

**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 | | | |
| 2029 Century Park East, Suite 4110 | Los Angeles | CA | 90067 |
| Street Address | City | State | Zip Code |
| Tyler Old, Vice President | | | |
| Contact Person Name and Title | | | |
| 310-201-7722 | tyler.old@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? _____

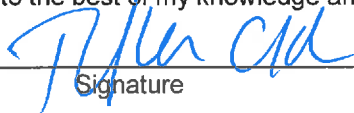
3. Does your firm have internal policies regarding utilization of subcontractors which are designated as "women owned," "minority owned," or "disabled" business enterprises?
Yes No If yes, please provide a copy of your policies.

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.

Tyler Old, Vice President

Print Name, Title



Signature

6/22/15

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 Community of Friends | Affordable Housing | \$51,000 |
| Affordable Living for the Aging | Affordable Housing | \$50,000 |
| African American Unity Center Inc | Other | \$25,000 |
| America Scores | Education | \$15,000 |
| Asian Americans Advancing Justice Los Angeles | Legal Service/Justice | \$10,000 |
| Asian Pacific Islander Small Business Program Incorporated | Small Business Development | \$5,500 |
| Autry National Center of the American West | Arts & Culture | \$35,000 |
| California Community Foundation | Workforce Readiness | \$500,000 |
| California Council on Economic Education | Economic Development | \$50,000 |
| Center Theatre Group of Los Angeles | Workforce Readiness | \$110,000 |
| Cesar Chavez Foundation | Other | \$7,000 |
| Childrens Hospital of Los Angeles | Other | \$5,000 |
| Childrens Institute Inc | Other | \$5,000 |
| City Year Inc | Workforce Readiness | \$200,000 |
| Coachart Org | Other | \$5,000 |
| Coalition for Humane Immigrant Rights of Los Angeles | Human Rights & Public Advocacy | \$50,000 |
| Coalition for Responsible Community Development | Workforce Readiness | \$100,000 |
| Community Coalition for Substance Abuse Prevention & Treatment | Other | \$2,500 |
| Csula Auxiliary Services Inc. Pat Brown Institute | Other | \$10,000 |
| Downtown Women's Center | Other | \$4,000 |
| Dream Center Foundation A California Non Profit Corporation | Other | \$3,000 |
| East L A Community Corporation | Affordable Housing | \$1,500 |
| Economic Development Corporation of Los Angeles | Economic Development | \$155,000 |
| Emerging Markets Development Corporation | Economic Development | \$1,170,300 |
| Enterprise Community Partners Inc | Affordable Housing | \$125,000 |
| Genesis LA Economic Growth Corporation | Economic Development | \$75,000 |
| Goodwill Industries of Southern California | Workforce Readiness | \$75,000 |
| Hispanas Organized for Political Equality-California | Human Rights & Public Advocacy | \$7,500 |
| Inner-City Arts | Arts & Culture | \$25,000 |
| Italian American Museum | Arts & Culture | \$500 |
| Jackie Robinson Foundation Inc | Other | \$10,000 |
| Jewish Vocational Service | Workforce Readiness | \$50,000 |
| Korean Churches for Community Development | Affordable Housing | \$8,200 |
| LA's Best | Other | \$10,000 |

