



CITY OF CHICAGO

DEPARTMENT OF PROCUREMENT SERVICES

To: Chicago City Council

From: Aileen Velazquez
Chief Procurement Officer

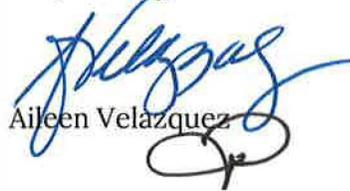
Re: Annual Report, Slavery Era Business/Corporate Insurance Disclosure

Date: June 30, 2022

Pursuant to Or2021-44, attached as Exhibit A, is the Slavery Era Business/Corporate Insurance Disclosure annual report and supporting documentation (collectively, the "documentation") related to contractor disclosure requirements under Chicago Municipal Code Section 2-92-585 for the period through December 31, 2021.

In addition to the required annual report, the Department of Procurement Services has conducted an extensive review of available records and supplemented this report with documentation of contractor disclosures submitted dating back to October 2, 2002.

Respectfully,



Aileen Velazquez



CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT and AFFIDAVIT
Related to Contract Amendment Solicitation
EDS# 26305

SECTION I – GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting the EDS:

NB Holdings Corporation

Enter d/b/a if applicable:

The Disclosing Party submitting this EDS is:

a legal entity holding a direct or indirect interest in the Applicant

The Disclosing Party holds an interest in

FIA Card Services, National Association and EDS is 26304

B. Business address of the Disclosing Party:

100 North Tryon Street
Charlotte, NC 28255
United States

C. Telephone:

312-992-2269

Fax:

Email:

andrea.powell@baml.com

D. Name of contact person:

6. The Disclosing Party understands and shall comply with the applicable requirements of [Chapters 2-55 \(Legislative Inspector General\)](#), [Chapter 2-56 \(Inspector General\)](#) and [Chapter 2-156 \(Governmental Ethics\)](#) of the Municipal Code.

I certify the above to be true

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

The Disclosing Party certifies that, as defined in [Section 2-32-455\(b\) of the Municipal Code](#), the Disclosing Party

is a "financial institution"

The Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in [Chapter 2-32 of the Municipal Code](#). We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in [Chapter 2-32 of the Municipal Code](#). We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

The Disclosing Party

makes the above pledge

E CERTIFICATION REGARDING SLAVERY ERA BUSINESS

If the Disclosing Party cannot make this verification, the Disclosing Party must disclose all required information in the space provided below or in an attachment in the "Additional Info" tab. Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

I cannot make the above verification

The Disclosing Party verifies that, as a result of conducting the search above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records.

Please see additional information in the attached scanned document located in the Additional Info tab.

SECTION VII – ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
8. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. A training program is available on line at www.cityofchicago.org/city/en/depts/ethics.html, and may also be obtained from the City's Board of Ethics, 740 N Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

I acknowledge and consent to the above

The Disclosing Party understands and agrees that:

- C. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded or void), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- D. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

and members of the Disclosing Party, if the Disclosing Party is a limited liability company; (2) all principal officers of the Disclosing Party; and (3) any person having more than a 7.5 percent ownership interest in the Disclosing Party. "Principal officers" means the president, chief operating officer, executive director, chief financial officer, treasurer or secretary of a legal entity or any person exercising similar authority.

Does the Disclosing Party or any "Applicable Party" or any Spouse or Domestic Partner thereof currently have a "familial relationship" with an elected city official or department head?

No

ADDITIONAL INFO

Please add any additional explanatory information here. If needed you may add an attachment below.

Additional Information NB Holdings Corporation

List of attachments uploaded by vendor

Additional Information NB Holdings Corporation

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS, and all applicable appendices, on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS, and all applicable appendices, are true, accurate and complete as of the date furnished to the City. Submission of this form constitutes making the oath associated with notarization.

