

**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 Capital Inc.			
Name of Financial Institution			
745 7th Avenue	New York	NY	10019
Street Address	City	State	Zip Code
Michael Fleishman, Director			
Contact Person Name and Title			
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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? _____
 - 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.

Michael Fleishman, Director		6/16/2016
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**



Commitment to Supplier Diversity

Barclays is committed to 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 Global Sourcing and Supplier Management function supports and leads the firm's efforts to foster diversity in our supply chain. Supplier Diversity, as one of our core Citizenship functions, demonstrates our commitment to inclusive and responsible procurement.

We engage diverse suppliers – minority/multicultural- and women-owned businesses, small- and medium-sized enterprises, lesbian, gay, bisexual, transgender enterprises, veteran- and service-disabled veteran businesses, businesses owned by persons with disabilities, providing an equal opportunity to compete and do business with Barclays, wherever in the world we do business, incorporating key characteristics that ensure fairness and inclusion in the procurement process

- '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 with leading national and international supplier diversity advocacy organizations, such as, the National Minority Supplier Development Council, Women's Business Enterprise National Council and WEConnect International, Barclays plays an active role in promoting the development and utilization 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 diverse suppliers in opportunities to compete for its business.



Vivienne Grafton
Global Head, CRES and GSSM
Barclays

About Barclays Global Supplier Diversity

What We Believe

As part of The Barclays Values - *How We Do Business*, Supplier Diversity is one way we demonstrate our commitment to a responsible and inclusive procurement process.

We believe the best and most responsible, inclusive supply chain model offering the greatest corporate and community value is one that:

- Attracts the best and most diverse entrepreneurial minds, management teams and business models wherever in the world we do business, eliminating the barriers-to-access for best-in-class B2B entrepreneurs
- Supports the growth and development of privately-held ventures by helping founders/managers gain access to capital, managerial development resources and market opportunities
- Recognises innovation as a driver of operational efficiencies, lowest total cost of ownership and incremental revenue growth through new or enhanced products
- Adapts to regional regulations, norms and customs while meeting corporate values, goals and objectives
- Extends our corporate values of environment and societal stewardship to those in our supply chain

Our Structure

Barclays Supplier Diversity began in South Africa during the country's transition period and expanded to our UK and US operations in 2013, establishing a Global Head of Supplier Diversity function. The Global Head of Supplier Diversity reports into the Chief Procurement Officer through its Supplier Risk Management function -- providing cross-functional, cross-business unit supply chain access for diverse suppliers interested in providing goods and services across the range of third-party Barclays tenders.

How We're Driving Spend with Diverse Suppliers

As part of the Barclays Global Supplier Diversity Strategic Plan, we're currently implementing the following key programmes to drive incremental spending with diverse suppliers:

1. **Supplier Market Access Programme** – 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 our strategic sourcing colleagues in Singapore, London and New York. We have joined regional and international NGO B2B diverse supplier certifying bodies such as
 - Women's Enterprise Connect International (WeConnect Int'l) – actively engaged with its affiliates in the UK and South Africa
 - Minority Supplier Development – UK (MSDUK)
 - National Minority Supplier Development Council (NMSDC) - US
 - Women's Business Enterprise National Council (WBENC) - US

We're building a proprietary database of diverse suppliers gathered from Barclays hosted or sponsored activities, including incubator and accelerator programmes underwritten by Barclays, to attract start-up, micro and SME businesses as potential suppliers

We aggregate Barclays request for proposals, pre-screen diverse suppliers from these sources and match them with those responsible for leading the respective strategic sourcing process for the given products/services.

Not only do we engage diverse suppliers in traditional back- and middle-office goods and services - areas such as technology programming, consulting, leadership and development and staffing, we also include diverse suppliers in the delivery of front-office goods and services such as broker-dealer services -- as was recently accomplished on a \$2.2bn Barclays bond deal (see Deal Summary below).

In 2015, our goal is to spend 6% of global spend with diverse suppliers. Preliminary full year data shows performance at 6.9% of global spend with diverse suppliers.

