

**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:

UBS AG			
Name of Financial Institution			
1285 Avenue of the Americas	New York	New York	10019
Street Address			
	City	State	Zip Code
Jennifer Cho, Director, Head of Employee Engagement & Operations			
Contact Person Name and Title			
(212) 882-5686	jennifer.cho@ubs.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? N/A
 - b. What was the total value of the awarded scholarships? N/A

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.

Please see Attachment for Question #3

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.

Vien H. Le, Director		06/29/18
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**

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

Name of Charitable Organization	Type	Amount (\$)
A PLACE CALLED HOME	Business Related Contribution	\$ 500.00
ACLU FOUNDATION OF SOUTHERN CALIF	Matching Gifts	\$ 177.41
AFIM American Friends of the Israel Museum	Matching Gifts	\$ 1,000.00
AIDS Project Los Angeles Inc	Matching Gifts	\$ 250.00
Alzheimer's Greater Los Angeles	Business Related Contribution	\$ 500.00
American Red Cross Los Angeles Region	Business Related Contribution	\$ 10,000.00
American Red Cross Los Angeles Region	Matching Gifts	\$ 2,500.00
ARCHER SCHOOL FOR GIRLS INC	Matching Gifts	\$ 177.75
ARMENIAN BAR ASSOCIATION	Matching Gifts	\$ 1,000.00
Asian Americans Advancing Justice - Los Angeles	Matching Gifts	\$ 540.00
Baby Quest Foundation Inc	Matching Gifts	\$ 2,500.00
BEIT TSHUVAH	Matching Gifts	\$ 200.00
BIG BROTHERS BIG SISTERS OF GREATER LOS ANGELES INC	Matching Gifts	\$ 100.00
BOY SCOUTS OF AMERICA	Business Related Contribution	\$ 3,500.00
CAMP KESEM NATIONAL	Matching Gifts	\$ 2,264.13
CATHOLIC BIG BROTHERS BIG SISTERS INC	Matching Gifts	\$ 500.00
CATHOLIC CHARITIES OF LOS ANGELES	Matching Gifts	\$ 2,500.00
Childrens Hospital of Los Angeles	Matching Gifts	\$ 2,050.00
COMMUNITY FOR EDUCATION FOUNDATION	Business Related Contribution	\$ 500.00
COMMUNITY FOR EDUCATION FOUNDATION	Matching Gifts	\$ 1,000.00
COMMUNITY PARTNERS	Matching Gifts	\$ 1,100.00
COMMUNITY SERVICES UNLIMITED	Matching Gifts	\$ 50.00
Covenant House California	Matching Gifts	\$ 100.00
CRE OUTREACH FOUNDATION INC	Business Related Contribution	\$ 1,250.00
Curtis School Foundation	Matching Gifts	\$ 2,500.00
FIND YOUR LIGHT FOUNDATION	Matching Gifts	\$ 2,500.00
FRIENDS OF KING A NONPROFIT CORPORATION	Matching Gifts	\$ 50.00
Friends of Silver Lake Library FOSLL	Matching Gifts	\$ 125.00
Friends of the IDF	Matching Gifts	\$ 2,000.00
Fulfillment Fund	Matching Gifts	\$ 3,250.00
GARY SINISE FOUNDATION	Matching Gifts	\$ 6,300.00
GIVING BACK FUND INC	Matching Gifts	\$ 1,000.00
GOLD SHIELD ALUMNAE OF UCLA	Matching Gifts	\$ 75.00
GRAMMY Museum Foundation Inc.	Matching Gifts	\$ 125.00
HAROLD ROBINSON FOUNDATION	Matching Gifts	\$ 150.00
HEROES FOR HEROES	Matching Gifts	\$ 650.00
HILLEL THE FOUNDATION FOR JEWISH CAMPUS LIFE	Matching Gifts	\$ 3,125.00
Homeboy Industries	Matching Gifts	\$ 1,000.00
IMAGINE LOS ANGELES INC	Matching Gifts	\$ 2,500.00
INNER-CITY ARTS	Matching Gifts	\$ 100.00
INTERNATIONAL DOCUMENTARY	Business Related Contribution	\$ 50,000.00
INTERNATIONAL MEDICAL CORPS	Matching Gifts	\$ 404.00
JAPANESE AMERICAN NATIONAL MUSEUM	Matching Gifts	\$ 75.00
JEWISH BIG BROTHERS BIG SISTERS ASSOCIATION OF LOS ANGELES	Matching Gifts	\$ 2,500.00
JEWISH COMMUNITY FOUOD OF THE JEWISH FED COUN OF GREATER L A	Matching Gifts	\$ 232.71
JEWISH FAMILY SERVICE OF LOS ANGELES	Business Related Contribution	\$ 10,000.00
JEWISH FEDERATION COUNCIL OF GREATER LOS ANGELES	Business Related Contribution	\$ 10,000.00
JEWISH FEDERATION COUNCIL OF GREATER LOS ANGELES	Matching Gifts	\$ 2,900.00
JP Haitian Relief Organization	Matching Gifts	\$ 50.00
KITTEN RESCUE	Matching Gifts	\$ 500.00
L A S BEST	Business Related Contribution	\$ 2,500.00
L A S BEST	Matching Gifts	\$ 250.00
Leukemia & Lymphoma Society - CA Southland Chapter	Matching Gifts	\$ 350.00
LOS ANGELES AIRPORT POLICE ATHLETICS AND ACTIVITIES LEAGUE	Business Related Contribution	\$ 1,500.00
Los Angeles County Museum of Art dba Museum Associates	Matching Gifts	\$ 220.00
Los Angeles Mission	Matching Gifts	\$ 2,500.00
LOS ANGELES MUSEUM OF THE HOLOCAUST MARTYRS MEMORIAL	Matching Gifts	\$ 5,000.00
LOS ANGELES PARKS FOUNDATION	Matching Gifts	\$ 200.00
LOS ANGELES REGIONAL FOOD BANK	Matching Gifts	\$ 50.00
LOS ANGES RAILROAD HERITAGE FOUNDATION	Matching Gifts	\$ 500.00
Loyola High School of Los Angeles	Matching Gifts	\$ 850.00
Marlborough School	Matching Gifts	\$ 99.28
Marlborough School	Matching Gifts	\$ 2,500.00
MARYMOUNT HIGH SCHOOL	Matching Gifts	\$ 500.00

