

**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 Street, 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		

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.

Will Frymann, Executive Director		06/23/17
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 (\$)
100 BLACK MEN OF LOS ANGELES INC	Minority Empowerment	15,400
A Community of Friends	Housing	60,000
A PLACE CALLED HOME	Children & Youth Development	2,100
Advancement Project	Human Rights & Pubic Advocacy	250
Affordable Living for the Aging	Housing	75,100
AFRICAN AMERICAN UNITY CENTER INC	Other	25,000
ALLIANCE FOR CHILDRENS RIGHTS	Children & Youth Development	10
America SCORES LA	Other	15,650
American Film Institute Inc	Arts & Culture	1,000
AMERICAN HEART ASSOCIATION INC - GREATER LOS ANGELES DIVISION	Cancer/Aids/Other Diseases	50
AMERICAS FALLEN HEROES FUND	Veterans & Military Families	48
Armand Hammer Museum of Art and Cultural Center Inc	Arts & Culture	10,000
ARTHRITIS FOUNDATION INC	Cancer/Aids/Other Diseases	765
Asian Americans Advancing Justice Los Angeles	Legal Services/Justice	10,000
Asian Pacific Islander Small Business Program Incorporated	Economic Development	5,500
BEIT TSHUVAH	Faith-Based	36
BLACK BUSINESS ASSOCIATION OF LOS ANGELES	Economic Development	3,500
BRADY CENTER TO PREVENT GUN VIOLENCE	Human Rights & Pubic Advocacy	15,000
CALIFORNIA SCIENCE CENTER FOUNDATION	Education & Literacy	300
CATHOLIC CHARITIES OF LOS ANGELES	Faith-Based	900
Catholic Community Foundation of Los Angeles	Faith-Based	5,000
Center Theatre Group of Los Angeles	Employment	125,000
CHARLIE FOUNDATION TO HELP CURE PEDIATRIC EPILEPSY	Cancer/Aids/Other Diseases	230
CHILDRENS HOSPITAL OF LOS ANGELES	Healthcare - General	15,795
City Year Inc	Education & Literacy	25,000
CoachArt Org	Arts & Culture	50,000
Coalition for Responsible Community Development	Employment	100,000
Communities In Schools of Los Angeles	Education & Literacy	5,000
Community Coalition for Substance Abuse Prevention & Treatment	Cancer/Aids/Other Diseases	2,500
Corporation for Supportive Housing	Housing	1,500
Directors Guild of America Foundation	Arts & Culture	3,000
DOWNTOWN WOMENS CENTER	Homelessness	2,635
DREAM CENTER FOUNDATION A CALIFORNIA NON PROFIT CORPORATION	Homelessness	1,340
East LA Community Corporation	Economic Development	131,500
Economic Development Corporation of Los Angeles	Economic Development	10,000
EDWARD CHARLES FOUNDATION	Other	25,000
EL SERMON DEL MONTE DE LAS ASAMBLEAS DE DIOS	Faith-Based	1,000
EmpowHer Institute Inc	Women Empowerment	3,500
Enterprise Community Partners Inc	Housing	225,000
Entertainment Industry Foundation	Other	50
Food Finders Inc	Hungar - Food	40
FULFILLMENT FUND	Education & Literacy	1,400
Gay & Lesbian Alliance Against Defamation Inc (GLAAD)	Human Rights & Pubic Advocacy	300
Genesis LA Economic Growth Corporation	Housing	100,000
GONZALEZ FAMILY FOUNDATION	Other	2,500
Greater Los Angeles African American Chamber of Commerce	Economic Development	15,000
HEART OF LOS ANGELES YOUTH INC	Children & Youth Development	50
Homeboy Industries	Children & Youth Development	50
HUNTINGTON MEDICAL RESEARCH INSTITUTES	Healthcare - General	125
Inner-City Arts	Arts & Culture	10,200
International Medical Corps	Disaster Relief	168,360
ISRAEL EMERGENCY ALLIANCE	Other	530
J Paul Getty Trust	Arts & Culture	50,000
JDRF International	Cancer/Aids/Other Diseases	2,395
JEWISH FAMILY SERVICE OF LOS ANGELES	Faith-Based	1,200
Jewish Vocational Service	Employment	75,000
Korean Churches for Community Development	Housing	3,000
Koreatown Youth and Community Center Inc	Financial Services	50,000
L A FAMILY HOUSING	Housing	3,000
L A FAMILY HOUSING CORPORATION	Housing	2,500
LA s Best	Education & Literacy	10,000
L. A. Family Housing Corporation	Housing	5,000
LABC Institute	Economic Development	125,000
LANGE FOUNDATION	Animal Rights	1,000

