(S.F. Campaign and Governmenta	al Conduct Code § 1.126)		
City Elective Officer Information (Please print clearly.)			
Name of City elective officer(s):	City elective office(s) held:		
Members, Board of Supervisors	Members, Board of Supervisors		
Contractor Information (Places mint closule)			
Contractor Information (Please print clearly.) Name of contractor: RBC Capital Markets, LLC ("RBCCM")			
Name of contractor. RBC Capital Markets, LLC (RBCCM)			
Please list the names of (1) members of the contractor's board of directions of the contractor's board o			
financial officer and chief operating officer; (3) any person who has			
any subcontractor listed in the bid or contract; and (5) any political committee sponsored or controlled by the contractor. Use additional pages as necessary.			
	Ion Paule Gauthier Richard I George Timothy I Hearn		
1) Board of Directors: W. Geoffrey Beattie, David F. Denison, The Hon. Paule Gauthier, Richard L. George, Timothy J. Hearn, Alice D. Laberge, Jacques Lamarre, Brandt C. Louie, Michael H. McCain, Heather Munroe-Blum, Gordon M. Nixon, David P.			
O'Brien, J. Pedro Reinhard, Thomas A. Renyi, Edward Sonshine, Ka			
Young			
2) Doug McGregor, Chairman and Co-CEO, Mark Standish, Presider	nt and Co-CEO, Mark Hughes, Chief Operating Officer		
3) Person with Ownership of 20% or more: None			
4) Subcontractors in the bid or contract: None			
5) Any political committee sponsored or controlled by the contractor:	None		
Contractor address: RBC Capital Markets, LLC	•		
Two Embarcadero Center, Suite 1200			
San Francisco, CA 94111 105	The Control of the Co		
Date that contract was approved:	Amount of contracts: \$ To be determined		
(By the SF Board of Supervisors) September 24, 2013			
Describe the nature of the contract that was approved: Bond Underwi	riting Services for Revenue Bonds, Series 2013		
Comments: RBC Capital Markets, LLC ("RBCCM") is an indirect, w	holly-owned subsidiary of Royal Bank of Canada. The		
Board of Directors and ownership information provided correspond to	o Royal Bank of Canada.		
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 Fran	ncisco Roard of Supervisors		
	nt Name of Board		
☐ the board of a state agency (Health Authority, Housing Author			
Board, Parking Authority, Redevelopment Agency Commission			
Development Authority) on which an appointee of the City elec			
bevelopment ruthority) on which all appointed of the City elec	tive officer(s) identified on this form sits		
Print Name of Board			
Filer Information (Please print clearly.)	· · · · · · · · · · · · · · · · · · ·		
Name of filer:	Contact telephone number:		
Angela Calvillo, Clerk of the Board	(415) 554-5184		
Address:			
City Hall, Room 244, 1 Dr. Carlton B. Goodlett Pl., San Francisco, C.	E-mail: A 94102 Board.of.Supervisors@sfgov.org		
City Han, Room 244, 1 Dr. Carnon B. Goodieu Fr., San Francisco, C.	A 94102 Board.of. Supervisors @sigov.org		
Signature of City Elective Officer (if submitted by City elective office	r) Date Signed		
1 0 00 0 0 0	0/-1-		
TO EL CALVERO	7/25/13		
Signature of Board Secretary or Clerk (if submitted by Board Secretar	v or Clerk) Date Signed		

