

**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:

Barclays Capital Inc.

Name of Financial Institution

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New York NY

10019

Street Address

City

State

Zip Code

John Daniel, Managing Director

Contact Person Name and Title

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SOCIAL RESPONSIBILITY

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 X No

If yes, please complete the attached form, labeled at Exhibit 1.

2. Did your firm provide any scholarship awards to residents of the City of Los Angeles?

Yes No X

- a. How many scholarships were awarded? na
b. What was the total value of the awarded scholarships? na

3. Does your firm have internal policies regarding utilization of subcontractors which are designated as "women owned," "minority owned," or "disabled" business enterprises? Yes x No

If yes, please provide a copy of your policies, labeled as Exhibit 2

CONSUMER PROTECTION

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

Yes X 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 X 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 X 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 X 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?

Please see Exhibit 3.

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.

Robert Taylor Managing Director, Head of Municipals

Print Name

Title

Signature

Date

6/16/26

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

PLEASE EMAIL THE COMPLETED FORM TO CAO.DEBT@LACITY.ORG.

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

[illegible]

Exhibit #2

Social Responsibility Question #3

About Barclays Global Supplier Diversity

Vision

Barclays will be recognized as a global leader in supplier diversity within the financial services industry and across multinational corporations

Mission

Through Barclays Execution Services (BX), the Corporate Real Estate Services (CRES) and Procurement function houses the ESG/Global Supplier Diversity (GSD) team. The GSD team coordinates across internal Business Unit & Functional stakeholders and strategic external organizations to:

- Curate a pipeline of high potential Tier 1 diverse suppliers to compete for our third-party needs
- Maximize Tier 1 and 2 diversity outcomes in competitive tenders
- Build operational capacity, reach, learning and capital access opportunities for diverse suppliers
- Create group-wide competitive differentiation for top line growth

In doing so, we will be recognized as a global supplier diversity leader and enhance brand value through contribution to our Diversity, Equity and Inclusion (DE&I) and Environmental, Social and Governance (ESG) strategies.

Diverse Suppliers defined

For Barclays, a diverse supplier meets either Size-Diverse (using country-specific size standards for businesses) or Ownership-Diverse (businesses majority owned and controlled by women, ethnic minorities, LGBT, veterans, persons with disabilities) criteria. We've recently expanded our diverse supplier definitions to include new category – Mission-Diverse, covering social enterprises

Overview

Barclays Global Supplier Diversity is celebrating 11 years in operation, as of November 2024. The Director & Global Head of Supplier Diversity and his team provide cross-functional, cross-business unit value chain access for diverse suppliers interested in providing goods and services across the range of third-party Barclays needs. The GSD team runs the program globally from the Barclays Whippany Campus in New Jersey.

Barclays are amongst a small group of multinationals having the ability to report supplier diversity performance at a *global level in a single currency*, as measured by The Hackett Group Supplier Diversity Benchmarking Survey, 2016

How We're Driving Spend with Diverse Suppliers

The Barclays Global Supplier Diversity Strategic Plan is structured around three key programmes:

1. **Supplier Market Access Programme** – designed to capture Barclays-wide procurement opportunities matched with qualified diverse suppliers against them. The matchmaking is done physically, in strategic locations, and virtually -- with our strategic sourcing colleagues in the UK and US, and supported by regional, national and international NGO B2B diverse supplier certifying bodies such as
 - National Minority Supplier Development Council (NMSDC) – US. National corporate member and have recently held a seat on the National Board of Directors as well as a member of the Finance Committee. Current committee assignment includes membership on Global Committee, most recently holding the Chair seat

- Women's Enterprise Connect International (WeConnect Int'l) – Global. International member and actively engaged with the European affiliate
- Minority Supplier Development (MSDUK) – UK. Corporate member and former board member
- Women's Business Enterprise National Council (WBENC) – US. National corporate member and hold a seat on the National Certification Review Committee
- National LGBT Chamber of Commerce (NGLCC) – US. National corporate member. Dec 2018, hosted inaugural expansion event for the UK/Europe
- OutBritain – UK. Member as of 2023
- National Veteran Owned Business Association (NaVoba) – US. Joined in 2020. Active board member and member of finance committee
- Disability:IN – US. Joined in 2021

We're constantly adding to our database of diverse suppliers through the Barclays Supplier Marketplace. We gather new entrants from trade shows, Barclays-hosted or sponsored activities (see events below), as well as bespoke programmes including the Barclays Eagle Labs programmes designed to attract start-up, micro and SME businesses as potential suppliers.

