

**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 St, Floor 3	San Francisco	CA	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

SOCIAL RESPONSIBILITY

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 X

Note: The Public Finance group of J.P. Morgan Securities LLC has not made any charitable contributions, but J.P. Morgan Foundation and JPM Chase Bank, N.A. have made the following (see attached supporting document)

If yes, please complete the attached form, labeled at Exhibit 1.

2. Did your firm provide any scholarship awards to residents of the City of Los Angeles?

Yes ___ No X

- 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 X No ___

If yes, please provide a copy of your policies, labeled as Exhibit 2

CONSUMER PROTECTION

1. Is the financial institution currently in compliance with all applicable consumer financial protection laws?

Yes No

If no, please briefly explain: _____

2. Does the financial institution have policies to prevent the use of illegal predatory consumer adverse sales goals as the bases for evaluation, promotion, discipline or compensation of employees?

Yes No

If no, please briefly explain: _____

3. Does the financial institution encourage and maintain whistleblower protection policies for its employees and/or customers to report suspected illegal practices, including predatory sales goals?

Yes No

If no, please briefly explain: _____

4. In the last five years, has the financial institution been subject to any disciplinary actions such as fines, suspensions, or settlements, undertaken by the Securities and Exchange Commission, the Consumer Financial Protection Bureau, the Municipal Securities Regulation Board, the Financial Industry Regulatory Agency and/or any State regulatory agency?

Yes No

5. If the answer to question no. 4 is yes, please provide in separate attachment labeled Exhibit 3, what the violation(s) are, the reason for the enforcement action, what government agencies are involved, the date of the enforcement action, what is the current status, and how were or will the issues be resolved?

CERTIFICATION UNDER PENALTY OF 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.

WILLIAM D. FRYMAN, EXECUTIVE DIRECTOR  06/22/2021
Print Name Title Signature Date

(*) Signature must be that of the Head of Public Finance or equivalent corporate executive.

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**

Exhibit 1

**J.P. Morgan Foundation and JPM Chase Bank, N.A. Monetary Donations
To Charitable Programs within the City of Los Angeles**

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

Total Charitable Contributions by Entity	
Entity	Total for Year 2020
JPMChase Bank	\$1,392,830
J.P. Morgan Foundation	\$3,357,264
Total	\$4,750,094

Charitable Contributions Made by J.P. Morgan Foundation During 2020	
Name of Charitable Organization	Amount
LeadersUp	\$600,000
LABC Institute	\$430,000
Koreatown Youth and Community Center, Inc.	\$290,580
LIFT INC	\$255,000
UNITE-LA, INC	\$250,000
Los Angeles Cleantech Incubator	\$200,000
Pacific Coast Regional Urban Small Business Development Corporation	\$197,000
Vermont-Slauson LDC, INC	\$196,500
Defy Ventures	\$175,000
LOS ANGELES BROTHERHOOD CRUSADE - BLACK UNITED FUND, INC.	\$161,355
University of Southern California	\$150,900
Coalition for Responsible Community Development	\$150,000
Neighborhood Housing Services of Los Angeles County	\$100,000
New Economics for Women	\$100,000
Local Initiatives Support Corporation - New York, NY	\$50,000
EQUALITY CALIFORNIA INSTITUTE	\$4,500
Team Rubicon	\$3,488
9 Dots Community Learning Center	\$2,000
The John Thomas Dye School	\$2,000
WILSHIRE BOULEVARD TEMPLE	\$2,000
Lady Freethinker	\$1,800
Junior Achievement of Southern California	\$1,600
NATIONAL IMMIGRATION LAW CENTER	\$1,520
Camp Kesem	\$1,495
OUR LADY OF GUADALUPE ALUMNI ASSOCIATION	\$1,450
Los Angeles LGBT Center	\$1,330
SIMON WIESENTHAL CENTER	\$1,232
Homeboy Industries	\$1,145
LA PROMISE FUND	\$1,140
THE POINT FOUNDATION	\$1,138
INTERNATIONAL MEDICAL CORPS	\$1,075
CHILDRENS HOSPITAL OF LOS ANGELES	\$1,005
ISAAC INNOVATIVE SPACE FOR ASIAN AMERICAN CHRISTIANITY	\$1,000
MULTICULTURAL WOMEN EXECUTIVE LEADERSHIP FOUNDATION	\$1,000
Young Mens Christian Association of Metropolitan Los Angeles	\$1,000
Zimmer Children's Museum	\$1,000
Loyola Marymount University	\$900
ACLU FOUNDATION OF SOUTHERN CALIF	\$855
FIND YOUR LIGHT FOUNDATION	\$800

