



**CONSUMER PROTECTION**

1. Is the financial institution currently in compliance with all applicable consumer financial protection laws?

Yes  No

If no, please briefly explain: \_\_\_\_\_

\_\_\_\_\_

2. Does the financial institution have policies to prevent the use of illegal predatory consumer adverse sales goals as the bases for evaluation, promotion, discipline or compensation of employees?

Yes  No

If no, please briefly explain: \_\_\_\_\_

\_\_\_\_\_

3. Does the financial institution encourage and maintain whistleblower protection policies for its employees and/or customers to report suspected illegal practices, including predatory sales goals?

Yes  No

If no, please briefly explain: \_\_\_\_\_

\_\_\_\_\_

4. In the last five years, has the financial institution been subject to any disciplinary actions such as fines, suspensions, or settlements, undertaken by the Securities and Exchange Commission, the Consumer Financial Protection Bureau, the Municipal Securities Regulation Board, the Financial Industry Regulatory Agency and/or any State regulatory agency?

Yes  No

5. If the answer to question no. 4 is yes, please provide in separate attachment labeled Exhibit 3, what the violation(s) are, the reason for the enforcement action, what government agencies are involved, the date of the enforcement action, what is the current status, and how were or will the issues be resolved?

TD Securities (USA) LLC has settled regulatory actions. These actions may be found on FINRA's

\_\_\_\_\_  
BrokerCheck which is derived from the Central Registration Depository (CRD), the securities industry online registration and licensing database. The FINRA BrokerCheck website can be found at: [brokercheck.finra.org](http://brokercheck.finra.org)

\_\_\_\_\_

**CERTIFICATION UNDER PENALTY OF 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.

Ken Gambone	Managing Director		06/18/2024
Print Name	Title	Signature	Date

(\*) Signature must be that of the Head of Public Finance or equivalent corporate executive.

**PLEASE SEND THE ORIGINAL SIGNED FORM TO THE ADDRESS BELOW AND EMAIL A COPY TO [CAO.DEBT@LACITY.ORG](mailto:CAO.DEBT@LACITY.ORG).**

**Office of the City Administrative Officer  
200 North Main St. Room 1500  
Los Angeles, CA 90012  
Attention: Debt Management Group**



# Supplier Information

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Learn how to become a TD supplier and explore our commitment to responsible sourcing and supplier diversity as well as how TD suppliers benefit from our centralized sourcing team and source-to-pay technology.

## Creating partnerships with suppliers



### Committed to service

From local shops to global companies, TD suppliers are partners that help us serve our customers, communities and businesses. Our centralized sourcing team supports every aspect of supplier engagement with a focus on promoting **responsible sourcing and supplier diversity**.

### Shared values

We look for suppliers that understand the regulatory nature of our business and take risk and privacy seriously. Also important are suppliers who align with **TD's Ready Commitment** in their own communities.

## Responsible sourcing and supplier diversity

We are committed to influencing strong ethical, social and environmental performance across our supply chain and diligently screen our suppliers for sustainable practices. In addition to striving for a responsible supplier network, we also seek to build a diverse one, with suppliers who share our values and demonstrate responsible practices while delivering high-quality goods and services.

### CPO Statement on Supplier Diversity

For TD, diversity and inclusion have been a strategic priority for over a decade. Today, we recognize diversity and inclusion as both a core value and a business imperative.

We have designed our North American Supplier Diversity Program to help promote a level playing field and encourage the inclusion of women, Black, Indigenous and other minorities, the LGBTQ2+ community, people with disabilities, veterans and other diverse suppliers in our procurement selection process. We are a member of various diverse supplier organizations in North America that certify a supplier's diversity credentials.

As a major purchaser, TD is committed to using our influence to drive economic inclusion across our supply chains. TD's Strategic Sourcing Group works to ensure that we have a diverse network of suppliers who deliver high-quality and appropriate goods and services. We aim to buy products and services from suppliers who share our values and demonstrate commitment to social and economic inclusion.

Our commitment to supplier diversity reflects TD's focus on contributing to more inclusive economic outcomes across the communities we serve.

Michael Schechter, Chief Procurement Officer

## TD Supplier Code of Conduct

All suppliers who conduct business and interact with us are expected to operate in accordance with the TD Supplier Code of Conduct and have guidelines, policies and/or practices in place that address the following:

- Protection of human rights
- Protection of health and safety
- Fair labor practices
- Code of conduct and ethics
- Diversity and inclusion
- Anti-bribery/anti-corruption
- Environmental sustainability
- Legal and regulatory compliance
- Privacy and confidentiality
- Accessibility

[For more information, download the TD Supplier Code of Conduct >](#)

## Supplier diversity

Our commitment to supplier diversity is a fundamental element of how we do business today and in the future—and we believe supplier diversity is a key contributor to success in the competitive global marketplace.

To be eligible for our Supplier Diversity Program, a supplier must be certified by a **diversity certification council** as any of the following:

- 51% owned and operated business from the Indigenous community
- 51% Minority-owned and operated business
- 51% Women-owned and operated business
- 51% LGBTQ2+ -owned and operated business
- 51% Owned and operated by a member of other recognized diverse communities (i.e. Persons with Disabilities, Service-Disabled Veteran-owned, Veteran etc.)

## Submit a supplier request

The first step in becoming a supplier for TD is to submit a supplier request through TD's online platform, SAP Ariba.

[Go to request form >](#)

## Diversity Certification Councils

Canadian Certification Councils	US Certification Councils
CAMSC (Canadian Aboriginal and Minority Supplier Council)	NMSDC (National Minority Supplier Diversity Council)
CGLCC (Canadian Gay and Lesbian Chamber of Commerce)	NGLCC (National Gay and Lesbian Chamber of Commerce)
WBE Canada (Women's Business Enterprise Canada)	WBENC (Women's Business Enterprise National Council)

WEConnect International (Women Enterprise Connect)	WEConnect International (Women Enterprise Connect)
CCAB (Canadian Council for Aboriginal Business)	Disability:IN (Formerly USBLN)
IWSCC (Inclusive Workplace and Supply Council of Canada)	NaVOBA (National Veteran-Owned Business Association)

Any other recognized certifying organizations (e.g. US State certifications)

**Certified B Corporations:** The TD Supplier Diversity program also supports inclusion of B Corporations in our supply chain.

## TD Purchase Order Terms and Conditions



Please download a copy of TD's Purchase Order Terms and Conditions. Applicability of Purchase Order Terms and Conditions will be indicated on your Purchase Order.

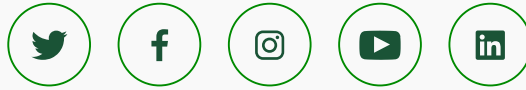
[TD Purchase Order Terms and Conditions \(as of March 22, 2021\) >](#)



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