

**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:**

J.P. Morgan Securities LLC			
Name of Financial Institution			
560 Mission Street, Floor 3	San Francisco	California	94105
Street Address	City	State	Zip Code
Will Frymann, Executive Director			
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, Executive Director

Print Name, Title

Signature

Date

06/15/18

**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**

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

<b>Name of Charitable Organization</b>	<b>Type</b>	<b>Amount (\$)</b>
Genesis LA Economic Growth Corporation		\$ 3,000,000.00
INTERNATIONAL MEDICAL CORPS		\$ 552,586.61
OPERATION HOPE INC		\$ 445,000.00
Jobs to Move America		\$ 250,000.00
LOS ANGELES CITY COLLEGE FOUNDATION		\$ 250,000.00
The UCLA Foundation		\$ 239,880.00
Enterprise Community Partners Inc		\$ 227,000.00
Los Angeles Area Chamber of Commerce Foundation		\$ 201,880.00
Los Angeles Cleantech Incubator		\$ 200,000.00
United Way Inc		\$ 198,265.00
Pacific Coast Regional Urban Small Business Development Corporation		\$ 148,500.00
University of Southern California		\$ 147,500.00
East LA Community Corporation		\$ 131,585.00
LABC Institute		\$ 116,587.00
West Angeles Community Development Corporation		\$ 114,250.00
LOS ANGELES BROTHERHOOD CRUSADE - BLACK UNITED FUND INC		\$ 112,000.00
Coalition for Responsible Community Development		\$ 109,750.00
Youth Policy Institute Inc		\$ 105,000.00
Economic Development Corporation of Los Angeles		\$ 100,000.00
LeadersUp		\$ 100,000.00
LIFT Inc		\$ 100,000.00
Neighborhood Housing Services of Los Angeles County		\$ 100,000.00
Young Womens Christian Association of Greater Los Angeles California		\$ 98,400.00
LTSC Community Development Corporation		\$ 89,400.00
JEWISH VOCATIONAL SERVICE		\$ 75,273.00
Women in Non Traditional Employment Roles		\$ 75,000.00
J. Paul Getty Trust		\$ 66,930.00
Performing Arts Center of Los Angeles County		\$ 60,000.00
TELACU EDUCATION FOUNDATION		\$ 58,875.00
A Community of Friends		\$ 58,750.00
CENTER THEATRE GROUP OF LOS ANGELES		\$ 50,300.00
Koreatown Youth and Community Center, Inc.		\$ 50,000.00
California Community Economic Development Association		\$ 49,500.00
NATIONAL ASSN OF LATINO ELECTED OFFICIALS NALEO EDUCATION FUND		\$ 44,000.00

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<b>Name of Charitable Organization</b>	<b>Type</b>	<b>Amount (\$)</b>
Team Rubicon		\$ 42,575.00
The Museum of Contemporary Art, Los Angeles		\$ 32,350.00
SOUTHERN CALIFORNIA ASSOCIATION OF NON-PROFIT HOUSING INC		\$ 26,500.00
City Year Inc		\$ 26,375.00
Womens Foundation of California		\$ 25,000.00
Local Initiatives Support Corporation		\$ 25,000.00
LOS ANGELES RIVER REVITALIZATION CORPORATION		\$ 25,000.00
GARY SINISE FOUNDATION		\$ 22,500.00
Los Angeles Urban League		\$ 22,000.00
Homeboy Industries		\$ 21,450.00
Los Angeles Conservancy		\$ 21,197.00
ART OF ELY SIUM		\$ 20,000.00
CHILDRENS HOSPITAL OF LOS ANGELES		\$ 17,980.00
AFRICAN AMERICAN UNITY CENTER INC		\$ 17,364.00
America SCORES LA		\$ 16,250.00
PATH Ventures		\$ 13,900.00
USC Math for America Los Angeles		\$ 13,800.00
SUREFIRE INC		\$ 9,473.00
Southern California Grantmakers		\$ 9,400.00
WEINGART CENTER ASSOCIATION		\$ 9,100.00
Latino Theater Company		\$ 8,000.00
THE LOS ANGELES CHAMBER ORCHESTRA SOCIETY INC		\$ 7,800.00
Shalom Center for T R E E of Life Therapy Research Education &		\$ 6,500.00
UCLA Anderson Price Center		\$ 6,250.00
CHILDRENS INSTITUTE INC		\$ 6,125.00
Asian Pacific Islander Small Business Program Incorporated		\$ 5,245.00
Faith and Community Empowerment		\$ 5,000.00
LOS ANGELES ALLIANCE FOR A NEW ECONOMY		\$ 5,000.00
Skid Row Housing Trust		\$ 4,865.00
Esperanza Community Housing Corporation		\$ 4,800.00
Tides Foundation		\$ 4,545.00
New Economics for Women		\$ 4,500.00
Asian Americans Advancing Justice Los Angeles		\$ 4,450.00
Salvadoran American Leadership and Educational Fund		\$ 4,370.00