LAS PROMISE	Education & Literacy	15,000
Last Chance for Animals	Animal Rights	286
Latino Business Chamber of Greater Los Angeles Foundation Inc	Economic Development	10,000
Latino Theater Company	Arts & Culture	5,000
LIFT Inc	Financial Services	100,000
Local Initiatives Support Corporation	Financial Services	2,500
Los Angeles Area Chamber of Commerce Foundation	Employment	155,000
LOS ANGELES BROTHERHOOD CRUSADE - BLACK UNITED FUND INC	Employment	166,540
LOS ANGELES CENTER FOR LAW AND JUSTICE	Immigrants & Refugees	3,000
LOS ANGELES CITY COLLEGE FOUNDATION	Employment	250,000
Los Angeles Cleantech Incubator	Minority Empowerment	200,000
Los Angeles Conservancy	Arts & Culture	20,200
Los Angeles Conservation Corps	Environment	3,000
Los Angeles County Museum of Natural History Foundation	Employment	125,000
Los Angeles Philharmonic Association	Employment	134,940
Los Angeles Police Foundation	Other	5,000
LOS ANGELES RIVER REVITALIZATION CORPORATION	Environment	50,000
LOS ANGELES SPORTS & ENTERTAINMENT COMMISSION	Arts & Culture	5,000
Los Angeles Urban League	Minority Empowerment	25,000
LTSC Community Development Corporation	Financial Services	90,000
MAKE-A-WISH FOUNDATION OF GREATER LOS ANGELES	Cancer/Aids/Other Diseases	17,027
Mazon Inc A Jewish Response To Hunger	Faith-Based	344
Mercy For Animals	Animal Rights	175
Mexican American Legal Defense and Educational Fund	Legal Services/Justice	1,275
Mexican American Opportunity Foundation	Financial Services	100,000
Mothers Against Drunk Driving	Other	115
MUSEUM ASSOCIATES	Arts & Culture	100
MUSIC CENTER FOUNDATION	Arts & Culture	50
NATIONAL ASSN OF LATINO ELECTED OFFICIALS NALEO EDUCATION FUND	Education & Literacy	85,000
NATIONAL IMMIGRATION LAW CENTER	Immigrants & Refugees	1,000
Neighborhood Housing Services of Los Angeles County	Housing	100,000
NEW SCHOOL FOR CHILD DEVELOPMENT A NON-PROFIT CORP	Other	6,000
ORANGUTAN FOUNDATION INTERNATIONAL	Animal Rights	320
Pacific Coast Regional Urban Small Business Development Corporation	Economic Development	100,000
PATH Ventures	Homelessness	5,000
PEOPLE ASSISTING THE HOMELESS	Homelessness	750
Performing Arts Center of Los Angeles County	Employment	135,000
Petersen Automotive Museum	Arts & Culture	2,000
PLANNED PARENTHOOD LOS ANGELES	Healthcare - General	2,982
PUBLIC COUNSEL	Legal Services/Justice	2,500
REASON FOUNDATION	Other	75
REGENTS UNIVERSITY OF CALIFORNIA LOS ANGELES	Other	10,000
Salvadoran American Leadership and Educational Fund	Other	5,000
Shalom Center for T R E E of Life Therapy Research Education &	Faith-Based	6,000
SIMON WIESENTHAL CENTER	Faith-Based	25,072
SOCIAL IMPACT FUND	Community Development	25,000
Social Justice Learning Institute Inc	Minority Empowerment	131,222
SOUTHERN CALIFORNIA ASSOCIATION OF NON-PROFIT HOUSING INC	Housing	26,500
Southern California Center for Nonprofit Management	Other	525
Southern California Grantmakers	Other	18,000
ST ANNES MATERNITY HOME	Faith-Based	830
ST FRANCIS CENTER	Faith-Based	500
Step Up Womens Network	Women Empowerment	3,000
Susan G Komen Breast Cancer Foundation	Cancer/Aids/Other Diseases	30
TELACU EDUCATION FOUNDATION	Employment	60,000
THE CHRYSALIS CENTER	Homelessness	325
The Dodgers Dream Foundation Inc	Other	100
THE LOS ANGELES CHAMBER ORCHESTRA SOCIETY INC	Arts & Culture	500
THE MIDNIGHT MISSION	Homelessness	100
THE TYRA BANKS TZONE FOUNDATION	Women Empowerment	46
Union Rescue Mission	Homelessness	700
United States Veterans Initiative	Veterans & Military Families	1,090
United Way Inc	Employment	280,300
United Way of Greater Los Angeles, Inc Pathways Out of Poverty Fund	Housing	1,952
University of Southern California	Other	377,950
Verbum Dei High School	Education & Literacy	1,000
WEINGART CENTER ASSOCIATION	Homelessness	8,000