We aggregate Barclays request for proposals, pre-screen diverse suppliers from these sources and match them with those responsible for leading the respective strategic sourcing process for the given products/services.

We engage diverse suppliers in traditional back- and middle-office goods and services -- areas such as technology platform development, staffing & consulting, HR leadership and development, construction and facilities management, for example, but also include diverse suppliers in the delivery of front-office goods and services such, as broker-dealer services on Barclays corporate bond issuances in the US.

We're leading the way at Barclays -- keeping our firm accessible to diverse suppliers with the highest and best solutions to meet our needs.

2. **Supplier Development Programme** – our primary method of developing diverse suppliers is growing our contractual relationships with them. In 2017, we achieved 7.2% with diverse suppliers, up from 5.6% in the prior year. In 2021, we achieved 8.0% with diverse suppliers globally, 8.5% in 2022, 8.5% in 2023 and in 2024, we set a record of 8.8% spend with diverse suppliers

In 2021, we launched the Global Race at Work agenda, with a focus on increasing investment in and spending with Black businesses. As a firm, we set a goal of doubling spend with black businesses globally by 2025 which we achieved one year early in 2024. We also established a goal to double spend with women businesses over that time and have achieved it two years early in 2023.

3. **Banking Access Programme** – as a global leader in financial services, we provide the financial utility for communities around the world to grow and thrive. As part of our Banking Access Programme, our Supplier Diversity and banking colleagues collaborate to develop educational content and knowledge-transfer to diverse suppliers -- allowing them to better understand how to position themselves to manage and acquire capital to fuel their growth. We deliver content to diverse suppliers during our signature events in the form of Masterclasses such as "Executing an M&A transaction", "How to execute an IPO" and "Protecting Your IP"

Access to Capital Market Leadership

We have contributed our expertise to organizations wanting to find ways of increasing capital to diverse suppliers. We've recently been successful in working with the leading NGO for minority

business development, the National Minority Supplier Development Council (NMSDC), helping it to enhance its certification standards to allow greater access to dilutive capital for certified minority business without forfeiting minority certification status, including a new path for minority businesses to become publicly-traded companies.

As an adjunct, we also introduced and sponsored the newly launched NMSDC Capital Manager's Program which aims to aggregate the world's leading capital providers – from small to large, diverse and bulge-bracket, angel groups, venture capital and private equity firms. This new capital ecosystem will issue in a new era of high-growth, well-capitalized, enterprise-ready minority businesses that will be proven to be more competitive in corporate supply chains.

During the annual NMSDC conference in October 2021, CEO C.S. Venkatakrishnan presented a \$100,000 seed sponsorship to NMSDC to anchor the new Capital Manager's Program (see picture). Joining him were L to R, Harvey Butler, Director, Global Supplier Diversity, Hans Oriol, Managing Director, Head of Procurement, Americas, Ying McGuire, President and CEO, NMSDC and Ray Dempsey, Managing Director, Group Chief Diversity Officer



These recent efforts with the NMSDC have become a watershed moment in the history of this 50 year-old organization. The most recent engagement was the inaugural Capital Manager's Program Networking Reception at the October 2024 NMSDC Conference in Atlanta, Ga. Over 150 attended representing corporate buy-side representatives, minority venture capital and private equity firms and minority businesses. Each group provided an elevator pitch to the audience before engaging in relationship building. Our expectation is relationships will evolve into strategic partnerships where deals are transacted.

A. Signature Events that tie our three key programmes together

1. **Supplier Diversity Day events** - the culmination of these three key programmes resulted in our inaugural Supplier Diversity Day in the Fall of 2014 in London. Nearly 100 diverse suppliers, from the UK and the US, were invited to our company headquarters for in-person and video matchmakers with our strategic sourcing professionals in the UK, US and Singapore. We also delivered two sets of Master Classes under the theme "From Micro to IPO – Financial and Legal matters for the Growth Venture" designed to deliver banking and legal expertise to diverse suppliers.

In the years to follow, we expanded the Supplier Diversity Day event to the US, where we attracted nearly 100 diverse suppliers for potential business opportunities, participating in Master Classes from our business and investment bankers.