2. **Supplier Development Programme** – 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. We're also developing a mentoring programme for those not yet doing business with us that may need additional preparation to be considered candidates in the future.
3. **Banking Access Programme** – 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 Programme, our Supplier Diversity and our banking colleagues are collaborating to develop content and provide financial services and knowledge-transfer to diverse suppliers -- allowing them to better position themselves to manage and acquire capital to fuel their growth.

The culmination of these three programmes resulted in our inaugural Supplier Diversity Day in the Fall of 2014 in London. Nearly 100 diverse suppliers, mostly from the UK and some from the US, were invited to our company headquarters for in-person and video matchmakers with our strategic sourcing professionals in the UK, US and Singapore. We also delivered two sets of Master Classes under the theme "From Micro to IPO – Financial and Legal matters for the Growth Venture" designed to deliver banking and legal expertise to diverse suppliers.

In 2015, we expanded the Supplier Diversity Day event to Johannesburg, South Africa and New York City, each with nearly 100 diverse suppliers being evaluated for potential business opportunities with Barclays as a supplier and participating in Master Classes from our business and investment bankers.

By focussing on Supplier Diversity in this manner, we believe that Barclays will demonstrate responsible and inclusive procurement behaviours that differentiate us from competitors, demonstrates our Citizenship, enhances our Brand and wins favour from our shareholders, stakeholders and the diversity-conscious market as the 'Go-To' Bank.

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, Lebenthal 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.”

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

Name of Charitable Organization	Type	Amount (\$)	Year
Children's Bureau of Southern California	Children & Youth Development	\$ 5,000.00	2016
The UCLA Foundation	Education & Literacy	\$ 5,000.00	2015
Children's Bureau of Southern California	Children & Youth Development	\$ 5,000.00	2015
Cedar Sinai Medical Center	Healthcare - General	\$ 5,000.00	2015
Cedars-Sinai Medical Center	Healthcare - General	\$ 5,000.00	2014
The Tyra Banks TZONE Foundation	Children & Youth Development	\$ 500.00	2014
Children's Bureau	Children & Youth Development	\$ 5,000.00	2014
CoachArt	Arts & Culture	\$ 2,500.00	2014
Grand Performances	Arts & Culture	\$ 1,000.00	2013
Children's Bureau	Children & Youth Development	\$ 3,000.00	2013
University of Southern California	Education & Literacy	\$ 6,000.00	2013
Children's Bureau	Children & Youth Development	\$ 2,500.00	2012
The Harold Robinson Foundation	Children & Youth Development	\$ 1,000.00	2012
Mexican American Bar Foundation	Minority Empowerment	\$ 1,000.00	2012
City of Hope National Medical Center	Healthcare - General	\$ 6,000.00	2012
Cedars-Sinai Medical Center	Healthcare - General	\$ 5,000.00	2011
Children's Bureau	Children & Youth Development	\$ 2,500.00	2011
Epilepsy Foundation of Greater Los Angeles	Healthcare - General	\$ 1,000.00	2011
BET Tzedek	Legal Services/Justice	\$ 2,000.00	2011
Math for America - Los Angeles	Education & Literacy	\$ 5,000.00	2011
City of Hope National Medical Center	Healthcare - General	\$ 3,100.00	2011
Good Shepherd Center for Homeless Women	Homelessness	\$ 6,000.00	2010
Cedars-Sinai Medical Center	Healthcare - General	\$ 5,000.00	2010
Bet Tzedek	Legal Services/Justice	\$ 5,000.00	2010
Children's Bureau	Children & Youth Development	\$ 2,500.00	2010
Cedars-Sinai Medical Center	Healthcare - General	\$ 7,500.00	2010
Bet Tzedek	Legal Services/Justice	\$ 5,000.00	2010
Epilepsy Foundation of Greater Los Angeles	Healthcare - General	\$ 1,000.00	2010
Los Angeles County Museum of Art	Arts & Culture	\$ 5,000.00	2010
The UCLA Foundation	Education & Literacy	\$ 5,000.00	2010