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<b>Name of Charitable Organization</b>	<b>Type</b>	<b>Amount (\$)</b>
LOS ANGELES BALLET INC	\$	3,500.00
JEWISH FAMILY SERVICE OF LOS ANGELES	\$	2,380.00
PUBLIC COUNSEL	\$	2,300.00
Los Angeles Opera Company	\$	2,050.00
NATIONAL IMMIGRATION LAW CENTER	\$	1,805.00
Directors Guild of America Foundation	\$	1,780.00
USC Lusk Center for Real Estate	\$	1,750.00
JAPANESE AMERICAN NATIONAL MUSEUM	\$	1,500.00
Junior Achievement of Southern California	\$	1,500.00
RONALD MCDONALD HOUSE CHARITIES OF SOUTHERN CALIFORNIA	\$	1,280.00
Mercy For Animals	\$	1,090.00
LOS ANGELES PHILHARMONIC ASSOCIATION	\$	1,050.00
CATHOLIC CHARITIES OF LOS ANGELES	\$	1,008.36
AFTER-SCHOOL ALL-STARS	\$	1,000.00
CALIFORNIA SCIENCE CENTER FOUNDATION	\$	1,000.00
LOS ANGELES S P C A	\$	1,000.00
SHELTER PARTNERSHIP INC	\$	1,000.00
DREAM CENTER FOUNDATION A CALIFORNIA NON PROFIT CORPORATION	\$	890.00
WOMEN IN INSTITUTIONAL INVESTMENTS NETWORK WIIIN	\$	850.00
Mexican American Legal Defense and Educational Fund	\$	831.00
I Have A Dream Foundation - Los Angeles	\$	800.00
PLANNED PARENTHOOD LOS ANGELES	\$	784.06
THE MIDNIGHT MISSION	\$	750.04
United Way of Greater Los Angeles	\$	750.00
MAZON INC A JEWISH RESPONSE TO HUNGER	\$	680.00
Jonsson Cancer Center Foundation- UCLA	\$	580.00
Gay & Lesbian Alliance Against Defamation Inc (GLAAD)	\$	540.00
Catholic Community Foundation of Los Angeles	\$	504.00
Epilepsy Foundation of California, Southern California	\$	500.00
Jewish Free Loan Association	\$	360.00
ST FRANCIS CENTER	\$	325.00
LOS ANGELES EDUCATION PARTNERSHIP	\$	300.00
STEP UP WOMENS NETWORK	\$	300.00
L.A. Kitchen	\$	260.00