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

| Name of Charitable Organization | Type | Amount (\$) |
|---|----------------------------|-------------|
| LA's Promise | Other | \$5,000 |
| Local 47 Musicians Foundation | Arts & Culture | \$2,500 |
| Local Initiatives Support Corporation | Financial Capability | \$125,000 |
| Los Angeles Area Chamber of Commerce Foundation | Economic Development | \$350,000 |
| Los Angeles Brotherhood Crusade - Black United Fund Inc | Workforce Readiness | \$165,000 |
| Los Angeles City College Foundation | Small Business Development | \$163,333 |
| Los Angeles Cleantech Incubator | Small Business Development | \$800,000 |
| Los Angeles Conservancy | Other | \$12,000 |
| Los Angeles County Business Federation | Other | \$10,000 |
| Los Angeles County Museum of Art (Lacma) | Arts & Culture | \$125,000 |
| Los Angeles Education Partnership | Workforce Readiness | \$100,000 |
| Los Angeles LGBT Center | Other | \$5,000 |
| Los Angeles Philharmonic Association | Workforce Readiness | \$100,000 |
| Los Angeles Sports & Entertainment Commission | Other | \$5,000 |
| Los Angeles Urban League | Other | \$225,000 |
| Loyola Marymount University | Workforce Readiness | \$10,000 |
| LTSC Community Development Corporation | Affordable Housing | \$90,000 |
| Mexican American Legal Defense And Educational Museum Associates | Legal Service/Justice | \$10,000 |
| National Assn of Latino Elected officials Naleo Education Fund | Arts & Culture | \$25,000 |
| National Latina Business Women Association Los Angeles Chapter | Other | \$110,000 |
| Neighborhood Housing Services of Los Angeles County | Small Business Development | \$3,000 |
| New Economics for Women | Affordable Housing | \$3,000 |
| Operation Hope Inc | Financial Capability | \$179,250 |
| Pacific Asian Consortium In Employment | Other | \$416,559 |
| Pacific Coast Regional Urban Small Business Development Corporation | Workforce Readiness | \$50,000 |
| Para Los Ninos | Small Business Development | \$75,000 |
| People Assisting the Homeless | Other | \$5,000 |
| Performing Arts Center of Los Angeles County | Homelessness | \$5,000 |
| Plaza De Cultura Y Arte Foundation | Workforce Readiness | \$140,000 |
| Salvadoran American Leadership And Educational Fund | Arts & Culture | \$25,000 |
| Shalom Center for TREE of Life Therapy Research Education | Other | \$5,000 |
| Southern California Association of Non-Profit Housing Inc | Affordable Housing | \$6,000 |
| Southern California Grantmakers | Affordable Housing | \$25,000 |
| | Other | \$15,000 |

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

| Name of Charitable Organization | Type | Amount (\$) |
|---|----------------------------|--------------------|
| St. Francis Center | Other | \$6,000 |
| Step Up Womens Network | Other | \$9,250 |
| Stitches Technology Sewn Products Training Centers Inc | Small Business Development | \$35,000 |
| Streetlights Production Assistant Program Inc | Workforce Readiness | \$50,000 |
| Telacu Education Foundation | Workforce Readiness | \$50,000 |
| The Los Angeles Chamber Orchestra Society Inc | Arts & Culture | \$10,000 |
| The Museum of Contemporary Art, Los Angeles | Arts & Culture | \$7,500 |
| Tyra Banks Tzone Foundation | Other | \$12,500 |
| United Friends of the Children | Other | \$2,500 |
| United States Veterans Initiative (U.S.Vets) | Workforce Readiness | \$30,000 |
| United Way of Greater Los Angeles | Other | \$25,000 |
| University of Southern California | Other | \$50,000 |
| University of Southern California: Shoah Foundation Institute | Other | \$25,450 |
| University of Southern California: The Center on Philanthropy And Public Policy | Other | \$35,000 |
| USC Lambda Alumni Association | Other | \$5,500 |
| Vermont-Slauson Ldc Inc | Economic Development | \$25,000 |
| Weingart Center Association | Other | \$9,000 |
| West Angeles Community Development Corporation | Financial Capability | \$105,000 |
| Young Womens Christian Association of Greater Los Angeles California | Workforce Readiness | \$176,850 |
| Youth Policy Institute Inc | Other | \$5,000 |
| Total Monetary Organizations (88 Organizations) | | \$7,021,192 |

S.P. Morgan

JPMORGAN CHASE & CO.

