

**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:**

Siebert Williams Shank & Co., LLC

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Name of Financial Institution

660 Figueroa Street, Suite 1720

Los Angeles

CA

90017

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Street Address

City

State

Zip Code

Grace Yuen, Managing Director

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Contact Person Name and Title

(213) 587-7406

gyuen@siebertwilliams.com

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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.

Gary Hall	President of Infrastructure and Public Finance		6/21/2023
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**



**Policy Regarding Utilization of MWDBE Subcontractors**

As Wall Street’s preeminent Black, Hispanic and Woman owned firm, Siebert Williams Shank & Co., LLC (SWS) believes in the concept and practice of being a good corporate citizen. We are fully committed to the concept and practice of diversity in all facets of our business opportunities: recruiting, hiring and employment; vendor relationships; charitable and community work.

Integrity is a critical foundation of a successful and sustainable business. SWS members have worked diligently throughout the history of our company to foster trusting relationships between SWS and its customers, business partners and vendors. Siebert Williams Shank strives to adhere to the highest ethical standards as it pertains to all aspects of its operation. SWS does not discriminate against minority and women owned businesses in its own procurement of goods, supplies and services. In such instances, minority groups and agencies, e.g. government, educational, civic and/or community study groups, are consulted for the purpose of identifying potentially qualified minority professional applicants.

The Firm actively participates in its headquarters’ (New York) annual state MWBE conference in order to develop opportunities and relationships to promote maximum MWBE participation. We place specific focus on collaborating with, advocating for, and engaging minority- and women-owned law firms as underwriters’ counsel, bond counsel, and/or special or co-counsel on financial transactions in which we are involved as senior manager or underwriter. In addition, we make every effort to utilize Historically Underutilized Businesses for any available work associated with all financings it accepts.

SWS uses various certified firm directories to search for certified MWDBEs capable of performing the services required by the Firm. To demonstrate SWS’s commitment to include certified MWDBEs in its business process, the Firm has worked or currently works with:

Miracle Technologies Inc.	Charity & Associates, P.C.
Alpha Travel	Ahman Zaffarese LLC
The Switzer Group	D. Seaton and Associates, P.A.
West and Associates	Pearlman & Miranda, LLC
Cantu Harden	Hardwick Law Firm, LLC
Virtus, LLP	Golden Holley James LLP
Sealey Law Firm	Law Offices of Joseph C. Reid P.A.
Amira Jackmon, Esq.	Bryant Rabbino LLP
McGaugh Law Group	