/s/ 11/18/2011

Ms. Nina Tai

Vice President

NB Holdings Corporation

This is a printed copy of the Economic Disclosure Statement, the original of which is filed electronically with the City of Chicago. Any alterations must be made electronically, alterations on this printed copy are void and of no effect.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

The research firm, Heritage Research Center, Ltd., reported they "did not identify any instances or occasions in which any Bank of America legacy banks made a profit from slavery." The firm found examples of abolitionist sentiment among founders and directors of several of the bank's predecessors, and strong objections to doing business with commercial interests involved in slavery in the bank's predecessors' histories. The firm also found two connections to slavery in the histories of the bank's predecessors. In 1863, two predecessor banks of Bank of America - Boatmen's Bank and Southern Bank in St. Louis - joined four other businesses in taking a security interest against all of the property of Charles Mclaran for a past due debt. Mr. Mclaran apparently owned slaves and the category "slaves" was listed in the agreement among the types of property pledged as security. That same year, Mr. Mclaran paid his debts in full and the institutions released their claim on his property. At no time did any of the businesses own any of the slaves. In 1840, John Forsyth, Secretary of State of the United States, proposed to the directors of Bank of the Metropolis in Washington, D.C. to pledge slaves as security against an amount in dispute over a dishonored note, and the board agreed in principle to the proposal. The available evidence suggests that Forsyth and the directors reached an alternative arrangement several weeks later, and that the bank "did not file or receive a mortgage with Forsyth's slaves as collateral."

Section VII-- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENAL TIES, DISCLOSURE

D. Bank of America, N.A. and the Disclosing Party acknowledge this section and respectfully request to the extent permissible under applicable law, if any information provided is inaccurate, incomplete or misleading, the rights and obligations which the city and/or Bank of America, N.A. may have including any remedies available, will be subject to the terms and conditions of a mutually agreeable contract to be executed by them in connection with the services to be provided.

H1. Bank of America Corporation and its subsidiaries, which include Bank of America, N.A., and NB Holdings Corporation ("Disclosing Party") had approximately 284,000 full time equivalent employees as of December 31, 2009. Accordingly, it is not possible for the Bank to perform due diligence across the full panoply of associates and Bank-related entities in preparing this response. To the actual knowledge of the individual signing below and without independent inquiry, the Disclosing Party can certify there are no delinquent fines, fees, taxes or other charges owed to the City, including, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

H3. Not Applicable. The Disclosing Party is not the Applicant.

FAMILIAL RELATIONSHIPS WITH ELECTED CITY OFFICIALS AND DEPARTMENT HEADS

Does the Disclosing Party or any "Applicable Party" or any Spouse of Domestic Partner thereof currently have a "familial relationship" with than elected city official or department head?

To the actual knowledge of the individual signing below and without independent inquiry, no. However, Bank of America Corporation and its subsidiaries, which include Bank of America, N.A., and NB Holdings Corporation ("Disclosing Party") had approximately 284,000 full time equivalent employees as of December 31, 2009. Accordingly, it is not possible to answer these questions definitively with respect to each category of individual referenced above. In addition, Bank of America Corporation and its subsidiaries is committed to the highest



CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT and AFFIDAVIT
Related to Contract Amendment Solicitation
EDS# 52525

SECTION I – GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting the EDS:

U.S. Bank National Association

Enter d/b/a if applicable:

The Disclosing Party submitting this EDS is:

the Applicant

B. Business address of the Disclosing Party:

425 Walnut Street
Cincinnati, OH 45202
United States

C. Telephone:

847-948-6005

Fax:

866-859-0683

Email:

stacy.stoll@usbank.com

D. Name of contact person:

Ms. Stacy L. Stoll

E. Federal Employer Identification No. (if you have one):

31-0841368

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains:

REFERENCE CONTRACT FOR PROCUREMENT CARD SERVICES WITH US BANK,
BASED ON CITY COLLEGES' RFP #MWJ00IO & AGREEMENT #31074

Which City agency or department is requesting this EDS?

DEPT OF PROCUREMENT SERVICES

Specification Number

122371

Contract (PO) Number

29863

Revision Number

Release Number

User Department Project Number

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

Other

Please specify the nature of your enterprise.

National Bank

Is the Disclosing Party incorporated or organized in the State of Illinois?

No

State or foreign country of incorporation or organization:

The Disclosing Party
makes the above pledge

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

No

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

If the Disclosing Party cannot make this verification, the Disclosing Party must disclose all required information in the space provided below or in an attachment in the "Additional Info" tab. Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

I cannot make the above verification

The Disclosing Party verifies that, as a result of conducting the search above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records.

