

**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 & 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		

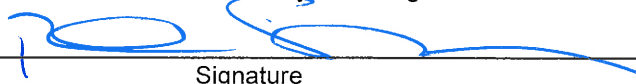
Please answer the following questions for the preceding calendar year.

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? 10
  - b. What was the total value of the awarded scholarships? \$20,000
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  
Print Name, Title

  
Signature

6/19/2019  
Date

**PLEASE SEND THE ORIGINAL SIGNED FORM TO THE ADDRESS BELOW AND EMAIL A COPY TO [CAO.DEBT@LACITY.ORG](mailto: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	5,000.00
CORO Southern California	Community Development	10,000.00
Inner City Struggle	Children & Youth Development	1,000.00
Thomas and Dorothy Leavey Center for the Study of Los Angeles - Loyola Marymou	Voter Rights	10,000.00
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	5,000.00
Variety Boys & Girls Club	Community Development	5,000.00
LASPA	Children & Youth Development	500.00
Cal State LA Pat Brown Institute of Public Affairs	Education & Literacy	5,000.00

**2018-19 Fabric of Society Scholarship Winners**

Nava College Prep Academy	4 Winners	\$ 8,000.00
Alliance Cindy and Bill Simon Technology Academy High	2 Winners	\$ 4,000.00
Francisco Bravo High School	3 Winners	\$ 6,000.00
Ramon C Cortines School of Visual and Performing Arts	1 Winner	\$ 2,000.00