In November of 2019, we delivered the Supplier Diversity Day | Open Innovation event at our headquarters in NYC. That event attracted over 60 diverse suppliers from across the country. Our focus was to direct diverse suppliers into building FinTech and Enterprise tech platforms that could solve some of our most pressing technology challenges. We issued a brochure to our partner organizations include NMSDC and WBENC, NYNJMSDC and WPEO outlining six different innovation challenges and inviting firms to submit responses to solve our challenges. Throughout the day, supplier received robust content and information sharing, as well as an opportunity to pitch their solutions and introduce their companies. A copy of our agenda is

attached. The winner of our pitch competition was Landit.com, a NYC-based minority female company.

After delivering similar events in the US and UK since 2014, in March of 2021, we launched our most ambitious effort to date – *the Supplier Diversity Showcase Series* (see below for a detailed description)

2. **Second Tier Workshop** – in the Fall of 2016, we introduced the inaugural 2nd Tier Conference, believed to be the first of its kind by a UK Corporate. We hosted 40 of our largest Prime Suppliers to our headquarters in London and educated them on Supplier Diversity, introduced them to our NGO supplier diversity partners as well as eligible diverse suppliers capable of subcontracting on Barclays work. The result of this event yielded a significant contribution that helped to offset loss in spend resulting from the removal of Barclays Africa Group performance. We replicated this event on 6 December 2018 as a global conference delivered virtually via Webex with 28 of our large prime suppliers.

As a result of our efforts, we have encouraged several of our large prime suppliers to start a supplier diversity initiative and several are reporting 2nd Tier Direct spend that adds to Barclays' overall supplier diversity results.

In 2022, we expanded the reach of our supplier diversity influence to include our clients without supplier diversity programmes. As such, we introduced the Barclays Global Supplier Diversity *Value Chain Conference*, inviting our large UK corporate clients to join our primes suppliers in understanding how Barclays approaches supplier diversity and how they can collaborate with us to expand diverse supplier opportunities in our value chain. Some of the clients are signatories to the UK Race at Work Charter but haven't yet explored how to implement a supplier diversity program to meet that portion of the charter commitment.

B. Governance

1. **SteerCo** – in 2018, we introduced a Supplier Diversity Advisory Council to help drive the supplier diversity agenda. The Council was chaired by the Chief Procurement Officer and was comprised of all direct reports. Monthly review of performance, introduction of new proposals and processes and discussion on challenges and success were held with the most senior team in Procurement. We've now advanced the governance of supplier diversity to align with our new **ESG Sustainability SteerCo**, responsible for driving the D&I, Modern Slavery and Environmental expectations to all third-parties to Barclays.
2. **Supplier Code of Conduct** – as we engage in pre-contractual and post contractual reviews with suppliers, the *Inclusive Supply Chain* standard requires their attestation that they will consider the use of diverse suppliers on Barclays work.

By focusing on Supplier Diversity in this manner, we believe that Barclays will demonstrate responsible and inclusive procurement behaviours that differentiate us from competitors.

Spotlight: Barclays Supplier Diversity Showcase Series 2021

The newest installment of the Barclays Supplier Diversity Signature Events was delivered in March and July of 2021. The two-part, Opportunity and Capability Showcase events, a first of its kind for Barclays, was designed with the premise that by defining third-party innovation and procurement demand up-front (the opportunity) the market of supplier diversity stakeholders (NGO's, capital providers, accelerators and incubators) would help Barclays crowdsource the best diverse supplier talent available in the market.

Day 1 - Opportunity Showcase

Over two days in March, the Global Supplier Diversity & Inclusion team lead a cross-business team in delivering the first in a two-part series showcasing Barclays' third party opportunities where diverse suppliers were sought to compete for business. The showcase, six months in the making, attracted 560 participants (446 live + 114 recorded content) from around the world who were either diverse supplier intermediaries, such as NGO's and capital providers, accelerators and Barclays bankers -- or were selected suppliers themselves. After the March event, nearly 700 new applicants were driven to the Barclays Supplier Marketplace [Barclays.com/supplierdiversity](https://www.barclays.com/supplierdiversity) submitting new or revised applications.

On Day #1 of the Opportunity Showcase, we presented meaningful educational and information content delivered by Barclays senior executives. Hosted by Koral Anderson, Chief Procurement Officer

Our CEO, CS Venkatakrishnan, began the conference with emphasizing the important of supplier diversity to Barclays as part of its larger ESG priorities and contribution to the economic well-being of under-represented communities.

