



Ethics Commission  
200 N Spring Street  
City Hall — 24th Floor  
Los Angeles, CA 90012  
(213) 978-1960  
ethics.lacity.org

# Prohibited Contributors (Underwriters) Form 56

*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.*

☐ Original filing ☐ Amended filing (original signed on \_\_\_\_\_; last amendment signed on \_\_\_\_\_)

**Reference Number** (bid or contract number, if applicable):

**Date Bid Submitted:**

**Description of Contract** (title of RFP and services to be provided):

**City Department Awarding the Contract:**

## UNDERWRITING FIRM INFORMATION

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

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

Email: \_\_\_\_\_ Phone: \_\_\_\_\_

## SCHEDULE SUMMARY

*Please complete all three of the following:*

### 1. SCHEDULE A — Underwriter's Principals (check one)

- ☐ The underwriting firm is the individual listed above and has no other principals (Schedule A is not required).
- ☐ The underwriting firm is the individual listed above or an entity and has other principals, who are listed on the attached Schedule A pages.

### 2. SCHEDULE B — Subcontractors and Their Principals (check one)

- ☐ The underwriting firm has no subcontractors on this bid or proposal whose subcontracts are worth \$100,000 or more (Schedule B is not required).
- ☐ The underwriting firm has one or more subcontractors on this bid or proposal with subcontracts worth \$100,000 or more, and those subcontractors and their principals are listed on the attached Schedule B pages.

3. TOTAL NUMBER OF PAGES SUBMITTED (including this cover page): \_\_\_\_\_

## UNDERWRITING FIRM'S CERTIFICATION

*I certify that, within the past 12 months, neither the underwriting firm nor its principals have 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 that I understand, will comply with, and have notified my principals and subcontractors of the requirements and restrictions in Los Angeles City Charter section 609(e) and any related ordinances. I certify under penalty of perjury under the laws of the City of Los Angeles and the state of California that the information provided on this form and the attached pages is true and complete to the best of my knowledge and belief.*

Date: \_\_\_\_\_ Signature: \_\_\_\_\_

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

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



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### 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; any 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.*

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

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

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

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

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

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

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

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

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### 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 that threshold.*

Subcontractor: \_\_\_\_\_

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

*Check one of the following:*

- ☐ The subcontractor listed above is an individual and has no other principals.
- ☐ The subcontractor listed above is an individual or an entity and has principals, and their names and titles are 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 functional 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.

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

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

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

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

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

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

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

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