

FORM SFEC-126:
NOTIFICATION OF CONTRACT APPROVAL
(S.F. Campaign and Governmental Conduct Code § 1.126)

City Elective Officer Information (Please print clearly.)	
Name of City elective officer(s): Members, Board of Supervisors	City elective office(s) held: Members, Board of Supervisors

Contractor Information (Please print clearly.)	
Name of contractor: Morgan Stanley and Co, LLC	
Please list the names of (1) members of the contractor's board of directors; (2) the contractor's chief executive officer, chief financial officer and chief operating officer; (3) any person who has an ownership of 20 percent or more in the contractor; (4) any subcontractor listed in the bid or contract; and (5) any political committee sponsored or controlled by the contractor. Use additional pages as necessary.	
(1) See Attachment I	
(2) James P. Gorman, CEO Jonathan Pruzan, CFO Clare Woodman, COO	
(3) None	
(4) None	
(5) Morgan Stanley Political Action Committee	
Contractor address: Morgan Stanley 555 California Street, Floor 21 San Francisco, CA 94104	
Date that contract was approved: 6/5/2018 (By the SF Board of Supervisors)	Amount of contracts: A maximum of \$45,000, assuming 4.5 basis points per annum x \$100,000,000 of commercial paper under management
Describe the nature of the contract that was approved: Commercial Paper Dealer	
Comments: N/A	

This contract was approved by (check applicable):

the City elective officer(s) identified on this form

a board on which the City elective officer(s) serves: San Francisco Board of Supervisors
Print Name of Board

the board of a state agency (Health Authority, Housing Authority Commission, Industrial Development Authority Board, Parking Authority, Redevelopment Agency Commission, Relocation Appeals Board, Treasure Island Development Authority) on which an appointee of the City elective officer(s) identified on this form sits

Print Name of Board

Filer Information (Please print clearly.)	
Name of filer: Angela Calvillo, Clerk of the Board	Contact telephone number: 415-554-5184
Address: City Hall, Room 244, 1 Dr. Carlton B. Goodlett Pl., San Francisco, CA 94102	E-mail: Board.of.Supervisors@sfgov.org

Signature of City Elective Officer (if submitted by City elective officer)

Date Signed

Reggy Neuman for Angela Calvillo COB

6/15/18

Signature of Board Secretary or Clerk (if submitted by Board Secretary or Clerk)

Date Signed

ATTACHMENT I

Morgan Stanley Board of Directors:

James P. Gorman, Chairman of the Board and Chief Executive Officer
Elizabeth Corley, Director
Alistair Darling, Director
Thomas H. Glocer, Director
Robert H. Herz, Director
Nobuyuki Hirano, Director
Jami Miscik, Director
Dennis M. Nally, Director
Hutham S. Olayan, Director
James W. Owens, Director
Ryosuke Tamakoshi, Director
Perry M. Traquina, Director
Rayford Wilkins, Jr., Director

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Name of City elective officer(s): Members, Board of Supervisors	City elective office(s) held: Members, Board of Supervisors
Contractor Information <i>(Please print clearly.)</i>	
Name of contractor: Loop Capital Markets LLC ("LCM")	
<p><i>Please list the names of (1) members of the contractor's board of directors; (2) the contractor's chief executive officer, chief financial officer and chief operating officer; (3) any person who has an ownership of 20 percent or more in the contractor; (4) any subcontractor listed in the bid or contract; and (5) any political committee sponsored or controlled by the contractor. Use additional pages as necessary.</i></p> <ul style="list-style-type: none"> - James Reynolds, Jr. - Chairman & CEO. LCM is majority owned by Loop Capital, LLC ("LC"). Mr. Reynolds indirectly owns 69.21% of LCM and 100% of LC through his 100% ownership of Loop Capital Holdings, LLC. - Tasha Henderson, Chief Financial Officer 	
Contractor address: 12100 Wilshire Blvd., Suite 605, Los Angeles, CA 90025	
Date that contract was approved: 6/5/2018 <i>(By the SF Board of Supervisors)</i>	Amount of contracts: A maximum of \$45,000, assuming 4.5 basis points per annum x \$100,000,000 of commercial paper under management
Describe the nature of the contract that was approved: Primary commercial paper dealer	
Comments: N/A	