Please see Attachment A

SECTION VI – CERTIFICATIONS FOR FEDERALLY-FUNDED MATTERS

Is the Matter federally funded? For the purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS, and all applicable appendices, on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS, and all applicable appendices, are true, accurate and complete as of the date furnished to the City. Submission of this form constitutes making the oath associated with notarization.

/s/ 02/21/2014

Mr. Scott A. Fenske

Vice President and Associate General Counsel

U.S. Bank National Association

This is a printed copy of the Economic Disclosure Statement, the original of which is filed electronically with the City of Chicago. Any alterations must be made electronically, alterations on this printed copy are void and of no effect.

Attachment A

City of Chicago Economic Disclosure Statement and Affidavit

U.S. Bank National Association was formed from the following major banks: (1) Star Bank, National Association (Cincinnati, Ohio) changed its name to Firststar Bank, National Association (Cincinnati, Ohio) effective February 1999; (2) Mercantile Bank National Association (St. Louis, Missouri) merged into Firststar Bank, National Association (Cincinnati, Ohio) effective April 2000; (3) United States National Bank of Oregon (Portland, Oregon) merged with First Bank, National Association under the title U.S. Bank National Association effective August 1997; (4) U.S. Bank National Association merged into Firststar Bank, National Association, and the succeeding bank, changed its name to U.S. Bank National Association effective August 2001. These banks acquired through mergers and acquisitions numerous smaller banks. There are five hundred and forty-two U.S. Bank National Association predecessors. Thirty-three predecessors were founded before the abolition of slavery in December 1865. Thirteen of the pre-1866 predecessors were established in southern slave-holding states and territories, including Kansas, Kentucky, Missouri, and Tennessee.

In reviewing historical records held in various external repositories in accordance with the research requirements as set forth in the City of Chicago Office of the Corporation Counsel opinion letter dated April 29, 2004, U.S. Bank National Association has identified external records of its predecessors which necessitate disclosure. The conveyance records while showing no record of direct ownership of enslaved individuals did contain records of founders and/or directors of predecessor banks owning enslaved individuals, as well as a record where an enslaved individual was the collateral for a loan. Specifically, the first president of predecessor Marion National Bank of Lebanon, Kentucky (founded in 1856), Benedict Spalding, owned two enslaved individuals in 1850. In 1860 someone with a similar name "Benidict Spalding" is also listed as having owned fourteen enslaved individuals. In addition, certain members of the Marion National Bank of Lebanon's board of directors (called "commissioners") owned approximately forty-seven enslaved individuals in total (the records include abbreviated names, which we conclude may be references to commissioners). The first president of predecessor First National Bank of Clarksville, Tennessee (founded in 1865), S.F. Beaumont, owned one enslaved individual in 1860. The first president of predecessor St. Louis Building and Savings Association, Missouri (founded in 1857), Marshall Brotherton, owned ten enslaved individuals in 1850 and four enslaved individuals in 1860. Merchants Bank (founded in 1857) and Bank of St. Louis (founded in 1857), both predecessors, along with a group of other St. Louis firms, issued a mortgage to Charles McLaran that was secured by his property, which included an unspecified number of enslaved individuals. However, the 1860 Federal Census Slave Schedule for St. Louis provided that Charles McLaran owned thirteen enslaved individuals.

The above is only a summary. U.S. BankNationalAssociation has previously provided the City of Chicago with supporting attachments.

All certifications, statements and representations made in this Economic Disclosure Statement are made to the best knowledge of the Applicant, U.S. Bank National Association.



CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT and AFFIDAVIT
EDS Information Update
EDS# 75221

SECTION I – GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting the EDS:

President and Fellows of Harvard College

Enter d/b/a if applicable:

The Disclosing Party submitting this EDS is:

the Applicant

B. Business address of the Disclosing Party:

1033 Massachusetts Avenue, 5th Floor
Cambridge, MA 02138
United States

C. Telephone:

617-495-3925

Fax:

Email:

sheila_doyle@harvard.edu

D. Name of contact person:

Ms. Sheila Doyle

E. Federal Employer Identification No. (if you have one):

None

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

The Disclosing Party certifies that, as defined in Section 2-32-455(b) of the Municipal Code, the Disclosing Party

is not a "financial institution"

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

If the Disclosing Party cannot make this verification, the Disclosing Party must disclose all required information in the space provided below or in an attachment in the "Additional Info" tab. Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

I cannot make the above verification

The Disclosing Party verifies that, as a result of conducting the search above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records.

