

**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 1<sup>st</sup> 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	New York	New York	10019
745 7th Avenue	City	State	Zip Code
Street Address			
Katherine Lee, Director			
Contact Person Name and Title	katherine.lee@barclays.com		
(212) 526-0928	Email Address		
Telephone No.			

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.

Katherine Lee, Director		6/28/2017
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

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

Name of Charitable Organization	Type	Amount (\$)
Children's Bureau of Southern California	Children & Youth Development	\$ 2,500.00
The Harold Robinson Foundation	Children & Youth Development	\$ 1,000.00
Mexican American Bar Foundation	Minority Empowerment	\$ 1,000.00
City Of Hope	Cancer/Aids/Other Diseases	\$ 6,000.00
Grand Performances	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
Cedars-Sinai Medical Center	Healthcare - General	\$ 5,000.00
The Tyra Banks TZONE Foundation	Children & Youth Development	\$ 500.00
Children's Bureau of Southern California	Children & Youth Development	\$ 5,000.00
CoachArt	Arts & Culture	\$ 2,500.00
The UCLA Foundation	Education & Literacy	\$ 5,000.00
Children's Bureau of Southern California	Children & Youth Development	\$ 5,000.00
Cedars-Sinai Medical Center	Healthcare - General	\$ 5,000.00
Children's Bureau of Southern California	Children & Youth Development	\$ 5,000.00
The Art of Elysium	Arts & Culture	\$ 2,500.00
Cedars-Sinai Medical Center	Healthcare - General	\$ 5,000.00
Children's Bureau of Southern California	Children & Youth Development	\$ 5,000.00
Coro Southern California	Education & Literacy	\$ 5,000.00