

**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:**

Mischler Financial Group, Inc.

**Name of Financial Institution**

1111 Bayside Drive, Suite 100

Corona del Mar

CA

92625

**Street Address****City****State****Zip Code**

Doyle L. Holmes, President

**Contact Person Name and Title**

(949) 720-0640

dholmes@mischlerfinancial.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 X

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 X

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 X 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

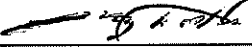
5. If the answer to question no. 4 is yes, please provide in separate attachment labeled Exhibit 3, what the violation(s) are, the reason for the enforcement action, what government agencies are involved, the date of the enforcement action, what is the current status, and how were or will the issues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

\_\_\_\_\_

\_\_\_\_\_

**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.

Doyle L. Holmes	President		April 21, 2021
Print Name	Title	Signature	Date

(\*) 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](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**





## **Mischler Financial Group Inc. Diversity Vision**

### **Mischler Financial Group, Inc. Diversity, Equity and Inclusion Policy**

*(Updated January 1 2020)*

#### **Our Vision**

Mischler Financial Group, Inc. (“MFG”) recognizes its talented and diverse workforce as a key competitive advantage. Our business success is a reflection of the quality and skill of our people. MFG is committed to seeking out and retaining the finest human talent to ensure top business growth and performance.

Diversity management benefits individuals, teams, our company as a whole, and our customers. We recognize that each employee brings their own unique capabilities, experiences and characteristics to their work. We value such diversity at all levels of the company in all that we do.

MFG is diverse along many dimensions. Our diversity encompasses differences in ethnicity, gender, language, age, sexual orientation, religion, socio-economic status, physical and mental ability, thinking styles, experience, and education. We believe that the wide array of perspectives that results from such diversity promote innovation and business success. Managing diversity makes us more creative, flexible, productive and competitive.

#### **Recruitment**

As a national broker-dealer, MFG recruits people from all around the country. We believe that our having employees from many different cultural, linguistic and national backgrounds provides us with valuable knowledge for understanding complex markets. We have established procedures to identify talented individuals from under-represented backgrounds for recruitment and we will prioritize the hiring of service-disabled veterans whose skillsets and capabilities meet and/or exceed the qualifications required for specific roles. We contribute to philanthropic organizations that support advanced education, career training, mentorship and hiring of under-represented talent from among the military veteran and Service-Disabled Veteran (SDV) communities as well as from under-served urban communities.

#### **Career development and promotion**

MFG rewards excellence and all employees are promoted on the basis of their performance. All managers are trained in managing diversity to ensure that employees are treated fairly and evaluated objectively.

#### **Diversity bodies**

Our commitment to diversity is led by our Board of Directors and designated diversity committee, which is responsible for ensuring that our diversity policy is articulated and enforced in the day to day operation of our organization and in the course of implementing the strategic direction of the company.

# Mischler Financial Group, Inc. Diversity, Equity and Inclusion Policy

January 1, 2020

Mischler Financial Group, Inc. is committed to fostering, cultivating, and preserving a culture of diversity, equity and inclusion. We value our employees for their unique talents and abilities. We embrace and encourage our employee's differences in backgrounds, experiences, race, color, religious creed, sex, national origin, ancestry, citizenship status, family or marital status, physical, mental and/or intellectual abilities, age, military or veteran status, registered domestic partner or civil union status, gender and gender identity, sexual orientation, political affiliation, and socio economic status. All employees are valued for their individual differences and the unique contributions that help us achieve our business goals.

Through our diversity, equity, and inclusion policy, Mischler Financial Group, Inc. seeks to create a positive work environment where all employees can reach their full potential and maximize their contributions. We are committed to our employees' dignity and well-being and make every effort to provide all employees with a safe and professional work environment.

Mischler Financial Group, Inc. strives to treat its employees fairly, with respect, and to maintain a workplace that is free from discrimination, harassment, and other offensive or unprofessional behavior, as stated in the company's anti-harassment policy. Employees are always expected to treat others with dignity and respect while in the workplace, at company-sponsored events, at all work-related functions, and any public settings where the employee's association with the Mischler Financial Group, Inc. is known, such as social media platforms.

