000
  
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.

Guillermo Garcia, Director  
Print Name, Title

  
Signature

6/23/17  
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**

<b>Name of Charitable Organization</b>	<b>Type</b>	<b>Amount (\$)</b>
PUENTE Learning Center	Education & Literacy	\$ 2,500.00
Streets Are For Everyone (SAFE)	Community Development	\$ 1,500.00
CORO Southern California	Community Development	\$ 5,000.00
Inner City Struggle	Children & Youth Development	\$ 1,000.00
Los Angeles Mission	Homelessness	\$ 1,015.00
Latino Health Access	Community Development	\$ 2,500.00
Thomas and Dorothy Leavey Center for the Study of Los Angeles	Voter Rights	\$ 5,000.00
Los Angeles County Women's Leadership Conference	Women Empowerment	\$ 2,500.00
YMCA Stair Climb	Community Development	\$ 5,000.00
USC Price Executive Education Forum	Education & Literacy	\$ 10,000.00
AIDS Project Los Angeles	Cancer/Aids/Other Diseases	\$ 300.00
HOPE	Women Empowerment	\$ 3,500.00
Angel City Celebration	Community Development	\$ 2,500.00

**2016-17 Fabric of Society Scholarship Winners**

University Senior High School	3 Winners	\$ 6,000.00
Morningside High School	1 Winner	\$ 2,000.00
Fairfax Senior High School	1 Winner	\$ 2,000.00
Francisco Bravo High School	1 Winner	\$ 2,000.00