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:**

Bank of the West

Name of Financial Institution

300 S. Grand Ave, 5th Floor

Los Angeles, CA 90017

Street Address

City State Zip Code

Christine Armani-Dawood, Director Public Finance

Contact Person Name and Title

213-972-0507 christine.armani-dawood@botw.com

Telephone No. Email Address

**SOCIAL RESPONSIBILITY**

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, labeled at Exhibit 1.

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, labeled as Exhibit 2
CONSUMER PROTECTION

1. Is the financial institution currently in compliance with all applicable consumer financial protection laws?

   Yes ☑ No ___

   If no, please briefly explain: ________________________________

                           ________________________________

2. Does the financial institution have policies to prevent the use of illegal predatory consumer adverse sales goals as the bases for evaluation, promotion, discipline or compensation of employees?

   Yes ☑ No ___

   If no, please briefly explain: ________________________________

                           ________________________________

3. Does the financial institution encourage and maintain whistleblower protection policies for its employees and/or customers to report suspected illegal practices, including predatory sales goals?

   Yes ☑ No ___

   If no, please briefly explain: ________________________________

                           ________________________________

4. In the last five years, has the financial institution been subject to any disciplinary actions such as fines, suspensions, or settlements, undertaken by the Securities and Exchange Commission, the Consumer Financial Protection Bureau, the Municipal Securities Regulation Board, the Financial Industry Regulatory Agency and/or any State regulatory agency?

   Yes ___ No ☑

5. If the answer to question no. 4 is yes, please provide in separate attachment labeled Exhibit 3, what the violation(s) are, the reason for the enforcement action, what government agencies are involved, the date of the enforcement action, what is the current status, and how were or will the issues be resolved?

Given its size and the scope of its business, the Bank is regularly called to respond to investigations of charges or claims of noncompliance with federal, state, local, city, or county labor/employment laws and/or regulations, and it regularly explores opportunity for reasonable and voluntary settlements with the complaining parties. While we are not able to predict whether the outcome of these matters will materially affect the Bank’s results of operations for a particular period, based upon consultation with counsel, management does not expect that the aggregate liability, if any, resulting from these proceedings would have a material effect on the Bank’s consolidated financial position, results of operations or liquidity. To the best of our knowledge, neither the Bank nor any of its employees have been involved in any other disciplinary action conducted by any local, state, or federal agency.
CERTIFICATION UNDER PENALTY OF 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.

Lily Ng  Managing Director

Print Name  Title  Signature  Date

6/24/21

(*) Signature must be that of the Head of Public Finance or equivalent corporate executive.

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

<table>
<thead>
<tr>
<th>Name of Charitable Organization</th>
<th>Type</th>
<th>Amount ($)</th>
</tr>
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<tbody>
<tr>
<td>Stuart M. Ketchum Downtown YMCA</td>
<td>Education</td>
<td>$165,000.00</td>
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<tr>
<td>Stuart M. Ketchum Downtown YMCA</td>
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<td></td>
</tr>
<tr>
<td>Whitaker Peace &amp; Development Initiative</td>
<td></td>
<td></td>
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<tr>
<td>Library Foundation of Los Angeles</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A Place Called Home</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EmpowHer Institute, Inc</td>
<td></td>
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</tr>
<tr>
<td>Neighborhood Housing Services of Los Angeles County</td>
<td>Financial Capability</td>
<td>$40,000.00</td>
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<tr>
<td>Junior Achievement of Southern California</td>
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<td></td>
</tr>
<tr>
<td>Homeboy Industries</td>
<td>Job Growth (small business, job training)</td>
<td>$100,000.00</td>
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<tr>
<td>Mayor's Fund</td>
<td></td>
<td></td>
</tr>
<tr>
<td>JVS SoCal</td>
<td></td>
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<tr>
<td>Los Angeles Brotherhood Crusade-Black United Fund, Inc.</td>
<td></td>
<td></td>
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<tr>
<td>California Community Economic Development Association (CCEDA)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local Initiatives Support Corporation</td>
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<td></td>
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