MAZON INC A JEWISH RESPONSE TO HUNGER	Matching Gifts	\$	100.00
Mercy for Animals	Matching Gifts	\$	500.00
NATIONAL CACA COMMUNITY INVOLVEMENT FUND	Matching Gifts	\$	50.00
NATIONAL IMMIGRATION LAW CENTER	Matching Gifts	\$	50.00
National MS Society	Matching Gifts	\$	2,000.00
Occidental College	Matching Gifts	\$	250.00
Ocean Park Community Center	Matching Gifts	\$	175.00
Performing Arts Center of Los Angeles County	Business Related Contribution	\$	1,000.00
PLANNED PARENTHOOD LOS ANGELES	Matching Gifts	\$	2,500.00
POINT FOUNDATION	Business Related Contribution	\$	1,250.00
Project Angel Food	Matching Gifts	\$	1,250.00
PUENTE LEARNING CENTER	Matching Gifts	\$	100.00
Saban Community Clinic	Matching Gifts	\$	2,000.00
SAMUEL A FRYER YAVNEH ACADEMY	Matching Gifts	\$	250.00
SIMON WIESENTHAL CENTER	Matching Gifts	\$	200.00
SKIRBALL CULTURAL CENTER	Business Related Contribution	\$	650.00
St Raphael School	Matching Gifts	\$	2,500.00
ST VINCENT SENIOR CITIZEN NUTRITION PROGRAM INC	Matching Gifts	\$	500.00
TEAM RUBICON	Matching Gifts	\$	975.00
TEMPLE ISRAEL OF HOLLYWOOD DAY SCHOOL	Matching Gifts	\$	736.00
The John Douglas French Alzheimers Foundation	Matching Gifts	\$	250.00
The UCLA Foundation	Matching Gifts	\$	4,860.00
TUSKEGEE AIRMEN SCHOLARSHIP FOUNDATION	Business Related Contribution	\$	1,000.00
UCLA ALUMNI ASSOCIATION	Matching Gifts	\$	764.00
Union Of Sisters Of The Presentation Of The Blessed	Matching Gifts	\$	2,500.00
UNITED PRESBYTERIAN CHURCH USA	Matching Gifts	\$	1,000.00
Univ of So. Cal Latino Alumni Assn.	Matching Gifts	\$	250.00
University of Southern California	Business Related Contribution	\$	10,000.00
University of Southern California	Matching Gifts	\$	10,020.00
University of Southern California	Matching Gifts	\$	2,500.00
Verbum Dei High School	Matching Gifts	\$	300.00
WESTSIDE GUILD OF CHILDRENS HOSPITAL OF LOS ANGELES	Matching Gifts	\$	1,250.00
Westside Shepherd Rescue of Los Angeles Inc	Matching Gifts	\$	3,950.00
WIDOWS ORPHANS & DISABLED FIREMENS FUND	Matching Gifts	\$	1,150.00
Windward School	Matching Gifts	\$	5,000.00
WITC FOUNDATION	Business Related Contribution	\$	5,000.00
WOMEN IN INSTITUTIONAL INVESTMENTS NETWORK WIIN	Business Related Contribution	\$	1,825.00
ZIMMER CHILDRENS MUSEUM	Matching Gifts	\$	2,500.00
Grand Total		\$	224,545.28

Although UBS Group AG does not have internal policies regarding utilization of subcontractors which are designated as "women owned," "minority owned," or "disabled" business enterprises, as of December 31, 2017, in the United States, UBS Group AG and/or its affiliates had contracts with a total of 1,960 diverse suppliers representing over \$653mm in annual spend, namely 108 minority-owned businesses, 68 female-owned businesses, 52 businesses owned by veterans, 1 owned by disabled veterans and service disabled, in addition to 171 Woman Business Enterprise (WBE) firms (A WBE usually certified by a federal, state or local government agency as having met all of the government standards that award eligibility).