

**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:

UBS			
Name of Financial Institution			
1285 Avenue of the Americas	New York	New York	10019
Street Address			
	City	State	Zip Code
Jamie Sears, UBS Head of Community Affairs and Corporate Responsibility, Americas			
Contact Person Name and Title			
(212) 713-3262	jaime.sears@ubs.com		
Telephone No.			
	Email Address		

Please answer the following questions for the preceding calendar year.

- Did your firm make monetary donations to charitable programs within the City limits?
Yes No If yes, please complete the attached form.
- Did your firm provide any scholarship awards to residents of the City of Los Angeles?
Yes No
 - How many scholarships were awarded? N/A
 - What was the total value of the awarded scholarships? N/A
- 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.

Please see Attachment for Question #3

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.

Vien H. Le, Director
Print Name, Title


Signature

06/18/19
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**

UBS 2018 Charitable Donations to Los Angeles Based Organizations

Name of Organization	Amount (\$)
University of Southern California	\$18,879
BAIS YAAKOV SCHOOL FOR GIRLS	\$15,000
The UCLA Foundation	\$11,575
Baby Quest Foundation Inc	\$5,000
WINDWARD SCHOOL	\$5,000
IMAGINE LOS ANGELES INC	\$5,000
ZIMMER CHILDRENS MUSEUM	\$3,750
ENTERTAINMENT INDUSTRY FOUNDATION	\$3,550
SHALHEVET HIGH SCHOOL	\$2,700
COMPASS CHRISTIAN FELLOWSHIP	\$2,500
FIND YOUR LIGHT FOUNDATION	\$2,500
CATHOLIC CHARITIES OF LOS ANGELES	\$2,500
The People Concern OPCC & LAMP Community United	\$2,500
Union Of Sisters Of The Presentation Of The Blessed	\$2,500
HILLEL THE FOUNDATION FOR JEWISH CAMPUS LIFE	\$2,500
Friends of the IDF	\$2,500
Westcoast Sports Associates	\$2,500
AFTER-SCHOOL ALL-STARS	\$2,500
LOS ANGELES MUSEUM OF THE HOLOCAUST MARTYRS MEMORIAL	\$2,500
JEWISH FEDERATION COUNCIL OF GREATER LOS ANGELES	\$2,200
Childrens Hospital of Los Angeles	\$2,150
JEWISH BIG BROTHERS BIG SISTERS ASSOCIATION OF LOS ANGELES	\$1,550
Fulfillment Fund	\$1,525
Project Angel Food	\$1,500
TUSKEGEE AIRMEN SCHOLARSHIP FOUNDATION	\$1,500
GUARDIANS OF THE LOS ANGELES JEWISH HOME	\$1,250
John Thomas Dye School	\$1,250
WESTSIDE GUILD OF CHILDRENS HOSPITAL OF LOS ANGELES	\$1,250
CYAN GRAY HOPE FOUNDATION	\$1,150
Saban Community Clinic	\$1,125
AMERICAN HEART ASSOCIATION INC	\$1,056
ROSCOMARE SCHOOL BOOSTER CLUB	\$1,000
GARY SINISE FOUNDATION	\$1,000
WIDOWS ORPHANS & DISABLED FIREMENS FUND	\$1,000
American Red Cross Los Angeles Region	\$1,000
LITTLE TOKYO SERVICE CENTER INC	\$1,000
ARMENIAN BAR ASSOCIATION	\$1,000
CATHOLIC BIG BROTHERS BIG SISTERS INC	\$1,000
NATIONAL IMMIGRATION LAW CENTER	\$1,000
SANTA MONICA MUSEUM OF ART	\$938
AMERICAN FRIENDS OF AISH HATORAH - WESTERN REGION INC	\$750
FOSTER CARE COUNTS	\$750
ROTARY CLUB OF LOS ANGELES FOUNDATION	\$750
Asians for Miracle Marrow Matches	\$750
Immigration Center for Women and Children	\$600
UNITED IN HARMONY	\$550
END HOMELESSNESS CALIFORNIA	\$500
LOS ANGLES RAILROAD HERITAGE FOUNDATION	\$500
ST VINCENT SENIOR CITIZEN NUTRITION PROGRAM INC	\$500
TEAM PRIME TIME INC	\$400
JDRF INTERNATIONAL	\$360

UBS 2018 Charitable Donations to Los Angeles Based Organizations

Name of Organization	Amount (\$)
UNITED WAY INC	\$350
WESTSIDE JEWISH COMMUNITY CENTER INC	\$302
CALIFORNIA COMMUNITY FOUNDATION	\$300
LOS ANGELES FIRE DEPARTMENT FOUNDATION	\$300
The Mistake Room	\$262
FILM INDEPENDENT INC	\$250
Marlborough School	\$250
Occidental College	\$250
LOS ANGELES REGIONAL FOOD BANK	\$250
PLANNED PARENTHOOD LOS ANGELES	\$250
APLA Health & Wellness	\$250
Union Rescue Mission	\$250
L A S BEST	\$250
JEWISH COMMUNITY FOUN OF THE JEWISH FED COUN OF GREATER L A	\$250
Collins & Katz Family YMCA	\$250
I Have A Dream Foundation - Los Angeles	\$200
BIG BROTHERS BIG SISTERS OF GREATER LOS ANGELES INC	\$200
SIMON WIESENTHAL CENTER	\$200
BOY SCOUTS OF AMERICA	\$200
JONSSON CANCER CENTER FOUNDATION- UCLA	\$180
National MS Society	\$150
LOYOLA MARYMOUNT UNIVERSITY	\$150
GRAMMY Museum Foundation Inc.	\$125
SKIRBALL CULTURAL CENTER	\$110
Los Angeles County Museum of Art dba Museum Associates	\$110
WOMEN IN MEDIA INC	\$104
FRIENDS OF THE OBSERVATORY	\$100
Susan G Komen Breast Cancer Foundation - Los Angeles County	\$100
THE 5 GYRES INSTITUTE	\$100
JAPANESE AMERICAN NATIONAL MUSEUM	\$95
UCLA Foundation	\$75
CAMP KESEM NATIONAL	\$75
Mercy for Animals	\$52
INNER-CITY ARTS	\$51
GIRLS ON THE RUN OF LOS ANGELES COUNTY	\$50
TEAM RUBICON	\$50
BEOPLES BUDDIES ANIMAL RESCUE	\$50
Junior League of Los Angeles Inc	\$50
Curtis School Foundation	\$50
D A R E AMERICA	\$50
Grand Total	\$134,998

Although UBS does not have internal policies regarding utilization of subcontractors which are designated as "small business," "women-owned," "minority-owned," or "disabled-owned" business enterprises, as of December 31, 2018, in the United States, UBS Group AG and/or its affiliates had contracts with a total of 5,853 diverse suppliers representing over \$1 billion in annual spend, namely 4,906 small businesses, 264 minority-owned businesses, 534 women-owned businesses, and 149 disabled-owned businesses.