While we have not undertaken a "[search] of any and all records" going back to 1636, there was research project headed by a faculty member and conducted by 33 students on Harvard's connection to slavery which resulted in a booklet (<http://www.harvardandslavery.com/wp-content/uploads/2011/11/Harvard-Slavery-Book-111110.pdf>) and website (<http://www.harvardandslavery.com>) funded by The President's Office.

SECTION VII – ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

- A. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other

None.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS, and all applicable appendices, on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS, and all applicable appendices, are true, accurate and complete as of the date furnished to the City. Submission of this form constitutes making the oath associated with notarization.

/s/ 10/21/2015

Webb Brightwell

Senior Manager, Sponsored Operations
President and Fellows of Harvard College

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CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT and AFFIDAVIT
Related to Contract/Amendment/Solicitation
EDS# 134790

SECTION 1-- GENERAL INFORMATION

A. Legal name of the Disclosing Party submitting the EDS:

PNC BANK, NATIONAL ASSOCIATION

Enter d/b/a if applicable:

The Disclosing Party submitting this EDS is:

the Applicant

B. Business address of the Disclosing Party:

The Tower at PNC Plaza
300 Fifth Avenue
Pittsburgh, PA 15222-2707
United States

C. Telephone:

312-338-2240

Fax:

Email:

joseph.howell@pnc.com

D. Name of contact person:

Joseph Howell

E. Federal Employer Identification No. (if you have one):

22-1146430

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains:

BANK ISSUED ONE-TIME USE CREDIT CARD PAYMENT SERVICES- CITY OF CHICAGO

Which City agency or department is requesting this EDS?

DEPT OF PROCUREMENT SERVICES

Specification Number

458721

Contract (PO) Number

137935

Revision Number

0

Release Number

0

User Department Project Number

SECTION II – DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF THE DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

Other

Please specify the nature of your enterprise.

National Banking Association

Is the Disclosing Party incorporated or organized in the State of Illinois?

No

D. CERTIFICATION REGARDING FINANCIAL INTEREST IN CITY BUSINESS

Any words or terms defined in MCC Chapter 2-156 have the same meanings if used in this Part D.

1. In accordance with MCC Section 2-156-110: To the best of the Disclosing Party's knowledge after reasonable inquiry, does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

No

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

If the Disclosing Party cannot make this verification, the Disclosing Party must disclose all required information in the space provided below or in an attachment in the "Additional Info" tab. Failure to comply with these disclosure requirements may make any contract entered into with the City in connection with the Matter voidable by the City.

The Disclosing Party verifies that the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities regarding records of investments or profits from slavery or slaveholder insurance policies during the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves), and the Disclosing Party has found no such records.

I cannot make the above verification

The Disclosing Party verifies that, as a result of conducting the search above, the Disclosing Party has found records of investments or profits from slavery or slaveholder insurance policies. The Disclosing party verifies that the following constitutes full disclosure of all such records, including the names of any and all slaves or slaveholders described in those records.

Please see Attachment B

SECTION VI – CERTIFICATIONS FOR FEDERALLY FUNDED MATTERS

Is the Matter federally funded? For the purposes of this Section VI, tax credits allocated by the City and proceeds of debt obligations of the City are not federal funding.

No

is not to be completed by any legal entity which has only an indirect ownership interest in the Applicant.

Pursuant to MCC Section 2-154-010, is the Applicant or any Owner identified as a building code scofflaw or problem landlord pursuant to MCC Section 2-92-416??

No

ADDITIONAL INFO

Please add any additional explanatory information here. If explanation is longer than 1000 characters, you may add an attachment below. Please note that your EDS, including all attachments, becomes available for public viewing upon contract award. Your attachments will be viewable "as is" without manual redaction by the City. You are responsible for redacting any non-public information from your documents before uploading.

List of vendor attachments uploaded by City staff

None.

