

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: RBC Capital Markets, LLC ("RBCCM")	
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) 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, Kathleen P. Taylor, Bridget A. van Kralingen, Victor L. Young	
2) Doug McGregor, Chairman and Co-CEO, Mark Standish, President 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	
Date that contract was approved: (By the SF Board of Supervisors) September 24, 2013	Amount of contracts: \$ To be determined
Describe the nature of the contract that was approved: Bond Underwriting Services for Revenue Bonds, Series 2013	
Comments: RBC Capital Markets, LLC ("RBCCM") is an indirect, wholly-owned subsidiary of Royal Bank of Canada. The Board of Directors and ownership information provided correspond to Royal Bank of Canada.	

This contract was approved by (check applicable):

the City elective officer(s) identified on this form

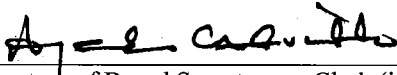
a board on which the City elective officer(s) serves: San Francisco Board of Supervisors
Print Name of Board

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)



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

Date Signed

9/25/13

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: J.P. Morgan Securities LLC	
<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> <p><u>1) Board of Directors</u> 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</p> <p><u>2) Officers</u> Barry Sommers (Co-CEO and Co-Chairman) Carlos Hernandez (Co-CEO and Co-Chairman) James Collins (CFO) Patrick Kirby (COO)</p> <p>3) J.P. Morgan Securities LLC is the investment banking subsidiary of J.P. Morgan Chase & Co., a publicly owned company. There is no individual shareholder that owns more than 20% of J.P. Morgan Chase & Co.</p> <p>4) J.P. Morgan has not subcontracted any of the work related to the contract</p> <p>5) There are no political subcommittees sponsored or controlled by J.P. Morgan Securities LLC</p>	
Contractor address: 560 Mission Street, Floor 3 San Francisco, CA 94109	
Date that contract was approved: <i>(By the SF Board of Supervisors)</i> September 24, 2013	Amount of contracts: \$ 465,000 (preliminary)
Describe the nature of the contract that was approved: The approved contract is a Bond Purchase Agreement related to the issuance of the SFMTA's 2013 Revenue Bonds.	
Comments: None	

This contract was approved by (check applicable):

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Print Name of Board

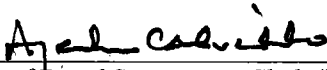
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Signature of Board Secretary or Clerk (if submitted by Board Secretary or Clerk)

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Contractor Information <i>(Please print clearly.)</i>	
Name of contractor: J.P. Morgan Securities LLC	
<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> <p><u>1) Board of Directors</u> 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</p> <p><u>2) Officers</u> Barry Sommers (Co-CEO and Co-Chairman) Carlos Hernandez (Co-CEO and Co-Chairman) James Collins (CFO) Patrick Kirby (COO)</p> <p>3) J.P. Morgan Securities LLC is the investment banking subsidiary of J.P. Morgan Chase & Co., a publicly owned company. There is no individual shareholder that owns more than 20% of J.P. Morgan Chase & Co.</p> <p>4) J.P. Morgan has not subcontracted any of the work related to the contract</p> <p>5) There are no political subcommittees sponsored or controlled by J.P. Morgan Securities LLC</p>	
Contractor address: 560 Mission Street, Floor 3 San Francisco, CA 94109	
Date that contract was approved: <i>(By the SF Board of Supervisors)</i> September 24, 2013	Amount of contracts: \$ 465,000 (preliminary)
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Comments: None	

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

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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Date Signed

Angela Calvillo

9/25/13

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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: The Bank of New York Mellon Trust Company, N.A.	
<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> <p>1) <u>See attached</u></p> <p>2) The Bank of New York Mellon Trust Company's CEO – Timothy F. Keaney; CFO – Thomas (Todd) Gibbons; COO – Brian G. Rogan</p> <p>3) The company does not have any shareholders with 10% or more of its equity.</p> <p>4) The Bank of New York Mellon Trust Company will not use sub-contractors for this corporate trust appointment.</p> <p>5) The Bank of New York Mellon Trust Company does not sponsor or control any political committee.</p>	
Contractor address: 400 South Hope Street, Suite 400, Los Angeles, CA 90071	
Date that contract was approved: <i>(By the SF Board of Supervisors)</i> September 24, 2013	Amount of contracts: \$1,500 Annual
Describe the nature of the contract that was approved: Trustee Services	
Comments:	

This contract was approved by (check applicable):

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Date Signed

Angela Calvillo

9/25/13

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

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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

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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

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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

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Contractor Information <i>(Please print clearly.)</i>	
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 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: <i>(By the SF Board of Supervisors)</i> September 24, 2013	Amount of contracts: Estimated at \$50,000; actual amount to be determined
Describe the nature of the contract that was approved: Underwriter, Series 2013 Revenue Bonds	
Comments: N/A	

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Print Name of Board

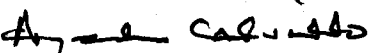
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Date Signed

ATTACHMENT I

Morgan Stanley Board of Directors:

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
Rayford Wilkins, Jr., Director