

**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:

J.P. Morgan Securities LLC			
Name of Financial Institution			
560 Mission Street, Floor 3	San Francisco	CA	94109
Street Address	City	State	Zip Code
Will Frymann, Vice President			
Contact Person Name and Title			
415-315-3901	will.frymann@jpmorgan.com		
Telephone No.	Email Address		

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.

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.

CERTIFICATION UNDER PENALTY OR 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.

Will Frymann, Vice President		6/23/2016
Print Name, Title	Signature	Date

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**

* Information with respect to scholarships, if any, is unavailable at the aggregate level for the firm.

Attachment for Question #1 - Responsible Banking Investment Monitoring Program for Investment Banks

Name of Charitable Organization	Type	Amount (\$)
A Community Of Friends	Housing	\$ 55,000.00
A Woman's Nation	Women Empowerment	\$ 250,000.00
Affordable Living For The Aging	Housing	\$ 50,000.00
African American Unity Center Inc	Arts & Culture	\$ 25,000.00
America Scores	Education & Literacy	\$ 15,000.00
American Film Institute Inc	Arts & Culture	\$ 30,000.00
Armand Hammer Museum Of Art And Cultural Center	Arts & Culture	\$ 35,000.00
Asian Americans Advancing Justice Los Angeles	Legal Services/Justice	\$ 5,000.00
Asian Pacific Islander Small Business Program Incorporated	Economic Development	\$ 5,500.00
Asians And Pacific Islanders With Disabilities Of California	Minority Empowerment	\$ 10,000.00
Autry National Center Of The American West	Arts & Culture	\$ 25,000.00
Avon Products Foundation Inc - Avon Walk For Breast Cancer L.A.	Cancer/Aids/Other Diseases	\$ 550.00
Boys And Girls Club Of Venice Inc	Children & Youth Development	\$ 5,000.00
California Community Economic Development Association	Economic Development	\$ 25,000.00
California Council On Economic Education	Education & Literacy	\$ 50,000.00
California State University - Northridge Foundation	Education & Literacy	\$ 910.00
Center Theatre Group Of Los Angeles	Employment	\$ 150,000.00
Cesar Chavez Foundation	Other	\$ 7,000.00
Children's Hospital Of Los Angeles	Healthcare - General	\$ 1,225.00
Christopher Street West Association Inc	Arts & Culture	\$ 6,700.00
Coach Art	Arts & Culture	\$ 15,000.00
Coalition For Responsible Community Development	Community Development	\$ 100,000.00
Community Coalition For Substance Abuse Prevention & Treatment	Healthcare - General	\$ 2,500.00
Concern Citizens Community Involvement New Focus Children Cen	Children & Youth Development	\$ 2,500.00
East LA Community Corporation	Economic Development	\$ 182,000.00
Economic Development Corporation Of Los Angeles	Economic Development	\$ 300,000.00
Enterprise Community Partners Inc	Community Development	\$ 125,000.00
Families In Schools	Education & Literacy	\$ 10,000.00
Friends Of Overland School	Education & Literacy	\$ 950.00
Friends Of Walgrove Elementary School	Education & Literacy	\$ 1,000.00
G And R Loeb Foundation Inc	Other	\$ 15,000.00
Gary Sinise Foundation	Other	\$ 25,060.00
Genesis LA Economic Growth Corporation	Economic Development	\$ 75,000.00
Goodwill Industries Of Southern California	Employment	\$ 90,000.00
Harvard-Westlake School	Education & Literacy	\$ 625.00
Hollywood Community Housing Corporation	Housing	\$ 50,000.00
Inner-City Arts	Arts & Culture	\$ 10,000.00
Insurance Industry Charitable Foundation Inc	Other	\$ 12,500.00
International Medical Corps	Disaster Relief	\$ 10,000.00
Jewish Federation Council Of Greater Los Angeles	Faith-Based	\$ 5,000.00
Jewish Vocational Service Los Angeles	Employment	\$ 50,000.00
KIPP LA Schools	Education & Literacy	\$ 15,000.00
Korean Churches For Community Development	Community Development	\$ 3,000.00
Koreatown Youth And Community Center Inc	Economic Development	\$ 50,000.00
LA Family Housing	Housing	\$ 50,000.00