List of attachments uploaded by vendor

Appendix C Prohibition on Wage & Salary History Screening - Certification
Annex I to Attachment B
Attachment B - PNC Bank, N.A.
Attachment A ? PNC Bank N.A.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS, and all applicable appendices, on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS, and all applicable appendices, are true, accurate and complete as of the date furnished to the City. Submission of this form constitutes making the oath associated with notarization.

/s/ 10/26/2018

Joseph Howell

Treasury Management Officer

PNC BANK, NATIONAL ASSOCIATION

This is a printed copy of the Economic Disclosure Statement, the original of which is filed electronically with the City of Chicago. Any alterations must be made electronically, alterations on this printed copy are void and of no effect.

Attachment B
To
City of Chicago
Economic Disclosure Statement and Affidavit
Filed by
PNC Bank, National Association

This Attachment B modifies and supplements the information provided in the City of Chicago Economic Disclosure Statement and Affidavit executed by the Disclosing Party as of 10/26/18 (the "EDS"). Any capitalized term used in this Attachment B will have the definition set forth in the EDS, except as provided below.

SECTION III: INCOME OR COMPENSATION TO, OR OWNERSHIP BY, CITY ELECTED OFFICIALS

To the best knowledge of the Disclosing Party, after reasonable inquiry, the Disclosing Party has not provided nor reasonably expects to provide any income or compensation during the 12 months preceding or following the date that the Disclosing Party executed the EDS. For purposes of this certification, the term "City elected official" is treated as including only the City's Mayor, Aldermen, Treasurer and Clerk and not including their spouses, domestic partners (as defined in Chapter 2-156 of the Municipal Code) or any entity in which any such person has an interest.

SECTION V - CERTIFICATIONS

B. FURTHER CERTIFICATIONS

With respect to the statements contained in Section V, paragraph B.1. the Disclosing Party is currently researching this question and cannot definitively certify at this time due to the large number of government contracts that the Disclosing Party and its affiliates are party to at any given time.

With respect to the statements contained in Section V, paragraph B.2, the Disclosing Party certifies, to the best of its knowledge, after reasonable inquiry, that neither the Disclosing Party nor any Affiliated Entity is delinquent in paying any fine, fee, tax or other source of indebtedness owed to the City other than fines, fees, taxes or other charges that are being contested in good faith by the Disclosing Party or such Affiliated Entity by appropriate legal proceedings.

The Disclosing Party certifies that, as of the date that the Disclosing Party executed the EDS, to the best of its knowledge, after reasonable inquiry, (x) the statement contained in Section V, paragraph B.3.d is accurate with respect to itself; and (y) the statements contained in Section V, paragraphs B.3.a through and including B.3.e and B.8 are accurate with respect to the executive officers and directors of the Disclosing Party. With respect to Section V, paragraphs B.3.b, c and e, the Disclosing Party hereby makes reference to the information on legal proceedings set forth in the filings made by its ultimate parent company, The PNC Financial Services Group, Inc, with the Securities and Exchange Commission, which may be found at www.sec.gov or www.pnc.com/secfilings. Copies of the most current such disclosures are attached as Annex I to this Attachment B. The Disclosing Party certifies that none of the judgments set forth therein, individually or in the aggregate, would have a material adverse effect on its ability to perform with respect to the Matter.

The Disclosing Party certifies that, as of the date that the Disclosing Party executed the EDS, to the best of its knowledge, after reasonable inquiry, the statements contained in Section V, paragraphs 8.5.a through and including 8.5.d and 8.6 are accurate with respect to any Affiliated Entity of the Disclosing Party or any responsible official of the Disclosing Party or any such Affiliated Entity acting in such capacity or any other official or employee of the Disclosing Party or any such Affiliated Entity acting in such capacity pursuant to the direction or authorization of a responsible official of the Disclosing Party or any such Affiliated Entity acting in such capacity. The Disclosing Party makes no certification concerning (x) any Contractor, any Affiliated Entity of a Contractor or any Agent of any such Contractor or Affiliated Entity; or (y) any agent of the Disclosing Party or any Affiliated Entity of the Disclosing Party. With respect to the statements contained in Section V, paragraph 8.7, the Disclosing Party is only certifying with respect to the Disclosing Party and any Affiliated Entity of the Disclosing Party.

