

**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:

Fidelity Capital Markets, a division of National Financial Services LLC			
Name of Financial Institution			
100 California Street, Suite 1100	San Francisco	CA	94111
Street Address			
Debra Saunders	City	State	Zip Code
Contact Person Name and Title			
415.445.6976	debra.saunders@fmr.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.

Debra Saunders, Vice President		6/16/2017
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**

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

Name of Charitable Organization	Type	Amount (\$)
LA Giving Circle Board - 2015	Financial Services	\$1,500
John O'Connor Event	Other	\$450
LA Giving Circle 2016	Financial Services	\$1,500
GlobeChat Launch Event Sponsorship	Technology	\$2,500
Ellevate Breakfast	Women Empowerment	\$500
Council of Black Administrators	Education & Literacy	\$850
The LA Lawyers Phil	Arts & Culture	\$150
Esteban Disney Concert Hall Client Appreciation 2016	Arts & Culture	\$888
Los Angeles Lawyers Philharmonic & Legal Voices	Arts & Culture	\$600
		\$8,938

June 20, 2017

Judith Daco
Debt Manager
Finance & Risk Control Division
Los Angeles Department of Water & Power
111 N Hope Street, Room 465
Los Angeles, CA 90012
Tel.: (213) 367-3132
Email: judith.daco@ladwp.com

Re: Ordinance No. 182138 -- Fidelity Corporate Citizenship in Los Angeles

Dear Ms. Daco,

Please see below for our internal policy regarding the utilization of subcontractors which are designated as "women-owned", "minority owned" or "disabled" business enterprises.

Fidelity recognizes the value of minority- and women-owned business enterprises. We do our best to embrace them when engaging suppliers, subcontracting relationships (when Fidelity has the latitude to do so), and when that enterprise is capable of delivering the specific products, services, and expertise that Fidelity and its clients require. Fidelity tracks spending with over 600 suppliers certified across 8 classifications and can report the spending on a quarterly basis. Additionally, Fidelity has recently joined the NGLCC (National Gay and Lesbian Chamber of Commerce) as a sponsoring partner to better develop relationships and partnerships with LGBT suppliers.

If requested by the client, Fidelity can provide statistics regarding the volume of business conducted with enterprises with a diversity certification. However, Fidelity does not actively manage a supplier diversity goal for Tier 1 or Tier 2 suppliers, and therefore, would not be able to meet the target goals (if asked) of overall estimated expenditures.

Please feel free to contact me should you have any questions or require any additional information.

Sincerely,



Debra Saunders, Vice President, Public Finance, Fidelity Capital Markets
100 California Street San Francisco, CA 94111
O: (415) 445-6976, F: (508) 263-1242 Email: debra.saunders@fmr.com