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Name of Charitable Organization	Type	Amount (\$)
LABC Institute	Employment	\$ 150,000.00
LA's Best	Children & Youth Development	\$ 10,000.00
LA's Promise	Education & Literacy	\$ 5,000.00
Latino Business Chamber Of Greater Los Angeles Foundation Inc	Economic Development	\$ 10,000.00
Latino Theater Company	Arts & Culture	\$ 5,000.00
LIFT Inc	Economic Development	\$ 75,000.00
Local Initiatives Support Corporation	Economic Development	\$ 102,500.00
Los Angeles Alliance For A New Economy	Employment	\$ 500,000.00
Los Angeles Area Chamber Of Commerce Foundation	Economic Development	\$ 200,000.00
Los Angeles Brotherhood Crusade - Black United Fund Inc	Employment	\$ 125,000.00
Los Angeles Conservancy	Other	\$ 20,000.00
Los Angeles Conservation Corps	Employment	\$ 10,000.00
Los Angeles County Museum Of Natural History Foundation	Employment	\$ 180,000.00
Los Angeles Fund For Public Education	Education & Literacy	\$ 5,000.00
Los Angeles LGBT Center	Other	\$ 6,600.00
Los Angeles Philharmonic Association	Employment	\$ 158,640.00
Los Angeles Sports & Entertainment Commission	Other	\$ 5,000.00
Los Angeles Urban League	Employment	\$ 100,000.00
LTSC Community Development Corporation	Housing	\$ 90,000.00
Make-A-Wish Foundation Of Greater Los Angeles	Other	\$ 5,000.00
Movember Foundation	Cancer/Aids/Other Diseases	\$ 1,575.00
National Assn Of Latino Elected Officials Naleo Education Fund	Minority Empowerment	\$ 110,000.00
Neighborhood Housing Services Of Los Angeles County	Economic Development	\$ 100,000.00
New Economics For Women	Economic Development	\$ 102,000.00
Nisei Week Foundation Inc	Other	\$ 1,000.00
No Limits Theater Group Inc	Arts & Culture	\$ 10,750.00
NYA Investors In Education	Education & Literacy	\$ 5,000.00
Operation Hope Inc	Economic Development	\$ 200,000.00
Optimist Youth Homes & Family Services	Children & Youth Development	\$ 1,000.00
Pabloe Foundation Inc	Cancer/Aids/Other Diseases	\$ 1,000.00
Pacific Asian Consortium In Employment	Employment	\$ 50,000.00
Pacific Coast Regional Urban Small Business Development Corporation	Economic Development	\$ 75,000.00
Performing Arts Center Of Los Angeles County	Employment	\$ 150,000.00
Salvadoran American Leadership And Educational Fund	Minority Empowerment	\$ 5,000.00
San Fernando Valley	Other	\$ 1,000.00
Shalom Center For Tree Of Life Therapy Research Education & Empowerment	Other	\$ 6,500.00
Social Impact Fund	Economic Development	\$ 25,000.00
Southern California Association Of Non-Profit Housing Inc	Housing	\$ 29,000.00
Southern California Grantmakers	Other	\$ 22,400.00
Step Up Womens Network	Women Empowerment	\$ 5,000.00
Stitches Technology Sewn Products Training Centers Inc	Employment	\$ 50,000.00
Streetlights Production Assistant Program Inc	Employment	\$ 50,000.00
Strong Food L.A. Kitchen	Economic Development	\$ 200,000.00
TELACU Education Foundation	Education & Literacy	\$ 60,000.00
The Buckley School	Education & Literacy	\$ 750.00

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Name of Charitable Organization	Type	Amount (\$)
The Giving Back Fund	Arts & Culture	\$ 2,500.00
The Los Angeles City College Foundation	Employment	\$ 250,000.00
The Museum Of Contemporary Art, Los Angeles	Arts & Culture	\$ 15,000.00
The UCLA Foundation	Economic Development	\$ 10,000.00
Trevor Project Inc	Other	\$ 500.00
UCLA Business Of Science Center	Education & Literacy	\$ 17,500.00
UCLA Foundation (On Behalf Of Fowler Museum At UCLA)	Arts & Culture	\$ 10,000.00
United Services Organizations Inc	Veterans & Military Families	\$ 2,500.00
United States Veterans Initiative	Veterans & Military Families	\$ 5,000.00
United Way Inc	Employment	\$ 260,552.00
University Of Southern California	Other	\$ 30,800.00
University Of Southern California	Housing	\$ 10,000.00
University Of Southern California - Kusc	Arts & Culture	\$ 2,500.00
Valley Economic Development Center, Inc.	Economic Development	\$ 3,000,000.00
Weingart Center Association	Homelessness	\$ 6,000.00
West Angeles Community Development Corporation	Community Development	\$ 180,500.00
Women In Non Traditional Employment Roles	Employment	\$ 50,000.00
Young Women's Christian Association Of Greater Los Angeles California	Employment	\$ 100,100.00
Youth Policy Institute Inc	Economic Development	\$ 50,000.00
TOTAL (109 organizations)		\$ 8,976,287.00