For purposes of the certifications contained in the EDS as modified in this Attachment B: The term "Affiliated Entity" does not include BlackRock, Inc. or any of its subsidiaries or other affiliates (as such term is defined for purposes of the Securities Exchange Act of 1934, as amended), except to the extent that such entity would be an Affiliated Entity of the Disclosing Party for any other reason.

D. FINANCIAL INTEREST IN CITY BUSINESS

As to the disclosure set forth in Section V, paragraph D.1., to the best knowledge of the Disclosing Party, after reasonable inquiry, no official or employee of the City of Chicago has a financial interest in his or her own name or in the name of any other person in the Matter.

As to the disclosure set forth in Section V, paragraph D.4., the Disclosing Party only certifies that no official or employee of the City of Chicago will acquire a prohibited financial interest in the Matter from the Disclosing Party, any Affiliated Entity of the Disclosing Party or any responsible official of the Disclosing Party or any such Affiliated Entity acting in such capacity or any other official or employee of the Disclosing Party or any such Affiliated Entity acting in such capacity pursuant to the direction or authorization of a responsible official of the Disclosing Party or any such Affiliated Entity acting in such capacity.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

The PNC Financial Services Group, Inc. extensively reviewed the historical records of banks it has acquired and has discovered two instances in the records of the National Bank of Kentucky, a predecessor of the Disclosing Party.

In 1836, the National Bank of Kentucky loaned \$200,000 to the City of Louisville. Records indicate the City then invested in the Lexington & Ohio Railroad Company

In 1852, the National Bank of Kentucky loaned \$135,000 to the Louisville & Nashville Railroad Company.

Research indicates that both railroads employed forced labor. There is no evidence that the National Bank of Kentucky accepted individuals as collateral for either loan, or otherwise directly profited from slavery.

Any questions regarding this statement should be directed to the following PNC executive:

Jonathan Casiano
Senior Vice President & Relationship Manager
PNC Bank- Public Finance Group
One North Franklin Street, Suite 2800
Chicago, IL 60606
(T) 312.338.2295
jonathan.casiano@pnc.com

Disclosure Summary Sheet

Contract (PO) Number: 21961

Specification Number: 84759

Name of Contractor: JPMORGAN CHASE BANK NATL ASSOC

City Department: DEPARTMENT OF FINANCE

Title of Contract: Prepaid Cards: Property Tax Relief Program

Term of Contract: Start Date: 1/12/2010

End Date: 12/31/2020

Dollar Amount of Contract (or maximum compensation if a Term Agreement) (DUR):

\$800,000.00

Brief Description of Work: Prepaid Cards: Property Tax Relief Program

Procurement Services Contract Area: COMPTROLLER-OTHER

Vendor Number: 50673032

Submission Date: s/JJ *fo*

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I - GENERAL INFORMATION

A. Legal name of Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

JPMorgan Chase & Co.

Check ONE of the following three boxes:

Indicate whether Disclosing Party submitting this EDS is:

1. the Applicant
OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which Disclosing Party holds an interest: JPMorgan Chase Bank, N.A.
OR

3. a specified legal entity with a right of control (see Section II.B.1.b.) State the legal name of the entity in which Disclosing Party holds a right of control: _____

B. Business address of Disclosing Party: 10 South Dearborn, Floor 36
Chicago, IL 60603

C. Telephone: [REDACTED] Fax: (312)732-7005 Email: j [REDACTED] LZ [REDACTED]

D. Name of contact person: Mark E. Lester

E. Federal Employer Identification No. (if you have one): [REDACTED]

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter¹¹") to which this EDS pertains. (Include project number and location of property, if applicable):

Applicant entered into an agreement with the City of Chicago to disburse property tax rebates through non-reloadable prepaid cards.

G. Which City agency or department is requesting this EDS? Office of Budget & Mgt.

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification# _____ and Contract# _____

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

The Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities for records of investments or profits from slavery, the slave industry, or slaveholder insurance policies from the slavery era (including insurance policies issued to slaveholders that provided coverage for **4**amage to or **injury** or death of their slaves) and has disclosed in this EDS any and all such records to the City. In addition, the Disclosing Party must disclose the names of any and all slaves or slaveholders described in those records. Failure to comply with these disclosure requirement may make the Matter to which this EDS pertains voidable by the City.

