

**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:

Alamo Capital

Name of Financial Institution			
201 N. Civic Dr	Walnut Creek	CA	94596
Street Address	City	State	Zip Code
Nancy Mullally, CEO			
Contact Person Name and Title			
(925) 519-9584		nmullally@alamocapital.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?

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.

Nancy Mullally	CEO		6/23/22
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.

**Office of the City Administrative Officer
200 North Main St. Room 1500
Los Angeles, CA 90012
Attention: Debt Management Group**

Exhibit 2

As a WBE and SBE, we strive to associate with and conduct business with other like entities. Our CEO/CFO Nancy Mullally also volunteers as an inspector for other businesses applying for WBE status, therefore she has direct and purposeful interactions with other like entities. In addition, our President, William Mullally, has also been designated as a Disabled Veteran, in recognition of his serving in the Army and spending time in Korea prior to serving in the Vietnam War.

At our corporate office in Walnut Creek, our main office supplies vendor is Blaisdell's (formerly known as Give Something Back), the largest woman-owned business products supplier in Northern California. They are a certified WBE and are certified by the WOSB, a Member of the CA Green Business Network & a BBB Accredited Business. Their team gives back to the community by donating their time to volunteer for activities, supporting collection drives, and financially contributing to a wide variety of local nonprofits.