(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 Informatio			
Name of contractor:	J.P. Morgan Securities LLC		
DI II C			
Please list the names of	(1) members of the contractor's board of di	rectors; (2) the contractor's chief executiv	re officer, chief
any subcontractor listed	ef operating officer; (3) any person who ha in the bid or contract; and (5) any politica	s an ownership of 20 percent or more in the	e contractor; (4)
additional pages as nece	in the old of contract, and (5) any political	i commutee sponsorea or controllea by the	e contractor. Use
duditional pages as need	ister y.		
1) Board of Directors			
John R. Duffy			
Carlos M. Hernandez		·	
Robert C. Holmes			
John S. Horner			
Patrick C. Kirby			
Michael Minikes			
Gregory G. Quental			
Jason Edwin Sippel Barry Sommers			
Jeffrey Urwin			
Jemey Olwin			
2) Officers			
Barry Sommers (Co-CE)	O and Co-Chairman)		
Carlos Hernandez (Co-C			
James Collins (CFO)			
Patrick Kirby (COO)			
3) J.P. Morgan Securities	s LLC is the investment banking subsidiary	of J.P. Morgan Chase & Co., a publicly of	wned company.
There is no individual sh	areholder that owns more than 20% of J.P.	Morgan Chase & Co.	
1) ID Margan has not a	shoontrooted one of the records related to the		
4) J.F. Morgan has not si	ubcontracted any of the work related to the	contract	*
5) There are no political	subcommittees sponsored or controlled by	I.P. Morgan Securities I.I.C.	
) There are no pondical	saccommittees sponsored or controlled by	.i. Worgan Securities ELC	
Contractor address:	560 Mission Street, Floor 3		·
	San Francisco, CA 94109	•	
	,		
Date that contract was ap		Amount of contracts: \$ 465,000 (prelin	ninary)
(By the SF Board of Sup	ervisors) September 24, 2013		
Describe the nature of th	e contract that was approved:		
The approved contract is	a Bond Purchase Agreement related to the	issuance of the SFMTA's 2013 Revenue I	Bonds.
Comments: None			
1		· ·	

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

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 Francis	E-mail: Board.of.Supervisors@sfgov.org
ignature of City Elective Officer (if submitted by City elective	officer) Date Signed

(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	

			· · · · · · · · · · · · · · · · · · ·	<u>. i </u>
Contractor Information (Please				
Name of contractor: J.P. Mo	organ Securities LLC	*		
		40.		<u> </u>
Please list the names of (1) member	ers of the contractor's board of dir	ectors; (2) the contra	ctor's chief executive	officer, chief
financial officer and chief operation any subcontractor listed in the bid	lg officer, (5) any person wno nas	an ownersnip of 20 p	ercent or more in the	contractor; (4)
additional pages as necessary.	or comract, and (3) any pointed	committee sponsorea	or controlled by the	contractor. Use
and the pages as necessary.				
1) Board of Directors				
John R. Duffy				
Carlos M. Hernandez				
Robert C. Holmes				•
John S. Horner				
Patrick C. Kirby				
Michael Minikes				
Gregory G. Quental				
Jason Edwin Sippel Barry Sommers				
Jeffrey Urwin				
Jeiney of win				
2) Officers				
Barry Sommers (Co-CEO and Co-	Chairman)			
Carlos Hernandez (Co-CEO and C				•
James Collins (CFO)				
Patrick Kirby (COO)				
			ř.	
3) J.P. Morgan Securities LLC is the	he investment banking subsidiary	of J.P. Morgan Chase	& Co., a publicly ov	ned company.
There is no individual shareholder	that owns more than 20% of J.P. M	Morgan Chase & Co.		
4) I D. Morgon has not subcontract	and any of the sysual maleted to the			
4) J.P. Morgan has not subcontract	ed any of the work related to the c	ontract	4	
5) There are no political subcomm	ittees sponsored or controlled by I	P Morgan Securities	LIC	
by there are no pointed succession	steeds sponsored or controlled by s	ir . Morgan Securities	LLC	
Contractor address: 560 Mis	ssion Street, Floor 3	A		
	ncisco, CA 94109			
Date that contract was approved:		Amount of contract	ts: \$ 465,000 (prelim	inary)
(By the SF Board of Supervisors)	September 24, 2013			- ,
Describe the nature of the contract	that was approved:			
The approved contract is a Bond P	urchase Agreement related to the i	ssuance of the SFMT	A's 2013 Revenue B	onds.
	· · · · · · · · · · · · · · · · · · ·	<u> </u>		
Comments: None				