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all requisite information as set forth in that paragraph 2.

1. The Disclosing Party verifies that (a) the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities for records of investments or profits from slavery, the slave industry, or slaveholder insurance policies, and (b) the Disclosing Party has found no records of investments or profits from slavery, the slave industry, or slaveholder insurance policies and no records of names of any slaves or slaveholders.

2. The Disclosing Party verifies that, as a result of conducting the search in step 1(a) above, the Disclosing Party has found records relating to investments or profits from slavery, the slave industry, or slaveholder insurance policies and/or the names of any slaves or slaveholders. The Disclosing Party verifies that the following constitutes full disclosure of all such records:

SEE ATTACHMENT C

SECTION VI -- CERTIFICATIONS FOR FEDERALLY-FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII.

A CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Begin list here, add sheets as necessary):

H.3. If the Disclosing Party is the Applicant, the Disclosing Party 1 obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in H.1. and H.2. above and will not without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in H.1., H.2. or H.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS are true, accurate and complete as of the date furnished to the City.

JPMORGAN CHASE & CO.
(Print or type name of Disclosing Party)

Date: 11-15-10

By: ♦♦

J1
(signature)

Eric Rockhold
(Print or type name of person signing)

Managing Director
(Print or type title of person signing)

Signed and sworn to before me on (date) 11-15-10 at W. ID by Eric Rockhold
at Cook, IL (state).

----- Notary Public.

Commission expires: 1/01/10



the precise nature of such familial relationship.

To the best of the Disclosing Party's knowledge and belief, the Disclosing Party has knowledge of a "familial relationship" between William M. Daley, Head of Corporate Responsibility and Midwest Region of JPMorgan Chase Bank, N.A. and JPMorgan Chase & Co. and his brother, Richard M. Daley, Mayor of the City of Chicago.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS are true, accurate and complete as of the date furnished to the City.

JPMorgan Chase & Co.
(Print or type name of Disclosing Party)

Date: fr- 1.5", to

By: Eric Rockhold
(Sign here)

Eric Rockhold
(Print or type name of person signing)

Managing Director
(Print or type title of person signing)

Signed and sworn to before me on (date) 1-1-10 by ERIC R. ROCKHOLD
at _____ County, IL (State).

Notary Public

Commission expires: ()



**ATTACHMENT C
TO
CITY OF cmcAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
FILED BY
• JPMORGAN CHASE & CO.
(as an Entity Holding an Interest in an Applicant)**

SECTION V -- CERTIFICATIONS

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS.

The Disclosing Party was formed on July 1, 2004, when JPMorgan Chase & Co. acquired Bank One Corporation ("Bank One").

With regard to predecessors of the Disclosing Party as it existed prior to the Bank One Corporation acquisition ("JPMorgan Chase"), the Disclosing Party reports that J. Pierpont Morgan, Sr. was associated with George Peabody & Company and J.S. Morgan & Company (the "Peabody Firms.") before he founded Drexel Morgan & Company, which ultimately became part of JPMorgan Chase. Capital supplied by Junius S. Morgan and J. Pierpont Morgan, Sr. appears to have been used to capitalize Drexel Morgan & Company in 1871. Upon the death of Junius S. Morgan, J.S. Morgan & Company came under the control of J. Pierpont Morgan, Sr. and became affiliated with J.P. Morgan & Co. Records indicate that the Peabody Firms had customers that appear to have used enslaved individuals.

JPMorgan Chase and Bank One had predecessor banks in states outside the South that purchased notes issued by, issued letters of credit or made loans to, and/or maintained correspondent accounts with municipalities, banks, companies and individuals located in Southern states where slavery was practiced during the slavery era. These municipalities, banks, companies and individuals are listed on Attachment 1.