West Angeles Community Development Corporation	Financial Services	105,000
Women in Non Traditional Employment Roles	Employment	75,000
WORLD TRADE CENTER ASSOCIATION LOS ANGELES-LONG BEACH	Economic Development	230,000
Young Mens Christian Association of Metropolitan Los Angeles	Children & Youth Development	25
Young Womens Christian Association of Greater Los Angeles California	Employment	100,000
Youth Policy Institute Inc	Financial Services	100,000
Total Monetary Organizations (137 Organizations)		5,119,255

Global Supplier Diversity Program

“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. We look forward to a healthy exchange of ideas, products and services in the years to come.”

Ken Litton

Chief Procurement Officer, 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.

Supplier Diversity Program Mission

Through JPMorgan Chase’s supplier diversity initiatives, the firm is committed to promoting diverse suppliers’ economic growth and development. 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. Our efforts help to build a strong and vibrant diverse supplier pipeline that creates mutually beneficial business relationships and increases shareholder value.

JPMorgan Chase’s commitment to engaging diverse suppliers is evident in many aspects of our supply chain. From designing, constructing, furnishing, staffing, and maintaining our banking branches and offices, to manufacturing credit cards, operating call centers, marketing our products and services, collecting on outstanding debt, and advocating for the firm in legal matters, diverse suppliers drive significant value and make noteworthy contributions to our continued success. With emphasis on LOB and category spend, JPMorgan Chase ensures the continual growth and expansion of our supplier diversity efforts in all aspects of commerce.

Supplier Diversity Achievements

- Over the past ten years, JPMC has spent over **\$11.7 billion dollars with diverse suppliers**
- **JPMorgan Chase spent in the US in 2016:**
 - \$670 million dollars with Minority Owned businesses
 - \$405 million dollars with Women-Owned businesses
 - \$85 million dollars with Veteran and Disable Veteran-Owned businesses
 - \$5 million dollars with LGBT-Owned Businesses
- JPMorgan Chase celebrates its **23th anniversary** of the Supplier Diversity program in 2017
- **The National Business Inclusion Consortium (NBIC)** selected JPMorgan Chase as “2016 Best-of-the-Best” – Corporation of the Year (bested top 30 corporations nominated). 1st ever winner. All diverse segments joined together and voted unanimously for JPMorgan Chase
- 100% rating, past 14 years “Corporate Equality Index” **Human Rights Campaign, 2016**
- “Top Corporation” For LGBT Economic Empowerment **Affinity Inc. Magazine, 2016**
- Top Executives named to “Champions of Supplier Diversity” **MBN USA Magazine, 2016**