Selling into Barclays can be challenging for a company of any size or status. The GSD&I team felt it important that the various external supplier diversity stakeholders properly size up who Barclays is, what it does and the priorities in the coming years. Various senior executives [Joe McGrath, David Kelly, Julian Davis, Ray Dempsey, Janhavi Rao, Alastair Blackwell] helped attendees understand how Barclays is structured by business and geography, what the business priorities are at Barclays UK, Barclays International and the core technology and operations services group – Barclays Execution Services.

As a market-setting precedent, we brought together the Presidents of the world's leading NGO's representing the varied groups of diverse entrepreneurs. For the first time, all 8 Presidents were together, sharing the value of their organizations and the wider supplier diversity network to our guests. The presenters were:

Stacey Key, *President and Chief Executive Officer of the Georgia Minority Supplier Development Council (GMSDC)* representing the National Minority Supplier Development Council

Pamela Eason, *President & Chief Executive Officer, Women's Business Enterprise National Council*

Charlie Wigglesworth, *Co-Chief Executive, Social Enterprise UK*

Justin Nelson, *Co-Founder and President, National Gay and Lesbian Chamber of Commerce*

Mayank Shah, *Founder and Chief Executive Officer, Minority Supplier Development UK*

Jill Houghton, *President and Chief Executive Officer, Disability:IN*

Matthew Pavelek, *President and Chief Executive Officer, National Association of Veteran Owned Businesses*

Elizabeth Vazquez, *President, Chief Executive Officer and Co-Founder, WEConnect International*

On Day #2, 17 speakers presented Barclays' third-party demand across technology, non-tech and research. It was an impressive line-up of 24 specific third-party innovation and demand opportunities that is not easily packaged and presented to third-parties – diverse suppliers or otherwise. The challenge to our supplier diversity partners was to crowdsource diverse suppliers we could consider for interviews and pitch sessions during the Capability Showcase in July.

We provided a recording to our partners to distribute to their diverse suppliers to review and submit their capabilities to the Barclays Supplier Marketplace.

Day 2 - Capability Showcase

The follow-on event attracted over 200 attendees joining the virtual three-day conference. Rich content was delivered by suppliers, external subject matter experts, Barclays colleagues and a university president.

The first day of the showcase featured presentations and insight sessions with some of Barclays' existing diverse suppliers to help diverse-owned, as well as small and local suppliers, navigate corporate supply chains.



One of the featured incumbent technology suppliers to Barclays, World Wide Technology (WWT), is the largest African-American owned business in the US. In a fireside chat, Barclays Group Chief Information Officer, Craig Bright, and the Chairman of WWT, David Steward, discussed how diverse entrepreneurs add value to Barclays and society.

Discussing how WWT helps other diverse suppliers to grow, David spoke of the firm's practice of leveraging its infrastructure to support diverse supply companies: "We leverage our infrastructure and financial wherewithal to support those companies that have relevant technology, and collaborate with them. On our many federal contracts, we put diverse companies in front - we've supported to the tune of about US\$600m a year. I don't know any company that has done that."

Featured Suppliers at the Capability Showcase in 2021

	David R. Jones Co-Founder, President and CEO	<u>CastleOak*</u> A US-based, African-American-owned, broker-dealer that licenses a credit trading platform called DirectPool. CastleOak gives back through internships and other philanthropic means.
	Sidney R. Dillard Partner & Head of Corporate	<u>Loop Capital</u> A US-based, African-American-owned, broker-dealer that issues Barclays corporate bonds. Loop Capital has an active internship program bringing young

Investment Banking	African-American interns into the business to learn the industry.
 Dean Chamberlain CEO	<u>Mischler Financial*</u> A US-based, Hispanic-owned, broker-dealer that qualifies as a service-disabled, military veteran organisation and contributes to the veteran community.
 Mustafa Khanwala CEO and Founder	<u>Mishipay</u> A UK-based, Asian-owned, technology company that provides shoppers with the ability to scan and pay for their shopping with their smartphone without the need to queue at a checkout.
 Dilip Rao CEO and Co-Founder	<u>Sharebite*</u> A US-based, Asian-owned, company that delivers late-night meals to employees working in Barclays' New York and London offices. For every meal Barclays purchases, Sharebite donates to families with food insecurities.