Global Supplier Diversity Program

“Having a diverse supplier network makes us a stronger company, one that can better serve our diverse clients and communities. Our commitment to expanding that network is long-term, and our Global Supplier Diversity Program works towards that goal every day.”

Jamie Dimon

Chief Executive Officer, JPMorgan Chase & Co.

“Our Global Supplier Diversity program is an important part of JPMorgan Chase’s engagement with our clients and communities. Having a diverse supplier network makes us more competitive and able to fulfill our stakeholders’ needs. The firm is committed to expanding diversity within sourcing overall. We look forward to a healthy exchange of ideas, products and services in the years to come.”

Ken Litton

Chief Procurement Officer, JPMorgan Chase & Co.

Supplier Diversity Program Mission

Through JPMorgan Chase’s supplier diversity initiatives, the firm is committed to promoting diverse suppliers’ economic growth and development. Senior management’s commitment, policies, procedures, strategies, and results demonstrate that supplier diversity is part of our corporate fabric. We are proactive in our outreach to diverse businesses, connecting them with internal and external decision-makers. Our efforts help to build a strong and vibrant diverse supplier pipeline that creates mutually beneficial business relationships and increases shareholder value.

JPMorgan Chase’s commitment to engaging diverse suppliers is evident in many aspects of our supply chain. From designing, constructing, furnishing, staffing, and maintaining our banking branches and offices, to manufacturing credit cards, operating call centers, marketing our products and services, collecting on outstanding debt, and advocating for the firm in legal matters, diverse suppliers drive significant value and make noteworthy contributions to our continued success. With emphasis on LOB and category spend, JPMorgan Chase ensures the continual growth and expansion of our supplier diversity efforts in all aspects of commerce.

Supplier Diversity Achievements

- Over the past ten years, JPMC has spent over \$11.7 billion dollars with diverse suppliers
- JPMorgan Chase spent in the US in 2015:
 - \$673 million dollars with Minority Owned businesses
 - \$435 million dollars with Women-Owned businesses
 - \$44 million dollars with LGBT-Owned Businesses
 - \$106 million dollars with Veteran and Disable Veteran-Owned businesses
- **The National Business Inclusion Consortium (NBIC)** selected JPMorgan Chase as “2016 Best-of-the-Best” – Corporation of the Year (bested top 30 corporations nominated)
 - 1st ever winner. All diverse segments joined together and voted unanimously for JPMorgan Chase
- **The National Veteran-Owned Business Association (NaVOBA)** selected JPMorgan Chase as one of the 2015 Military Friendly Supplier Diversity Programs
- **Black Enterprise magazine** named the bank to its Top 35 Companies for 2015 Supplier Diversity list. It singled out the firm, saying it “demonstrated best practices through [its] diverse representation within [its] supply chain”
- **Minority Business News magazine (MBN USA)** recognized JPMorgan Chase among the 2015 Corporate 101: America’s Most Admired Corporations for Supplier Diversity
- **USBN Magazine** named JPMorgan Chase one of their 2015 “Top Companies for Supplier Diversity”
- JPMorgan Chase celebrated the 20th anniversary of the Supplier Diversity program in 2014
- **The National Veteran-Owned Business Association (NaVOBA) and Vetpreneur** magazine named JPMorgan Chase among the top 10 corporations for using veteran-owned businesses for the 2nd year in a row (announced in April 2014 issue of the magazine)

Global Supplier Diversity Program

Supplier Diversity Certification Requirements

- JPMorgan Chase defines “Diverse Suppliers” as minority and women-owned business enterprises (“MWBE”), Disabled Business Enterprises (“DBE”), Lesbian/Gay/Bi-sexual/Transgender Enterprises (“LGBT”) and Veteran Business Enterprises (“VBE”) which are certified by a JPMorgan Chase designated third-party as having met the definition of being at least 51% owned, controlled AND operated by one or more members of a diverse group.
- Diverse suppliers interested in doing business, or currently doing business with JPMorgan Chase must register via the *JPMorgan Chase Supplier Registration Portal*.
- Visit www.jpmorganchase.com/supplierdiversity for additional information.