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<b>Name of Charitable Organization</b>	<b>Type</b>	<b>Amount (\$)</b>
RACE TO ERASE MS		\$ 260.00
A PLACE CALLED HOME		\$ 250.00
AIDS PROJECT LOS ANGELES INC		\$ 250.00
LOS ANGELES FREE CLINIC		\$ 250.00
ORANGUTAN FOUNDATION INTERNATIONAL		\$ 250.00
Stop Cancer		\$ 240.00
SIMON WIESENTHAL CENTER		\$ 225.00
DOWNTOWN WOMENS CENTER		\$ 200.00
PEOPLE ASSISTING THE HOMELESS		\$ 200.00
Last Chance for Animals		\$ 170.00
Entertainment Industry Foundation		\$ 150.00
MAKE-A-WISH FOUNDATION OF GREATER LOS ANGELES		\$ 150.00
P S Arts		\$ 150.00
ARTHRITIS FOUNDATION INC		\$ 140.00
Israel Emergency Alliance		\$ 125.00
LES AMIES INC		\$ 124.00
A Womans Nation		\$ 110.00
PARA LOS NINOS		\$ 100.00
UNITED STATES VETERANS INITIATIVE		\$ 75.00
Vista Del Mar Child and Family Services		\$ 75.00
REASON FOUNDATION		\$ 60.00
Greater Los Angeles Zoo Association		\$ 40.00
Project Angel Food		\$ 25.00
<b>125 Organizations</b>		<b>\$ 8,261,492.07</b>

## Global Supplier Diversity

*“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.”*

**Ken Litton**  
Chief Procurement Officer  
JPMorgan Chase & Co.

*“Diversity is a cornerstone of our global corporate culture—both in the workplace and in the marketplace. It is the breadth of our differences that defines us, makes us stronger, and enables us to better support diverse markets and the economic growth of all the communities we serve.”*

**William Kapfer, PhD**  
Global Head of Supplier Diversity  
JPMorgan Chase & Co.

## Our Mission

The JPMorgan Chase Global Supplier Diversity Program is committed to developing and engaging with certified and qualified diverse businesses. Our mission is comprised of three pillars: 1) To achieve uplift in diversity within the JPMorgan Chase supply chain; 2) to create a supply chain that mirrors our customers’ changing demographics; and 3) to drive economic growth in the communities in which we do business. 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.

JPMorgan Chase’s commitment to engaging diverse suppliers is evident in many areas 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.

## Certification Requirements

JPMorgan Chase defines a “Diverse Supplier” as one certified by a designated third-party as being 51% owned, operated and controlled by members of the following, among others:

- Minority-Owned Business Enterprise (MBE)
- Women-Owned Business Enterprise (WBE)
- Veteran-Owned Business Enterprise (VBE)
- Service Disabled Veteran-Owned Business Enterprise (SDVBE / DVBE)
- LGBT-Owned Business Enterprise (LGBTE)
- Disability-Owned Business Enterprise (DOBE)
- Small Business Enterprise (SBE)

We invite diverse suppliers interested in doing business, or currently doing business with JPMorgan Chase to register via the *JPMorgan Chase Supplier Registration Portal* at [www.jpmorganchase.com/SupplierDiversity](http://www.jpmorganchase.com/SupplierDiversity).

## External Partner Organizations

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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 partners:

- National Minority Supplier Development Council
- Women's Business Enterprise National Council
- National LGBT Chamber of Commerce
- National Veteran-Owned Business Association
- National Veteran Business Development Council
- WEConnect International
- U.S. Business Leadership Network
- U.S. Hispanic Chamber of Commerce
- The Latino Coalition
- U.S. Pan Asian American Chamber of Commerce
- Minority Supplier Development United Kingdom

These organizations provide a platform for promoting our program, as well as networking directly with diverse business owners.

## Supplier Diversity and Strategic Sourcing Process

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Supplier Diversity processes are integrated into the strategic sourcing process. We strive to achieve the optimal combination of price, quality and service for purchased products and services through our Global Supplier Services group. Together, we help provide diverse suppliers with a broad range of project opportunities. We partner with sourcing managers and our business units to ensure active involvement in every step of the sourcing engagement. Qualified and certified diverse suppliers are identified from our Diverse Supplier Registration Portal and other external supplier databases to source diverse vendors that can meet our business needs.