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

Print Name of Board	
Filer Information (Please print clearly.)	<u> </u>
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
An = 2 Cadviddo	9/25/12
Signature of Board Secretary or Clerk (if submitted by Board Secretary or Clerk)	Date Signed

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):	City elective office(s) held:			
Members, Board of Supervisors	Members, Board of Supervisors			
Contractor Information (Please print clearly.)				
Name of contractor: The Bank of New York Mellon Trust Company, N.A.				
Please list the names of (1) members of the contractor's board of dir	rectors; (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 attached 2) The Bank of New York Mollan Trust Company's CEO - Timethy E. Keaney CEO - Themas (Todd) Cikhans COO - Brian				
2) The Bank of New York Mellon Trust Company's CEO – Timothy F. Keaney; CFO – Thomas (Todd) Gibbons; COO – Brian				
G. Rogan 3) The company does not have any shareholders with 10% or more of its equity.				
4) The Bank of New York Mellon Trust Company will not use sub				
5) The Bank of New York Mellon Trust Company does not spons				
	•			
Contractor address: 400 South Hope Street, Suite 400, Los Angeles,	, CA 90071			
	· · · · · · · · · · · · · · · · · · ·			
Date that contract was approved:	Amount of contracts: \$1,500 Annual			
(By the SF Board of Supervisors) September 24, 2013				
Describe the nature of the contract that was approved: Trustee Serv	vices			
Comments:				
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 Fra				
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 elec				
Development Authority) on which an appointee of the City elec	ctive officer(s) identified on this form sits			
Print Name of Board				
Filer Information (Please print clearly.)				
Name of filer:	Contact telephone number:			
Angela Calvillo, Clerk of the Board	(415)554-5184			
Address:	E-mail:			
City Hall, Room 244, 1 Dr. Carlton B. Goodlett Pl., San Francisco, C	CA 94102 Board.of.Supervisors@sfgov.org			
Signature of City Elective Officer (if submitted by City elective office	per) Date Signed			
1 000				
A = a Calvido	9/25/13			
Signature of Board Secretary or Clerk (if submitted by Board Secretar	ary or Clerk) Date Signed			

BOARD OF DIRECTORS

- Ruth E. Bruch
- Nicholas M. Donofrio
- Gerald L. Hassell
- · Edmund F. "Ted" Kelly
- · Richard J. Kogan
- Michael J. Kowalski
- John A. Luke, Jr.
- Mark A. Nordenberg
- · Catherine A. Rein
- William C. Richardson
- Samuel C. Scott III
- Wesley W. von Schack

Ruth E. Bruch

Retired Senior Vice President and Chief Information Officer of Kellogg Company Director since July 1, 2007; formerly, director of Mellon Financial Corporation since 2003

Nicholas M. Donofrio

Retired Executive Vice President, Innovation and Technology of IBM Corporation

Director since July 1, 2007, formerly, director of The Bank of New York Company, Inc. since 1999

Gerald L. Hassell

Chairman and Chief Executive Officer of The Bank of New York Mellon Corporation

Director since July 1, 2007; formerly, director of The Bank of New York Company, Inc. since 1998

Top of Page

Edmund F. "Ted" Kelly

Chairman of Liberty Mutual Group
Director since July 1, 2007; formerly, director of Mellon Financial Corporation since 2004

Richard J. Kogan

Retired Chairman, President and Chief Executive Officer of Schering-Plough Corporation Director since July 1, 2007; formerly, director of The Bank of New York Company, Inc. since 1996

Michael J. Kowalski

Chairman and Chief Executive Officer of Tiffany & Co.

Director since July 1, 2007; formerly, director of The Bank of New York Company, Inc. since 2003

Top of Page

John A. Luke, Jr.