Name of Charitable Organization	Amount
Hispanas Organized For Political Equality-California	\$800
Mazon Inc A Jewish Response To Hunger	\$749
Project Angel Food	\$703
DOWNTOWN WOMENS CENTER	\$650
LANGE FOUNDATION	\$620
Jewish Free Loan Association	\$610
MAKE-A-WISH FOUNDATION OF GREATER LOS ANGELES	\$608
Los Angeles Philharmonic Association	\$600
Union Rescue Mission	\$575
CALIFORNIA COMMUNITY FOUNDATION	\$520
DEFY VENTURES INC	\$500
LAS PROMISE	\$500
ONE Archives Foundation	\$500
Greater Los Angeles Zoo Association	\$440
Mexican American Legal Defense and Educational Fund	\$370
California Science Center Foundation	\$335
United Way, Inc.	\$320
DIGDEEP RIGHT TO WATER PROJECT	\$300
FOMUKONG HEALTH FOUNDATION INC	\$300
Advancement Project	\$250
Center Theatre Group of Los Angeles	\$250
CORO SOUTHERN CALIFORNIA INC	\$250
PATH Ventures	\$250
Los Angeles County Museum of Natural History Foundation	\$240
Salvadoran American Leadership and Educational Fund	\$240
CATHOLIC CHARITIES OF LOS ANGELES	\$225
LEGAL AID FOUNDATION OF LOS ANGELES	\$208
JEWISH GRADUATE STUDENT INITIATIVE INC	\$206
ALPHA YOUTH AND FAMILY CENTER INC	\$200
IMMACULATE HEART HIGH SCHOOL	\$200
Israel Emergency Alliance	\$200
IOLA FOUNDATION	\$150
Mercy For Animals	\$150
The UCLA Foundation	\$150
Lambda Literary	\$140
OPERATION USA	\$140
IMMACULATE HEART COMMUNITY	\$103
Entertainment Industry Foundation	\$100
FREEFROM	\$100
LAGRANT FOUNDATION	\$100
LOS ANGELES S P C A	\$100
Occidental College	\$100
ST FRANCIS CENTER	\$100
Los Angeles Opera Company	\$75
People Assisting the Homeless	\$50
A PLACE CALLED HOME	\$45

Name of Charitable Organization	Amount
JUVENILE DIABETES RESEARCH FOUNDATION INTERNATIONAL	\$40
Last Chance for Animals	\$25
A Community of Friends	\$20
Autism Speaks, California (Central)	\$20
United Way of Greater Los Angeles, Inc Pathways Out of Poverty Fund	\$20
KITTY BUNGALOW	\$10
Grand Total	\$3,357,264

Exhibit 2

J.P. Morgan Global Supplier Diversity 2021

GLOBAL SUPPLIER DIVERSITY

2021



“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
Head of Corporate & Site Services
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

JPMorgan Chase is committed to developing and engaging with certified and qualified diverse businesses. Our supplier diversity mission is comprised of three pillars: 1) Increase diversity within the JPMorgan Chase supply chain; 2) Create a supply chain that mirrors our customers’ changing demographics; and 3) 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.

In 2020, JPMorgan Chase committed an additional \$30 billion over the next five years to advance racial equity. The firm will harness its expertise in business, policy and philanthropy to address the key drivers of the racial wealth divide, reduce systemic racism against Black and Latinx people, and support employees. Of the \$30 billion, JPMorgan Chase has pledged to grow Black- and Latinx-owned businesses through business lending, coaching, technical assistance and capital; and spend an additional \$750 million with Black and Latinx suppliers.

The firm’s commitment to engaging diverse suppliers is evident in many aspects of our supply chain; from design, engineering, construction, furniture, maintaining our banking branches and offices, staffing to manufacturing credit cards, operating call centers, marketing our products and services, collecting 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 historically underrepresented groups, including:

- 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)

Global Supplier Diversity

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.