## Management Tracking & Reporting Systems

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JPMorgan Chase's robust management, tracking and reporting systems support our supplier diversity initiatives.

JPMorgan Chase has the ability to track spend by the following diversity classifications, among others:

- Minority-Owned Business Enterprise (MBE)
- Women-Owned Business Enterprise (WBE)
- Veteran-Owned Business Enterprise (VBE)
- Service Disabled Veteran-Owned Business Enterprise (SDVBE / DVBE)
- LGBT-Owned Business Enterprise (LGBTE)
- Disability-Owned Business Enterprise (DOBE)
- Small Business Enterprise (SBE)

We provide external indirect reports on a quarterly basis.

## Tier 2 Program

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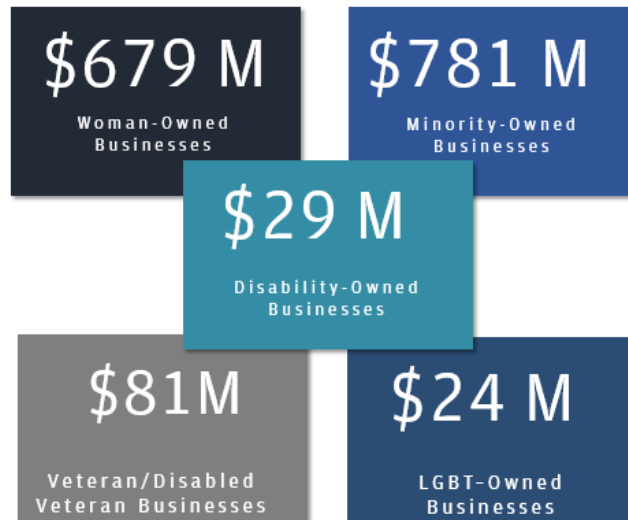
JPMorgan Chase consistently makes good faith efforts to provide contracting opportunities to diverse suppliers. In addition to purchasing directly from diverse suppliers, JPMorgan Chase also encourages its prime suppliers – both diverse and non-diverse – to include diverse businesses in their supply chains. We also assist our suppliers in expanding their supplier networks to include more diverse vendors. We track this Tier 2 spend by asking our suppliers to report their diverse supplier spend to us on a quarterly basis.

## Accomplishments

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In 2018, JPMorgan Chase celebrates the **24<sup>th</sup> anniversary** of the Global Supplier Diversity program. Over the past 11 years, JPMorgan Chase has spent over \$15 billion dollars with diverse suppliers.

### Spend in 2017



## Awards

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### In 2018...

- **Professional Woman's Magazine** names JPMorgan Chase to its list of 2018 Best of the Best –Top Financial & Banking Companies
- **MBN USA Magazine** names JPMorgan Chase Category Director 2018 Corporate Buyer of the Year
- **National Business Inclusion Consortium (NBIC)** selected JPMorgan Chase & Co **2018 Best-of-the-Best Corporation** – This is the third year the firm was recognized

### In 2017...

- 2017 America's Top Corporation for Women's Business Enterprises: **Women's Business Enterprise National Council (WBENC)**
- 100% score in **2017 Disability Equality Index (DEI)** Best Places to Work
- 2017 Corporate 101: America's Most Admired Corporations for Supplier Diversity: **MBN USA**
- "1<sup>st</sup> place Best-of-the-Best"; **National Business Inclusion Consortium**
- BEQ Pride LGBTQ Business Equality Excellence Award
- "AIM 100"; **Affinity Inc. Magazine**
- "Top 100 Leaders in Corporate Supplier Diversity" (William Kapfer); **Women's Enterprise Magazine**

## Additional Information

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For additional information on our Supplier Diversity Program, visit our website [www.jpmorganchase.com/supplierdiversity](http://www.jpmorganchase.com/supplierdiversity) or contact us at [supplier.diversity@jpmchase.com](mailto:supplier.diversity@jpmchase.com).