Jamie Dimon
Chairman & CEO



Dear Colleagues:

Becoming a great company requires identifying and working with great people, whether they are our employees or our suppliers. As part of that commitment, JPMorgan Chase has in place a Supplier Diversity initiative to ensure that we are surfacing talent that might not be easily identified through more traditional channels. The purpose of this communication is to make sure that each employee charged with working with suppliers understands both our commitment to Supplier Diversity and our process for achieving it.

Our Supplier Diversity initiative operates using the same business standards and expectations that we expect from all suppliers competing for our business. We do not operate using set-asides or quotas. We do, however, conduct special outreach to certified diverse business owners - minority, women, veterans, people with disabilities, people of different sexual orientation - to help ensure they have an equal opportunity to do business directly with JPMorgan Chase. We also work with our large suppliers to encourage them to utilize and develop diverse businesses. Our initiative ensures that we have access to a full range of new and innovative ideas and has demonstrated that diverse suppliers can deliver high quality products and services at competitive prices.

Our General Services team is charged with managing our Corporate Supplier Diversity initiative. We expect that you will work with this team in executing the important task of managing how the firm spends money with outside suppliers and makes maximum use of diverse suppliers while meeting the guidelines set forth in doing business with external suppliers.

We look forward to your active support and cooperation as we continue to expand our Supplier Diversity initiative throughout the firm.

Jamie Dimon
Chief Executive Office, JPMorgan Chase & Co.

Corporate Supplier Diversity Program

Supplier Diversity Program Mission

JPMorgan Chase is committed to promoting the economic growth and development of diverse suppliers through our Supplier Diversity initiative. We have senior management commitment, policies, procedures, strategies, and results that demonstrate how Supplier Diversity is part of our DNA. We are aggressive in our outreach to diverse businesses, proactively engaging 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.

The JPMorgan Chase commitment to the use of diverse suppliers is evident in many aspects of our supply chain. From designing, constructing, furnishing, staffing, and maintaining our banking branches & offices to manufacturing credit cards, operating call centers, marketing our products and services, collecting on outstanding debt, and representing us in the toughest of courtrooms, diverse suppliers are continuously driving significant value and are making noteworthy contributions to JPMorgan Chase. With a focus on both Line of Business, as well as commodity spend, JPMorgan Chase ensures the continuous growth and expansion of our Supplier Diversity efforts across our entire firm in all aspects of commerce.

SD Achievements

- JPMorgan Chase celebrated the 20th anniversary of the Supplier Diversity program in 2014
- For the last 7 years, we continue to maintain over \$1 billion in spend with diverse suppliers
- Spent approximately \$118 million with diverse suppliers in the State of California during 2014
- Jacqueline Rosa, Global Head of Supplier Diversity, was named one of America's Top 100 Leaders in Corporate Supplier Diversity in 2014 by Women's Enterprise USA
- 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)
- In fall 2014, Jacqueline was named one of seven "Women of Excellence in Business," by the New York Women's Chamber of Commerce
- Hispanic Executive Magazine named Jacqueline Rosa one of the "Top 10 Lideres" in their Fall 2013 issue
- JPMorgan Chase & Co. was recognized in the Fall 2013 "Best of the Best" Issue of the Professional Woman's Magazine as a Top Supplier Diversity Program.
- Black EOE Journal (The Employment & Entrepreneur Magazine) acknowledged JPMorgan Chase in its 2013 special issue of "Best of the Best" for companies making strides in their diversity efforts. JPMorgan Chase was recognized on the Top Supplier Diversity Program and Top Diversity Employer lists.
- Was recognized as part of the 2013 Million Dollar Club by the United States Hispanic Chamber of Commerce for spending \$100-250 million dollars with Hispanic owned suppliers.
- Minority Business News (MBN) USA named JPMorgan Chase as one of their "2013 Corporate 101". The honor reflects our efforts to support diverse enterprises and understanding of the positive impact supplier diversity makes on the economy.
- In 2012, recognized by DiversityBusiness.com as one of the "Top 50 Organizations for Multicultural Business Opportunities". JPMorgan Chase was the highest ranked financial institution.
- Jacqueline Rosa, Managing Director of Supplier Diversity, was named one of the Top 25 Women in Power Impacting Diversity by DiversityPlus Magazine. Hispanic Network Magazine named Jacqueline as one of their 2012 "Best of the Best" Supplier Diversity Executives.
- JPMorgan Chase was recognized as one of the "Champions of Diversity" in the 20th Anniversary Issue of Diversity Careers magazine in Fall 2012. JPMorgan Chase was also chosen as both a Best Diversity Company Winner and a Best Supplier Company Winner by Diversity Careers.

