

**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 California 90067
Street Address City State Zip Code
Pedro Ramos, Vice President
Contact Person Name and Title
310-201-7871 pedro.a.ramos@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 X 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 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.

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.

Pedro Ramos, Vice President  August 12, 2014
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 Community Of Friends	Housing	\$45,000
Abode Communities	Housing	\$5,000
African American Unity Center Inc	Minority Empowerment	\$10,000
Alliance For A Better Community	Other	\$5,000
America Scores LA	Education & Literacy	\$20,000
Armand Hammer Museum Of Art And Cultural Center	Arts & Culture	\$15,000
Asia Society	Arts & Culture	\$600
Asian Americans Advancing Justice Los Angeles	Legal Services/Justice	\$10,000
Autry National Center Of The American West	Arts & Culture	\$35,000
Bishop Mora Salesian High School	Other	\$2,000
California Community Economic Development Association	Community Development	\$40,000
California Community Foundation	Other	\$225,000
California Council On Economic Education	Other	\$25,000
California Science Center Foundation	Other	\$10,000
Catholic Charities Of Los Angeles	Other	\$10,000
Center Theatre Group Of Los Angeles	Education & Literacy	\$110,000
Cesar Chavez Foundation	Other	\$5,000
Childrens Institute Inc	Other	\$5,000
City Year Inc	Education & Literacy	\$200,000
Coachart Org	Other	\$10,000
Coalition For Responsible Community Development	Community Development	\$85,000
Community Partners	Financial Services	\$55,000
Covenant House California	Other	\$25,000
East LA Community Corporation	Community Development	\$350,000
Geffen Playhouse Inc	Education & Literacy	\$75,000
Goodwill Industries Of Southern California	Employment	\$125,000
Hispanas Organized For Political Equality-California	Human Rights & Pubic Advocacy	\$5,000
Hollywood Community Housing Corporation	Housing	\$39,500
I Am Giving Foundation	Education & Literacy	\$202,500
Inner-City Arts	Education & Literacy	\$47,000
J Paul Getty Trust	Arts & Culture	\$25,000
Jewish Federation Council Of Greater Los Angeles	Housing	\$9,000
Junior Achievement Of Southern Ca	Education & Literacy	\$10,750
LA's Best	Education & Literacy	\$125,000

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Name of Charitable Organization	Type	Amount (\$)
LABC Institute	Community Development	\$150,000
LA's Promise	Other	\$5,000
Legacy LA Youth Development Corporation	Employment	\$35,000
Local 47 Musicians Foundation	Other	\$2,500
Local Initiatives Support Corporation	Economic Development	\$100,000
Los Angeles Area Chamber Of Commerce Foundation	Employment	\$300,000
Los Angeles Brotherhood Crusade - Black United Fund Inc	Employment	\$75,000
Los Angeles City College Foundation	Education & Literacy	\$155,000
Los Angeles Cleantech Incubator	Economic Development	\$200,000
Los Angeles Conservancy	Other	\$10,000
Los Angeles Conservation Corps	Employment	\$275,000
Los Angeles County Museum Of Natural History Foundation	Education & Literacy	\$230,000
Los Angeles Education Partnership	Education & Literacy	\$125,000
Los Angeles Philharmonic Association	Arts & Culture	\$100,000
Los Angeles River Revitalization Corporation	Other	\$107,500
Los Angeles Sports & Entertainment Commission	Other	\$5,000
Los Angeles Urban League	Economic Development	\$50,000
LTSC Community Development Corporation	Housing	\$75,000
Museum Associates	Arts & Culture	\$25,000
National Association Of Latino Elected Officials - Educational Fund	Human Rights & Pubic Advocacy	\$60,000
Neighborhood Housing Services Of Los Angeles County	Housing	\$225,000
Operation Hope Inc	Disaster Relief	\$450,000
Pacific Asian Consortium In Employment	Employment	\$50,000
Pacific Coast Regional Urban Small Business Development Corporation	Economic Development	\$35,000
Partnership For Los Angeles Schools	Education & Literacy	\$135,000
People Assisting The Homeless	Homelessness	\$25,000
Performing Arts Center Of Los Angeles County	Education & Literacy	\$100,000
Plaza De Cultura Y Arte Foundation	Arts & Culture	\$25,000
Proyecto Pastoral	Education & Literacy	\$50,000
Reaching Out MBA, Inc	Other	\$1,275
Skid Row Housing Trust	Housing	\$35,000
Southern California Association Of Non-Profit Housing Inc	Housing	\$25,000
Streetlights Production Assistant Program	Employment	\$60,000
Take Action Hollywood	Other	\$25,000

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Name of Charitable Organization	Type	Amount (\$)
Telacu Education Foundation	Education & Literacy	\$50,000
The Dodgers Dream Foundation Inc	Other	\$5,000
The @Open Field Foundation	Financial Services	\$200,000
United Friends Of The Children	Other	\$25,000
United States Veterans Initiative (U.S.Vets)	Veterans & Military Families	\$100,000
United Way Of Greater Los Angeles	Homelessness	\$320,000
University Of Southern California	Other	\$36,000
Urban Media Foundation	Other	\$25,000
US-Japan Council	Human Rights & Pubic Advocacy	\$945,000
Variety The Children's Charity Of Southern California Tent 25	Other	\$750
Vermont-Slauson LDC Inc	Economic Development	\$25,000
West Angeles Community Development Corporation	Community Development	\$50,000
Young Womens Christian Association Of Greater Los Angeles California	Community Development	\$100,000
Total Monetary Donations (81 Organizations)		\$7,174,375

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.

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 celebrates the 20th anniversary of the Supplier Diversity program in 2014
- For the last 6 years, we continue to maintain over \$1 billion in spend with diverse suppliers
- 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
- Hispanic Executive Magazine named Jacqueline Rosa one of the "Top 10 Lideres" in their Fall 2013 issue
- 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.
- Was recognized as part of the 2012 Million Dollar Club by the United States Hispanic Chamber of Commerce for spending \$100-250 million dollars with Hispanic owned suppliers.
- 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.
- 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)
- Black EOE Journal (The Employment & Entrepreneur Magazine) acknowledged JPMorgan Chase in its 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.
- 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.
- 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.

Supplier Diversity Certification Requirements

- JPMorgan Chase defines "Diverse Suppliers" as minority and women-owned business enterprises ("M/WBE"), 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.
- Visit www.jpmorganchase.com/supplierdiversity for additional information.

Supplier Diversity Program

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 location 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); LGBTE (Lesbian Gay Bisexual Transgender Owned Business Enterprises); and DOBE (Disabled Owned Business Enterprises). Internally, we report monthly spend with diverse and minority owned businesses. We provide external indirect reports on a quarterly basis.

Supplier Diversity Program

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 Minority Supplier Development Council
- U.S. Hispanic Chamber of Commerce
- National Veteran-Owned Business Association
- U.S. Pan Asian American Chamber of Commerce
- Women's Business Enterprise National Council
- National Gay and Lesbian Chamber of Commerce
- The Financial Services Roundtable

Subcontracting Plan for Fort Worth Transportation Authority

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 with Fort Worth Transportation Authority 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