This contract was approved by (check applicable):

the City elective officer(s) identified on this form

a board on which the City elective officer(s) serves: San Francisco Board of Supervisors
Print Name of Board

the board of a state agency (Health Authority, Housing Authority Commission, Industrial Development Authority Board, Parking Authority, Redevelopment Agency Commission, Relocation Appeals Board, Treasure Island Development Authority) on which an appointee of the City elective officer(s) identified on this form sits

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Signature of City Elective Officer (if submitted by City elective officer)

Date Signed

Peggy Newman for Angela Calvillo, COB
Signature of Board Secretary or Clerk (if submitted by Board Secretary or Clerk)

6/5/18
Date Signed

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Name of City elective officer(s): Members, Board of Supervisors	City elective office(s) held: Members, Board of Supervisors

Contractor Information <i>(Please print clearly.)</i>
Name of contractor: Sumitomo Mitsui Banking Corporation

Please list the names of (1) members of the contractor's board of directors; (2) the contractor's chief executive officer, chief financial officer and chief operating officer; (3) any person who has an ownership of 20 percent or more in the contractor; (4) any subcontractor listed in the bid or contract; and (5) any political committee sponsored or controlled by the contractor. Use additional pages as necessary.

Board of Directors

- Kozo Ogino*
- Manabu Narita*
- Jun Ohta*
- Katsunori Tanizaki*
- Toshikazu Yaku*
- Haruyuki Nagata*
- Satoshi Itoh
- Kuniaki Nomura
- Sonosuke Kadonaga

Koichi Miyata, Chairman of the Board at Sumitomo Mitsui Financial Group (SMFG)
 Makoto Takashima, President and Chief Executive Officer*
 Yujiro Ito, Deputy Chairman
 Yasuyuki Kawasaki, Deputy Chariman

*These Directors are appointed as Executive Officers also.

<http://www.smbc.co.jp/global/aboutus/profile/executives.html>

277 Park Avenue, New York NY 10172

Date that contract was approved: 6/5/2018 <i>(By the SF Board of Supervisors)</i>	Amount of contracts: \$100,000,000 of maximum authorized CP amount plus \$8,876,713 of accrued interest
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Letter of Credit in support of the SFMTA Commercial Paper Notes Series A-1 (tax-exempt) and Series A-2 (taxable)

Comments: N/A

This contract was approved by (check applicable):

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a board on which the City elective officer(s) serves: San Francisco Board of Supervisors
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_____ Signature of City Elective Officer (if submitted by City elective officer)	_____ Date Signed
<i>Peggy Nevin for Angela Calvillo, COB</i>	<i>6/5/18</i>
_____ Signature of Board Secretary or Clerk (if submitted by Board Secretary or Clerk)	_____ Date Signed

SUMITOMO MITSUI
FINANCIAL GROUP

Directors and Executive Officers



Listen to this page

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Directors and Executive Officers

[Go to Directors and Auditors of Sumitomo Mitsui Banking Corporation \(SMBC\)](#)

(As of April 2, 2018)