 Matt McKenna CEO	<u>Dress for the Weather</u> A small business consultancy in Glasgow, Scotland, that is helping Barclays with design elements of its new Glasgow campus.
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	Iona Crawford Founder and Director	<u>Iona Crawford</u> A local female-owned design firm with global reach based in Glasgow, Scotland, that is helping Barclays with design elements of its new Glasgow campus. The company provides career and internship opportunities to women.
	Ed Warner Co- Founder and CEO	<u>Motionspot</u> A UK-based inclusive-design small business that is helping Barclays with design elements of its new Glasgow campus.

*CastleOak, Mischler and Sharebite are NYC based companies

Day 2 and Day 3 Workshops

Preparing your company to do business with Barclays	Expectations of third-party providers when doing, or attempting to do, business with Barclays. We provided insights to entrepreneurs on how best to prepare to do businesses with Barclays as a participant in a heavily regulated industry and general tips in competing for work with large corporates
ESG in Operations and Supply Chain	Market expectations of Environmental, Social and Governance priorities and the requisite impact on Barclays clients, customers, business operations and third-party relationships. Entrepreneurs will gain a better understanding of Barclays' approach and leverage it for their own
Venture development & Barclays FinTech Pledge	We provided an overview of various programmes at Barclays intended to attract top entrepreneurial talent in our key markets. An overview of the programmes and opportunities that diverse entrepreneurs might want to consider included - Barclays Rise - Barclays Eagle Labs - Barclays Unreasonable We also covered some of the finer points entrepreneurs could expect from Barclays as a FinTech provider being considered for business

Raising Capital to Scale your Business while retaining diversity certification	Whether an early stage or late-stage entrepreneurs, its key to understand the various capital options available to help scale diverse ventures -- whether from Barclays or other sources. Where diversity certification is expected, it's important to understand the constraints, risks and opportunities associated with raising capital across the life span of the diverse venture -- if the goal is to retain diversity certification credentials
The Case for Entrepreneurial Diversity in driving the "S" in ESG	Dr. Stephen Spinelli, President, Babson College made the case for entrepreneurial diversity in helping corporations contribute to a more robust, global ESG outcome
Banking solutions for Small and Medium Sized Businesses	Strategies for growing the diverse venture as presented by Barclays High Growth & Entrepreneurs and Business Banking groups
Special Panel for Businesses in the Facilities Management industry	Barclays' global facilities management services is delivered in partnership with ISS. ISS presented an overview of third-party opportunities in different parts of the world – not just on the Barclays account, but for many other customers around the world.

Interviews and Pitch Sessions

Nearly 700 vendors registered in the BSM portal at the close of the Opportunity Showcase for the chance to vie for an interview or pitch session during the Capability Showcase. With a limited number of slots, 47 diverse suppliers were selected to pitch or interview during the conference, with 60% being considered for immediate or future contracting opportunity.

With nearly a year of planning, the Supplier Diversity Showcase Series positioned the firm as a leader in promoting procurement opportunities into the diverse supplier community through a network of marketplace stakeholders. Moreover, the diverse supplier community were able to learn more about who we are as a firm, our business, our org structure and some of our challenges that need to be solved.

Exhibit #3
Consumer Protection

- 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?**

Barclays Capital Inc. ("BCI") is engaged in various legal and regulatory matters in a number of jurisdictions. BCI is subject to legal proceedings by and against BCI which arise from time to time and also subject to enquiries and examinations, requests for information, audits, investigations and legal and other proceedings by regulators, governmental and other public bodies in connection with areas of banking and business activities in which BCI is or has been engaged.

Information relating to legal and regulatory risks is set out in the Legal, Competition and Regulatory matters note to Barclays financial statements in our most recent Annual Report or Interim Results Announcement (as applicable). If a Barclays quarterly Results Announcement has been released since the most recent Annual Report or Interim Results Announcement, this may contain additional information relating to such matters. In between Results Announcements, Barclays may from time to time make Regulatory News Service announcements containing information relating to specific legal, competition or regulatory matters. Copies of Barclays Annual Report, Results Announcements, and Regulatory News Service Announcements are available on the Barclays Investor Relations website in sections headed 'annual reports', 'results' and 'regulatory news' respectively: <https://www.home.barclays/barclays-investor-relations.html>. Additional Information relating to legal and regulatory risks is set out in the firm's Audited Statement of Financial Condition as of December 2025, available at: <https://www.investmentbank.barclays.com/disclosures/barclays-capital-inc-financial-reporting.html>. Additionally, a FINRA BrokerCheck Report, detailing proceedings the Firm has been involved in, is available at: <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/>