To ensure a respectful and dignified workplace, and to foster diversity, equity, and inclusion, Mischler Financial Group, Inc. supports the following practices:

***Diversity, Equity, and Inclusion Training:*** Employees will be required to attend annual training to promote a greater understanding and enhance employee knowledge in Mischler Financial Group, Inc.'s diversity, equity and inclusion initiatives. We have a whole section in our online training portal dedicated to Diversity, Equity and Inclusion. All employees have access to all of the online training resources and also the online books (24/7). We have a [Diversity, Equity & Inclusion Targeted Curriculum](#), a learning portal that combines all employee and leader resources in one single location. Subjects include:

- **Overcoming Your Own Unconscious Bias**
- **Your Role in Workplace Diversity**
- **Leveraging Diversity**
- **Global Diversity**
- **Leading Diversity**
- **Diversity - It's Value in the Workplace**
- **Diversity - Overcoming Barriers**
- **unconscious Inclusion**
- **The Diversity Training Handbook**
- **Dealing with Unconscious Bias**

***Teamwork:*** Mischler Financial Group, Inc. encourages employee participation, respectful communication, and collaboration between all employees that permits the representation of all employee perspectives. We also support open communication and freedom of expression in a respectful manner to allow employees to feel safe to voice their concerns and opinions.

***Race, Gender and Age:*** Mischler Financial Group, Inc. acknowledges that employees have different backgrounds and experiences, and that each one brings a unique perspective to any interaction within our company. Therefore, the company empowers all employees to not just listen, but to embrace diverse viewpoints that we can all learn from. Employees will be provided with growth and advancement opportunities based on their contributions and performance, rather than any other factor. We will ensure all areas of employment are objective and will take steps to reduce unconscious bias to ensure equal treatment of all employees.

***Religious Diversity:*** Mischler Financial Group, Inc. acknowledges that employees have different religious practices and beliefs. Tolerance and acceptance of religious views is vital and beneficial to a diverse workforce.

***National Origin:*** Mischler Financial Group, Inc. appreciates and values the diversity of its workforce and understands that English may not be a native language for all employees. The company will encourage employees to communicate in the language they feel most comfortable with and, if necessary, will provide translation services so that everyone can understand what is being said and feels included.

***Work/Life Balance:*** Mischler Financial Group, Inc. supports flexible work practices and policies that support employees and their changing needs (e.g., family responsibilities). Mischler Financial Group, Inc. recognizes that providing flexible work practices allows employees to use working arrangements that meet their need to balance their work and family lives.

***Accessibility:*** Mischler Financial Group, Inc. seeks to ensure that employees of all abilities are able to access the information and resources they need to perform their jobs. We will provide a reasonable accommodation for any employee's disability so that the employee can perform the essential duties of the job in question.

***Names and Pronouns:*** An employee has the right to be addressed by the name and pronoun of the employee's choice. No documentation is required, except for payroll and insurance records that must match the employee's legal name. An employee's coworkers are expected to be respectful of the employee's choice and to use name and pronouns requested by the employee. Intentional use of the employee's former name and/or pronoun is a violation of this policy and may constitute unlawful harassment. Employees who are unsure of what pronoun a coworker prefers, should politely ask that coworker how they would like to be addressed.

***E-mail Signature:*** The company values self-expression and self-identification. You may voluntarily include your gender pronouns (i.e., she/her/hers or they/them/their) in e-mail signatures and other bios. Including gender pronouns in e-mail signatures is not required. The pronoun an employee indicates is not necessarily indicative of their gender identity.

***Restrooms/Locker Rooms:*** Employees shall have access to the restroom and/or locker room that corresponds to their gender identity. For example, a person who identifies as a man should use the men's restroom, and a person who identifies as a woman should use the women's restroom. If there is a desire for increased privacy, the company will work with the employee for alternative options.

***Recruitment and Hiring:*** Mischler Financial Group, Inc. takes proactive steps to promote a diverse pool of candidates including women, minorities and veterans. All posts and advertisements for employment

opportunities will be focused on military veterans, service-disabled veterans, and members of minority classes, including women, African-Americans, Hispanic Americans, Asian Americans and LGBT community members. If we have difficulty locating a qualified veteran, minority or women for a particular role, we may elect to use a minority owned staffing firm that targets veterans, minorities and women.

***Annual Survey:*** Our Annual D&I Survey to all employees is web based and 100% anonymous. We ask a series of questions to help us evaluate how effective our D&I program is on an ongoing basis. The feedback from employees also helps us determine improvements to the program.

This Diversity, Equity, and Inclusion policy applies in all aspects of employment. Every effort is made to ensure that our policies regarding hiring, compensation, promotion, and transfer are based solely on job requirements, job performance, and job-related criteria. In addition, we strive to administer our employment policies and practices, including those relating to compensation, benefits, transfer, retention, termination, training, career development opportunities, as well as social and recreational programs, in compliance with applicable federal, state, and local fair employment laws.

*Approved by the Board of Directors January 1, 2020*

A handwritten signature in black ink, appearing to read 'D. Chamberlain', with a stylized, flowing script.

*Dean Chamberlain, Chairman & Chief Executive Officer*