

**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:

Stifel, Nicolaus & Company, Incorporated			
Name of Financial Institution			
515 South Figueroa Street, Suite 1800	Los Angeles	CA	90071
Street Address	City	State	Zip Code
Raul Amezcua, Managing Director			
Contact Person Name and Title			
(213)443-5202	ramezcua@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? 7
 - b. What was the total value of the awarded scholarships? \$14,000

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.

Raul Amezcua, Managing Director		06/18/18
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 (\$)
PUENTE Learning Center	Education & Literacy	\$ 5,000.00
Streets Are For Everyone (SAFE)	Community Development	\$ 1,500.00
CORO Southern California	Community Development	\$ 15,000.00
Inner City Struggle	Children & Youth Development	\$ 1,000.00
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	\$ 5,000.00
YMCA Downtown LA Stair Climb	Community Development	\$ 5,000.00
USC Price Executive Education Forum	Education & Literacy	\$ 10,000.00
HOPE	Women Empowerment	\$ 3,500.00
Variety Boys & Girls Club	Community Development	\$ 5,000.00

2017-18 Fabric of Society Scholarship Winners

Fairfax Senior High School	1 Winners	\$ 2,000.00
University Senior High School	2 Winners	\$ 4,000.00
Nava College Prep Academy	1 Winner	\$ 2,000.00
Alliance Cindy and Bill Simon Technology Academy High	1 Winner	\$ 2,000.00
Francisco Bravo High School	2 Winners	\$ 4,000.00