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 JPMC must register via the JPMorgan Chase Supplier Registration Portal.

Corporate Supplier Diversity Program

- Visit www.jpmorganchase.com/supplierdiversity for additional information.

Supplier Registration Portal Benefits

Benefits that accrue from registration in the JPMorgan Chase Supplier Registration Portal include, but are not limited to, the following:

- First consideration for procurement opportunities where certified diverse suppliers are sought
- First consideration for exclusive JPMorgan Chase events (e.g., virtual matchmakers, networking receptions) – second to incumbent, active suppliers
- Visibility from procurement personnel who have regular, real-time access to profiles
- Access to strategic advice to better prepare suppliers for current or future bid opportunities
- Leads on new contracting opportunities (inside and outside JPMC)

In House Matchmakers

Our customized in-house trade shows provide prospective and incumbent suppliers with an opportunity to showcase their products and services, and are performed as either exhibit-hall format or one-on-one matchmaker meetings with industry presentations by JPMorgan Chase sourcing executives.

Several years ago we held our first matchmaker at our San Francisco, CA office. The event targeted west coast suppliers in the fields of Architectural Services, Landscaping, and Legal. We have followed that same format in other geographic locations targeting the fields of Construction, Real Estate Related Trades, and Legal. We conducted a matchmaker in Los Angeles, CA in September 2012.

Supplier Diversity and the Strategic Sourcing Process

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

What sets JPMorgan Chase apart are our robust management tracking and reporting systems that support our supplier diversity initiatives. First, our eRFX system has embedded supplier diversity rules that allow us to not only view upcoming procurement needs, it requires the Sourcing professional to identify a supplier diversity professional to assign to the project and requires them to declare whether a diverse supplier is being invited to compete in the eRFP (and if not, why not). The supplier diversity professional works with the Sourcing professional to find qualified diverse suppliers to compete for the business and tracks whether diverse supplier(s) succeeded or failed in the competition. Our Supplier Diversity team deploys the eRFX system as a pre-qualification tool as well. We cast a wide net using a variety of resources to compliment our Supplier Registration Portal database (see External Organizations above), as we search for best-in-class Diverse Suppliers to compete in RFPs. We further narrow the field of RFP contenders through a customized Supplier Diversity RFPI (Request For Preliminary Information) process, which screens Diverse Suppliers according to the specific technical and business requirements for the RFP at-hand.

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

Corporate Supplier Diversity Program

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 affiliates for support to execute on our Supplier Diversity objectives. The following are examples of our largest community partner relationships:

- National Gay and Lesbian Chamber of Commerce (NGLCC)
- National Minority Supplier Development Council (NMSDC)
- National Veteran-Owned Business Association (NaVOBA) – Board Member
- U.S. Business Leadership Network (USBLN)
- U.S. Hispanic Chamber of Commerce (USHCC)
- U.S. Pan Asian American Chamber of Commerce (USPAACC) – Board Member
- Women's Business Enterprise National Council (WBENC) – Board Member

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 as well as introduce new diverse suppliers into our supply chain. We maintain relationships with organizations to help us achieve this goal and support organizations that promote growth and development within the diverse supplier community.

In response to this RFP, JPMorgan Chase does not anticipate directly 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, 212-552-4296, jacqueline.l.rosa@jpmchase.com