EXTERNAL PARTNER ORGANIZATIONS

We partner with several organizations and their regional (or local) affiliates for support to execute on our supplier diversity objectives, including third-party 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
- Disability:IN
- 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 supporting our program, as well as networking directly with diverse business owners.

SUPPLIER DIVERSITY AND STRATEGIC SOURCING PROCESS

Supplier Diversity criteria is integrated into the strategic sourcing process. We strive to achieve the optimal combination of service, quality and price for the products and services purchased through our procurement organization. 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 Supplier Diversity involvement in every step of the sourcing process. 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

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:

- 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 (LGBT)
- Disability-Owned Business Enterprise (DOBE)
- Small Business Enterprise (SBE)

We provide external indirect reports on a quarterly basis.

TIER 2 PROGRAM

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.

EDUCATION & DEVELOPMENT

An important component of the Global Supplier Diversity program is the education and development of diverse entrepreneurs. Both internally and through our relationships with external partners, such as the Women’s Business Enterprise National Council and the National Minority Supplier Development Council, we host, sponsor and participate in educational events for entrepreneurs from historically underrepresented groups. In addition, partner with business schools and other organizations to provide tactical and executive level education to diverse business owners.

ACCOMPLISHMENTS

In 2020, JPMorgan Chase celebrated the 27th anniversary of the Global Supplier Diversity program. Since 2015 JPMorgan Chase has spent ~\$11 billion dollars with diverse suppliers.

2020 Diverse Supplier Spend



AWARDS

- 2020 **LGBTQ100** ESG Index - JPMorgan Chase included as one of the top 100 companies that Advance Equality for the LGBTQ community in Corporate America
- 2020 NBIC Best-of-the-Best Corporation for Inclusion- **National Business Inclusion Consortium (NBIC)**
- JPMorgan Chase was named a 2020 **Military-Friendly®** Corporation for Supplier Diversity
- **US Pan Asian American Chamber of Commerce** named JPMorgan Chase one of its Top 35 Corporation Stars 2020.
- Global Supplier Diversity team named 2020 All-Stars of Supplier Diversity by **Minority Business News USA**
- **Hispanic Network Magazine** named JPMorgan Chase to their 2020 Best of the Best lists - Top Employers; Top Supplier Diversity Programs; and Top LGBTQ+ Friendly Companies
- James Cava and Robyn Romano (GRE), Corporate Buyers of the Year, **Women’s Enterprise Magazine**
- Jill Davis, 2020 Top 25 Women in in Power Impacting Diversity, **Diversity Plus Magazine**
- 2020 Best of the Best Top Disability-Friendly Companies, **DiversAbility Magazine**.
- World Procurement Awards 2019 - Global Supplier Diversity Award
- 100% Rating in Corporate Equality Index” (for 18 years)- Human Rights Campaign

For additional information on our Supplier Diversity Program, visit our website www.jpmorganchase.com/supplierdiversity or contact us at supplier.diversity@jpmchase.com.

Exhibit 3

J.P. Morgan Response to Question #5

JPMorgan Chase & Co. and/or its subsidiaries (collectively, the “Firm”) are defendants or putative defendants in numerous legal proceedings, including private civil litigations and regulatory/government investigations. The litigations range from individual actions involving a single plaintiff to class action lawsuits with potentially millions of class members. Investigations involve both formal and informal proceedings, by both governmental agencies and self-regulatory organizations. These legal proceedings are at varying stages of adjudication, arbitration or investigation, and involve each of the Firm’s lines of business and geographies and a wide variety of claims (including common law tort and contract claims and statutory antitrust, securities and consumer protection claims), some of which present novel legal theories. Based on current knowledge, the Firm believes it has asserted meritorious defenses to the claims asserted against it in its currently outstanding legal proceedings, intends to defend itself vigorously in all such matters and does not believe that any pending legal proceeding would have a material effect on the Firm’s performance of underwriting services. For further discussion, please refer to JPMorgan Chase & Co.’s publicly-filed disclosures, including its most recent Annual Report on Form 10-K and Quarterly Reports on Form 10-Q filed with the U.S. Securities and Exchange Commission (available at: <http://investor.shareholder.com/jpmorganchase/sec.cfm>).