Chairman and Chief Executive Officer of MeadWestvaco Corporation

Director since July 1, 2007; formerly, director of The Bank of New York Company, Inc. since 1996

Mark A. Nordenberg

Chancellor and Chief Executive Officer of University of Pittsburgh
Director since July 1, 2007; formerly, director of Mellon Financial Corporation since 1998

Catherine A. Rein

Retired Senior Executive Vice President and Chief Administrative Officer of MetLife, Inc. Director since July 1, 2007; formerly, director of The Bank of New York Company, Inc. since 1981

Top of Page

William C. Richardson

President and Chief Executive Officer Emeritus of The W.K. Kellogg Foundation
Director since July 1, 2007; formerly, director of The Bank of New York Company, Inc. since 1998

Samuel C. Scott III

Retired Chairman, President and Chief Executive Officer of Corn Products International, Inc. Director since July 1, 2007; formerly, director of The Bank of New York Company, Inc. since 2003

Wesley W. von Schack

Retired Chairman, President and Chief Executive Officer of Energy East Corporation Director since July 1, 2007; formerly, director of Mellon Financial Corporation since 1989

Top of Page

(S.F. Campaign and Governmental Conduct Code § 1.126)

City Elective Officer Information (Please print clearly.)

The state of the s	
Name of City elective officer(s):	City elective office(s) held:
Members, Board of Supervisors	Members, Board of Supervisors
	•
Contractor Information (Discounting Local)	
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 directions.	ctors; (2) the contractor's chief executive officer, chief
financial officer and chief operating officer; (3) any person who has a	n ownership of 20 percent or more in the contractor; (4)
any subcontractor listed in the bid or contract; and (5) any political co	ommittee sponsored or controlled by the contractor. Use
additional pages as necessary.	
(1) See Attachment I	
(2) James P. Gorman, CEO	
Ruth Porat, CFO	
Jim Rosenthal, 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:	Amount of contracts: Estimated at \$50,000; actual
(By the SF Board of Supervisors) September 24, 2013	amount to be determined
Describe the nature of the contract that was approved:	
Underwriter, Series 2013 Revenue Bonds	
Office writer, Series 2013 Revenue Bollus	
Comments: N/A	
This contract was approved by (check applicable):	
☐the City elective officer(s) identified on this form	
	. D 1 00
a board on which the City elective officer(s) serves: San Fran	cisco Board of Supervisors
	Name of Board
☐ the board of a state agency (Health Authority, Housing Authori	
Board, Parking Authority, Redevelopment Agency Commission,	
Development Authority) on which an appointee of the City elect	ive officer(s) identified on this form sits
Print Name of Board	
Filer Information (Please print clearly.)	
Name of filer:	Contact telephone number:
Angela Calvillo, Clerk of the Board	(415) 554-5184
Address:	E-mail:
City Hall, Room 244, 1 Dr. Carlton B. Goodlett Pl., San Francisco, CA	94102 Board.of.Supervisors@sfgov.org
Signature of City Elective Officer (if submitted by City elective officer	Date Signed
T	, Date Signed
A _ Caluado	9/25/13
Cignotium of Doord Country of Clade (if and 1991 11 P. 10	
Signature of Board Secretary or Clerk (if submitted by Board Secretary	or Clerk) Date Signed

ATTACHMENT I

Morgan Stanley Board of Directors:

Rayford Wilkins, Jr., Director

James P. Gorman, Chairman of the Board and Chief Executive Officer Erskine B. Bowles, Director
Sir Howard J. Davies, Director
Thomas H. Glocer, Director
Robert H. Herz, Director
C. Robert Kidder, Director
Klaus Kleinfeld, Director
Donald T Nicolaisen, Director
Hutham S. Olayan, Director
James W. Owens, Director
O Griffith Sexton, Director
Ryosuke Tamakoshi, Director
Masaaki Tanaka, Director
Dr. Laura D. Tyson, Director