

# Prohibited Contributors (Underwriters)

This form must be completed in its entirety and submitted with your bid or proposal to the City department that is awarding the contract. Failure to submit a completed form may affect your bid or proposal. If you have questions about this form, please contact the Ethics Commission at (213) 978-1960.

☐ **Original Filing** ☐ **Amendment:** Date of Signed Original \_\_\_\_\_ Date of Last Amendment \_\_\_\_\_

Reference Number (Bid, Contract, or RAMP): \_\_\_\_\_ Date Bid Submitted: \_\_\_\_\_

Contract Description (Title of the RFP or City contract solicitation and description of the services to be provided):  
\_\_\_\_\_

Awarding Authority (Department awarding the contract): \_\_\_\_\_

Underwriting Firm Name: \_\_\_\_\_

Underwriting Firm Address: \_\_\_\_\_

Email Address: \_\_\_\_\_ Phone Number: \_\_\_\_\_

## Schedule Summary

Please complete all three of the following:

- |   |                          |                          |
|---|--------------------------|--------------------------|
| <b>1. SCHEDULE A – Underwriting Firm's Principals</b> <i>(check one)</i>  | <b>Yes</b>               | <b>No</b>                |
| The underwriting firm has one or more <b>PRINCIPALS</b> , as defined in Charter § 609(e)(3).<br>At least one principal is required for entities. <i>(If you check "Yes", Schedule A is required.)</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>2. SCHEDULE B – Subcontractors and Their Principals</b> <i>(check one)</i>   | <b>Yes</b>               | <b>No</b>                |
| The underwriting firm has one or more <b>SUBCONTRACTORS</b> on this bid or proposal with<br>subcontracts worth \$100,000 or more. <i>(If you check "Yes", Schedule B is required.)</i>                | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>3. TOTAL NUMBER OF PAGES SUBMITTED</b> (including this cover page): _____  |                          |                          |

## Certification

I certify that, within the past 12 months, neither the underwriting firm nor its principals made one or more gifts totaling \$50 or more, or one or more political contributions totaling \$100 or more, to an elected City official, a member of the board of the department whose bonds are the subject of the sale, or a City official having the authority to make or participate in making decisions concerning the sale of the bonds.

I certify the following under penalty of perjury under the laws of the City of Los Angeles and the state of California: A) I understand, will comply with, and have notified my principals and subcontractors of the requirements and restrictions in Los Angeles City Charter § 609(e) and any related ordinances; B) I understand that I must amend this form within ten business days if any information changes; C) I am the underwriting firm named above or I am authorized to represent the underwriting firm named above, and my name appears below; and D) The information provided in this form is true and complete to the best of my knowledge and belief.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

## Schedule A - Underwriting Firm's Principals

Please identify the names and titles of all of the underwriting firm's principals (attach additional sheets if necessary). Principals include an underwriting firm's parent, subsidiary, or other related business entity; a political action committee controlled or primarily financed by the firm or by a business entity related to the firm as a parent, subsidiary, or other related business entity; the president, chairperson of the board, chief executive officer, or chief operating officer of the firm; a vice president, assistant vice president, or managing director employed in the public finance unit of the firm; an individual who communicates with one or more City officers or employees for the purpose of influencing the City's selection of an underwriter for a particular bond issue; and a person who holds an ownership interest of at least 20 percent in the firm.

Name: \_\_\_\_\_ Title: \_\_\_\_\_  
Address: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_  
Address: \_\_\_\_\_

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Name: \_\_\_\_\_ Title: \_\_\_\_\_  
Address: \_\_\_\_\_

☐ Check this box if additional Schedule A pages are attached.

## Schedule B - Subcontractors and Their Principals

Please identify all subcontractors whose subcontracts are worth \$100,000 or more. Separate Schedule B pages are required for each subcontractor who meets the threshold.

Subcontractor's Name

Subcontractor's Address

Please check one of the following options:

**This subcontractor has one or more principals.** ☐ Yes\* ☐ No

\* Each principal's name and title must be identified below. Attach additional sheets if necessary. Principals include the firm or individual; the subcontractor's board chair, president, chief executive officer, chief operating officer, and individuals who serve in the function equivalent of one or more of those positions. Principals also include individuals who hold an ownership interest in the subcontractor of at least 20 percent and an individual who communicates with one or more City officers or employees for the purpose of influencing the City's selection of an underwriting firm for a particular bond issue.

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

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Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Address: \_\_\_\_\_

☐ Check this box if additional Schedule B pages are attached.