Post	Name	Responsibility, Concurrent post
 Chairman of the Board	Koichi Miyata	Chairman of the Board at Sumitomo Mitsui Banking Corporation (SMBC)
 Director President (Representative Executive Officer)	Takeshi Kunibe	Group CEO
Director	Makoto Takashima	President and Chief Executive Officer (Representative Director) at SMBC
Deputy Chairman	Yasuyuki Kawasaki ⁽²⁾	Deputy Chairman at SMBC
Director Deputy President and Executive Officer	Kozo Ogino	Group CRO Corporate Risk Management Dept., Credit & Investment Planning Dept., Director and Deputy President (Representative Director) at SMBC
Director Deputy President and Executive Officer (Representative Executive Officer)	Jun Ohta	Group CFO and Group CSO Public Relations Dept., Corporate Planning Dept., Financial Accounting Dept., Subsidiaries & Affiliates Dept., IT Innovation Dept., Data Management Dept., Director and Deputy President (Representative Director) at SMBC
Director Senior Managing Executive Officers	Katsunori Tanizaki	Group CIO and Group CDIO IT Planning Dept., IT Innovation Dept., Data Management Dept., Operations Planning Dept., Director and Senior Managing Executive Officer at SMBC

Post	Name	Responsibility, Concurrent post
	Toshikazu Yaku	Group CCO and Group CHRO Human Resources Dept., Quality Management Dept., General Affairs Dept., Administrative Services Dept., Director and Senior Managing Executive Officer at SMBC
Directors	Toshiyuki Teramoto	Corporate Auditor at SMBC
	Toru Mikami	
	Tetsuya Kubo	
	Masayuki Matsumoto ⁽¹⁾	
	Arthur M. Mitchell ⁽¹⁾	
	Shozo Yamazaki ⁽¹⁾	
	Masaharu Kohno ⁽¹⁾	
	Yoshinobu Tsutsui ⁽¹⁾	
	Katsuyoshi Shinbo ⁽¹⁾	
	Eriko Sakurai ⁽¹⁾	
Deputy President and Executive Officer	Manabu Narita	Head of Wholesale Business Unit, Director and Deputy President (Representative Director) at SMBC
Senior Managing Corporate Executive Officers	Masahiko Oshima	Head of International Business Unit, Senior Managing Executive Officer at SMBC
	Naoki Tamura	Head of Retail Business Unit, Senior Managing Executive Officer at SMBC
	Hiroshi Munemasa	Head of Global Markets Business Unit, Senior Managing Executive Officer at SMBC


(1) Messrs. and Ms. Matsumoto, Mitchell, Yamazaki, Kohno, Tsutsui, Shinbo and Sakurai satisfy the requirements for an "outside director" under the Companies Act.

(2) Mr. Kawasaki is not serving as a director under the Companies Act.

Management Committee

Go to Management Committee of Sumitomo Mitsui Banking Corporation (SMBC)

(As of April 2, 2018)

Post	Name	Responsibility, Concurrent post
 Director President (Representative Executive Officer)	Takeshi Kunibe	Group CEO
Director	Makoto Takashima	President and Chief Executive Officer (Representative Director) at SMBC
Director Deputy President and Executive Officer	Kozo Ogino	Group CRO Corporate Risk Management Dept., Credit & Investment Planning Dept., Director and Deputy President (Representative Director) at SMBC
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	Toshikazu Yaku	Group CCO and Group CHRO Human Resources Dept., Quality Management Dept., General Affairs Dept., Administrative Services Dept., Director and Senior Managing Executive Officer at SMBC
Deputy President and Executive Officer	Manabu Narita	Head of Wholesale Business Unit, Director and Deputy President (Representative Director) at SMBC
Senior Managing Corporate Executive Officers	Masahiko Oshima	Head of International Business Unit, Senior Managing Executive Officer at SMBC
	Naoki Tamura	Head of Retail Business Unit, Senior Managing Executive Officer at SMBC
	Hiroshi Munemasa	Head of Global Markets Business Unit, Senior Managing Executive Officer at SMBC

Post	Name	Responsibility, Concurrent post
Senior Managing Executive Officers	Gotaro Michihiro	Depty Head of Wholesale Business Unit, Senior Managing Executive Officer at SMBC
	Shosuke Mori	Private Banking Planning Dept. Senior Managing Executive Officer at SMBC
	Naoki Ono	Transaction Business Planning Dept. Senior Managing Executive Officer at SMBC

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