Supplier Diversity and the Strategic Sourcing Process

Supplier Diversity processes are integrated into the strategic sourcing process. We partner with sourcing managers and lines of business to be involved in each step of sourcing engagements, including:

- Gaining an assessment of upcoming RFPs
- Identifying screening criteria to pre-qualify diverse suppliers
- Narrowing the long list of suppliers to those offering the most potential
- Assisting in the RFP scoring process
- Assisting supplier management in overseeing suppliers

We utilize our own Supplier Registration Portal as well as other external databases to find qualified diverse businesses that can meet the needs of our internal clients.

Management Tracking & Reporting Systems

JPMorgan Chase’s robust management, tracking and reporting systems support our supplier diversity initiatives and give us a competitive advantage. First, our *eRFX system* has embedded supplier diversity rules that allow us to view upcoming procurement needs. They require the sourcing professional to identify a supplier diversity professional for the project and state whether one is being invited to compete in the eRFP. If they are not invited to compete, the reason must be identified. The supplier diversity professional works with the sourcing professional to identify qualified diverse suppliers to compete for the business and tracks whether diverse supplier(s) ultimately succeed or fail in completing the process. Our supplier diversity team deploys the eRFX system as a ‘pre-qualification’ tool. As we search for best-in-class diverse suppliers to compete in RFPs, we cast a wide net using a variety of resources to compliment our Supplier Registration Portal database (see ‘External Organizations’ below). We further narrow the field of RFP contenders through a customized Supplier Diversity RFPI (Request for Preliminary Information) process, which screens according to the specific technical and business requirements for each RFP.

JPMorgan Chase has the ability to track spend by classification: MBE (Minority Owned Business Enterprises); WBE (Women Owned Business Enterprises); VBE (Veteran Owned Business Enterprises); DVBE (Disabled Veteran Owned Business Enterprises); SDVBE (Service Disabled Veteran Owned Business Enterprises); LGBTE (Lesbian Gay Bisexual Transgender Owned Business Enterprises); DOBE (Disabled Owned Business Enterprises) and SBE (Small Business Enterprise). Internally, we report monthly spend with diverse and minority owned businesses. We provide external indirect reports on a quarterly basis.

External Organizations

We partner with several organizations and their regional (or local) affiliates for support to execute on our supplier diversity objectives, including baseline certification standards. The following are examples of our largest community partner relationships:

- National Minority Supplier Development Council (NMSDC)

Global Supplier Diversity Program

- Women's Business Enterprise National Council (WBENC)
- National Gay and Lesbian Chamber of Commerce (NGLCC)
- National Veteran-Owned Business Association (NaVOBA)
- Veteran and Military Business Owners Association (VAMBOA)
- National Veteran Business Development Council (NVBDC)
- U.S. Business Leadership Network (USBLN)
- U.S. Hispanic Chamber of Commerce (USHCC)
- The Latino Coalition (TLC)
- U.S. Pan Asian American Chamber of Commerce (USPAACC)

Subcontracting Plan

JPMorgan Chase consistently makes good faith efforts to provide contracting opportunities to diverse suppliers. We look to grow our incumbent minority and disadvantaged supply base. In addition, we introduce new diverse suppliers into our supply chain. We maintain relationships with organizations to help us achieve these goals and support organizations that promote growth and development within the diverse supplier community.

In response to this RFP, JPMorgan Chase does not anticipate subcontracting a portion of these goods or services directly to a diverse supplier. We are willing to engage in conversations to further discuss opportunities for subcontracting with diverse suppliers and can submit *quarterly Tier 2 indirect* reports upon request.

Additional Information

For additional information on our Supplier Diversity Program, visit our [website](#) or contact the JPMorgan Chase Supplier Diversity Managing Director, Jacqueline Rosa, supplier.diversity@jpmchase.com