

**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:

Barclays

Name of Financial Institution

10250 Constellation Boulevard, Los Angeles CA 90067

Street Address

City

State

Zip Code

Michael Gomez, Director

Contact Person Name and Title

415-274-5220

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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.

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.

Michael Gomez, Director

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

* scholarships provided indirectly through community organizations and programs (such as the Hispanic Heritage Foundation)

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

Name of Charitable Organization	Type	Amount (\$)	
Grand Performances - Los Angeles	Arts & Culture	\$	1,000.00
Children's Bureau of Southern California	Children & Youth Development	\$	3,000.00
University of Southern California	Education & Literacy	\$	6,000.00



Commitment to Equal Employment Opportunity and Diversity Suppliers

Barclays is committed to equal employment opportunity and demonstrates its commitment by instituting and enforcing policies that prohibit discrimination or harassment on the basis of race, color, creed, religion, national origin, alienage or citizenship status, age, sex, sexual orientation, gender identity or expression, marital or domestic/civil partnership status, disability, veteran status, genetic information, or any other basis protected by law. The Office of Diversity and Inclusion supports and leads the firm's efforts to foster diversity in our workplace, including compliance-related efforts.

With regard to our suppliers, we are equally committed to ensuring that they both share our requirement for equal opportunity and also prohibit discriminatory practices.

- 'Diversity and Inclusion', is a criterion that is used in our evaluation of suppliers and relevant language is routinely included in our standard contract terms.
- Adherence to proper labor/workplace management policies and standards is a key factor in Barclays' evaluation and selection of its suppliers
- In conjunction with its membership in the Institute of Supply Management, Barclays is an active participant and supporter of the activities of the Supplier Diversity Committee, the purpose of which is to encourage the inclusion of minority- and women-owned business enterprises and suppliers from other underrepresented communities.
- In conjunction with its efforts to rationalize its overall vendor population, Barclays Global Procurement is continually ensuring the further participation of MWBEs in opportunities to compete for its business.

A handwritten signature in blue ink, appearing to read "Diane Eshleman".

Diane Eshleman
Chief Procurement Officer
Barclays

About Barclays Supplier Diversity

As part of its Citizenship Agenda and as further evidence of its commitment to Supplier Diversity, Barclays has established a Global Head of Supplier Diversity function, staffing it with a financial services industry supplier diversity veteran in November 2013. The Global Head of Supplier Diversity reports into the Chief Procurement Officer function (second level down from the CEO) through its Chief Operating Officer -- providing cross-functional, cross-business unit reach to engage diverse suppliers across the range of third-party procurement that Barclays does.

In the U.S., Barclays Supplier Diversity focuses on increasing the utilization of businesses 51% owned, controlled and operated as:

- Minority Business Enterprises
- Women Business Enterprises
- Small Business Enterprises
- Disabled-Veterans Business Enterprises
- Disabled-Business Enterprises
- Lesbian, Gay, Bi-Sexual, Transgender Business Enterprises

Barclays Supplier Diversity has developed, and is currently rolling out its 3-year strategic plan that focuses on six key programs:

1. **Supplier Market Access Program** – designed to capture Barclays-wide procurement opportunities and match qualified diverse suppliers against them. The matchmaking is done physically, in strategic locations, and virtually. With the hiring of our Global Head of Supplier Diversity, we will join, and tap into the databases of national certifying organizations such as NMSDC, WBENC, and others as well as build our own proprietary database. We currently include not only the traditional utilization of diverse suppliers in areas such as technology, marketing and staffing but also engagement of third-party professional services firms i.e., diverse broker-dealers, as was recently accomplished on a \$2.2bn Barclays bond deal (see Deal Summary below).
2. **Supplier Development Program** – building from our base of incumbent diverse suppliers, we've put plans in place to grow the utilization of those we already do business with. Spending goals have been established at a firm and sourcing category manager (product and service group) level. We're currently developing supplier-level growth and development plans that will allow us to engineer a practical method of executing against those goals by design -- not by accident.
3. **Supplier Citizenship Program** – as much as we hold ourselves accountable to be good stewards of the environment, uphold high ethical standards and treat others with respect – we expect the same of our prime suppliers. Our Supplier Citizenship Program extends our corporate values onto those in our supply chain, including an expectation of delivering on the supplier diversity agenda through the 2nd Tier program we'll be rolling out later this year. A Supplier Code-Of-Conduct was sent out to our suppliers earlier in the year to define our expectations and how we would use adherence to that in our procurement decisions.
4. **Banking Access Program** – as a global leader in financial services, we provide the financial utility for communities around the world to grow and thrive. As part of our Banking Access Program, our Supplier Diversity and our banking colleagues are collaborating to develop and provide financial services knowledge-transfer to diverse suppliers -- allowing them to better position themselves to manage and acquire capital to fuel their growth. Our first undertaking will be in London in October as part of the MSDUK Conference.

5. **Direct Content Program** – as with the aforementioned diverse broker-dealer example, we'll be exploring various other methods of directly engaging diverse suppliers on our customer and colleagues' transactions and product sets – delivering direct and distinguishable value in our customers' supply chain.
6. **Marketing Program** – we will wrap the various components of our strategic plan into an external marketing campaign that will highlight our intent to lead globally in supplier diversity within the financial services industry, inviting diverse suppliers across the US and abroad to introduce themselves to us, such as the Innovation Day in Silicon Valley coming in October of this year. Additionally, we've recently identified a Supplier Registration portal provider who will develop our capability to promote our interest in having diverse suppliers be considered for procurement opportunities, as outlines in the Market Access Program above. We anticipate going live with the portal before end of 2014.

Deal Summary

On May 12, 2014, Barclays launched and priced a \$2.25bn bond transaction. This deal represents the first transaction issued by Barclays in which the Barclays-appointed underwriting group included broker-dealers owned and / or managed by minorities. Six broker-dealers were represented, including The Williams Capital Group L.P., CastleOak Securities L.P., Lebanthal & Co., Guzman & Company, Mischler Financial Group, Inc. and Drexel Hamilton, LLC.

Each of the companies has been publically recognized for their minority support. Williams, CastleOak, Lebanthal and Guzman have each received special designation from the Minority and Women Business Enterprise. Mischler and Drexel Hamilton have been recognized in the US as Service-Disabled-Veteran-Business Enterprises – as companies owned and managed by disabled veterans. In addition, Barclays has identified and approved a variety of broker-dealers that qualify as diversity-owned or managed that may be included in future underwriting groups.

Mark Bamford, Global Head of Fixed Income Syndicate, said: “We are happy to include these broker-dealers into our syndicate line-up. We believe that Citizenship and Diversity & Inclusion have a place in the way we do business – and results in a holistic, best execution for Barclays' clients.”

Supporting diverse and inclusive companies is evidence that Barclays is transforming to become the 'Go-To' bank for a diverse customer and client base, and is a key component to the Supplier Code commitment in Barclays 2015 Citizenship Plan. In the 2015 Plan, Barclays commits to promoting supplier diversity as part of the way we do business.