Global Supplier Diversity Program

- **Diversability Magazine's** "2016 Best of the Best" for Top Disability-Friendly Companies
- **Compete Magazine's** 2016 Compete Sports Diversity Award
- **Minority Business News Magazine (MBN USA)** recognized JPMorgan Chase among the 2015 & 2016 Corporate 101: America's Most Admired Corporations for Supplier Diversity
- **The National Veteran-Owned Business Association (NaVOBA) and Entrepreneur** magazine named JPMorgan Chase among the top 10 corporations for using veteran-owned businesses for the 3rd year in a row (2014-2016)
- **WEUSA Magazine** named JPMorgan Chase, Jaime Dimon CEO, and the firm's Global Supplier Diversity program to its **2016 Top 100 Corporations list**
- **Black Enterprise** and the **Executive Leadership Council (ELC)** named JPMorgan Chase to its 2016 "50 Best Companies for Diversity." This designation focuses on all ethnic minority groups and included outreach efforts directed toward women, the disabled, veterans, and the LGBT community
- JPMorgan Chase was named to the **2016 Arizona Million Dollar Circle of Excellence (AZMDCE)** by the Arizona Hispanic Chamber of Commerce
- "Top 50 Companies for Latinas" **Latina Style, 2015**
- "40 Best Companies for Diversity" **BLACK ENTERPRISE magazine 2015**
- "Best for Vets: Employers" **Military Times EDGE, 2015**
- "Working Mother 100 Best Companies" **Working Mother magazine, 2015**
- "Best Employers for Healthy Lifestyles" **National Business Group on Health, 2015**
- "Top 100 Military Friendly Employers" **G.I. Jobs magazine, 2015**
- **The National Veteran-Owned Business Association (NaVOBA)** selected JPMorgan Chase as one of the 2015 Military Friendly Supplier Diversity Programs
- **Black Enterprise magazine** named the bank to its Top 35 Companies for 2015 Supplier Diversity list. It singled out the firm, saying it "demonstrated best practices through [its] diverse representation within [its] supply chain"
- **USBN Magazine** named JPMorgan Chase one of their 2015 "Top Companies for Supplier Diversity"
- Best Companies for Multicultural Women by **Working Mother magazine 2014**
- "Work Life Legacy Award" **Families and Work Institute, 2014**
- "Top 50 Employer List" **Careers & the DisABLED magazine, 2014**

Supplier Diversity Certification Requirements

- JPMorgan Chase defines "Diverse Suppliers" as minority and women-owned business enterprises ("MWBE"), 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 JPMorgan Chase must register via the *JPMorgan Chase Supplier Registration Portal*.
- Visit www.jpmpmorganchase.com/supplierdiversity for additional information.

Supplier Diversity and the Strategic Sourcing Process

Supplier Diversity processes are integrated into the strategic sourcing process. We partner with sourcing managers and lines of business to be involved in each step of sourcing engagements, 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.

Global Supplier Diversity Program

Management Tracking & Reporting Systems

JPMorgan Chase's robust management, tracking and reporting systems support our supplier diversity initiatives and give us a competitive advantage. First, our *eRFX system* has embedded supplier diversity rules that allow us to view upcoming procurement needs. They require the sourcing professional to identify a supplier diversity professional for the project and state whether one is being invited to compete in the eRFP. If they are not invited to compete, the reason must be identified. The supplier diversity professional works with the sourcing professional to identify qualified diverse suppliers to compete for the business and tracks whether diverse supplier(s) ultimately succeed or fail in completing the process. Our supplier diversity team deploys the eRFX system as a 'pre-qualification' tool. As we search for best-in-class diverse suppliers to compete in RFPs, we cast a wide net using a variety of resources to complement our Supplier Registration Portal database (see 'External Organizations' below). We further narrow the field of RFP contenders through a customized Supplier Diversity RFPI (Request for Preliminary Information) process, which screens according to the specific technical and business requirements for each RFP.

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

External Organizations

We partner with several organizations and their regional (or local) affiliates for support to execute on our supplier diversity objectives, including baseline certification standards. The following are examples of our largest community partner relationships:

- National Minority Supplier Development Council (NMSDC)
- Women's Business Enterprise National Council (WBENC)
- National Gay and Lesbian Chamber of Commerce (NGLCC)
- National Veteran-Owned Business Association (NaVOBA)
- Veteran and Military Business Owners Association (VAMBOA)
- National Veteran Business Development Council (NVBDC)
- U.S. Business Leadership Network (USBLN)
- U.S. Hispanic Chamber of Commerce (USHCC)
- The Latino Coalition (TLC)
- U.S. Pan Asian American Chamber of Commerce (USPAACC)

Subcontracting Plan (Second-Tier Program)

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. In addition, we introduce new diverse suppliers into our supply chain. We maintain relationships with organizations to help us achieve these goals and support organizations that promote growth and development within the diverse supplier community.

In response to this RFP, JPMorgan Chase does not anticipate subcontracting a portion of these goods or services directly to a diverse supplier. We are willing to engage in conversations 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 www.jpmorganchase.com/supplierdiversity or contact us at supplier.diversity@jpmchase.com