Bank One had predecessor banks before 1866 in three Southern states: Kentucky, Louisiana and Virginia. Searches revealed slavery related information about two Louisiana banks, the Canal Bank (formed in 1831) and the Citizens Bank (formed in 1833), and the Lexington branch of the second Bank of Kentucky (formed in 1835). In 1924 Citizens Bank and Canal Bank merged. Predecessors of JPMorgan Chase had longstanding banking relationships with Canal Bank and its predecessors (see Attachment 1), were creditors of Canal Bank and, in 1931, it appears that a predecessor of Morgan Chase led a group of investors that provided capital to Canal Bank and this predecessor of JPMorgan Chase became a shareholder and took a controlling management interest in the Canal Bank. The Canal Bank was placed into liquidation in March-May 1933 based on actions by the State of Louisiana and the federal government. In May 1933, The National Bank of Commerce in New Orleans was formed pursuant to an executive order approved by President Roosevelt and its assets included some of the deposits and loans of the old Canal Bank. Most of the capital for The National Bank of Commerce was provided by the Reconstruction Finance Corporation (owned by the U.S. government), with the remainder coming from new shareholders. The U.S. government also provided over \$13 million toward the liquidation of the old Canal Bank. In 1947 and 1969, The National Bank of Commerce in New Orleans made two grants to Tulane University, which included

archives of the Citizens Bank and Canal Bank. These materials are held at the Tulane Manuscripts Department, Special Collections Division, Howard-Tilton Memorial Library at Tulane University in New Orleans, Louisiana (collectively, the "Tulane Records"). In 1865, the First National Bank of Lexington (subsequently a part of First Security Corporation of Kentucky which was acquired by Bank One in 1992) was formed and assumed the operations of the Lexington Branch of the second Bank of Kentucky. Public records pertaining to the Lexington Branch of the second Bank of Kentucky have been discovered that contain records relevant to this certification (the "Lexington Records"). The Tulane Records, the Lexington Records and other records indicate that:

1. Citizens Bank and Canal Bank provided credit to plantation owners and accepted mortgages from them. The collateral covered by these mortgages included land, equipment and/or enslaved individuals. The available records do not always provide the names of enslaved individuals. The Disclosing Party, however, estimates that, from 1831 to 1865, taking into account the duplication and/or absence of exact data, approximately 21,000 enslaved individuals were listed among the collateral covered by mortgages given to the Louisiana banks.
2. The Lexington Branch of the second Bank of Kentucky also provided credit to plantation owners and accepted mortgages from them. The collateral covered by these mortgages included land, equipment and/or enslaved individuals. The available records do not always provide the names of enslaved individuals. The Disclosing Party, however, estimates that, from 1835 to 1865, taking into account the duplication and/or absence of exact data, approximately 55 enslaved individuals were listed among the collateral covered by mortgages given to the Lexington Branch of the second Bank of Kentucky.
3. When mortgages went unpaid, the banks could initiate foreclosure proceedings. When this occurred, the bank could take ownership of the collateral. The available records do not always provide the names of enslaved individuals. The Disclosing Party, however, estimates that from 1831 to 1865, taking into account the duplication and/or absence of exact data, approximately 1,300 enslaved individuals were listed among the collateral that the Louisiana banks came to own. There is no evidence of foreclosure proceedings initiated by the Lexington Branch of the second Bank of Kentucky.

Attachment 2 lists information on mortgages as to which one of the Louisiana banks came to own enslaved individuals through foreclosure proceedings, including, where available, the names of those individuals and their prior or subsequent owners. Attachment 3 lists information on mortgages as to which one of the three banks held collateral that included enslaved individuals, including, where available, the names of those individuals and their prior or subsequent owners. The attachments will be supplemented as necessary to reflect any additional information located.

On September 25, 2008, JPMorgan Chase Bank, N.A. (a subsidiary of the Disclosing Party) acquired from the Federal Deposit Insurance Corporation, as the Receiver of Washington Mutual Bank, Henderson NV, certain assets of Washington Mutual Bank.

A review of the records of Washington Mutual Bank, including the records of its predecessor entities, has disclosed no evidence that Washington Mutual Bank nor any of its predecessors had any investments or profits from slavery, any direct involvement in the slave trade, any direct ownership in slaves, or any slaveholder insurance policies from the slavery era. There is

evidence, however, that one predecessor entity, The Bowery Savings Bank, New York (1834) ("Bowery Savings"), purchased a \$100,000 bond of a slave holding state, North Carolina. A total of \$44,000 was paid to Bowery Savings by North Carolina in 1868 on account of the bond.

**ATTACHMENT 1
TO
ATTACHMENT C
TO
CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
FILED BY
JPMORGAN CHASE & CO.
(as an Entity Holding an Interest in an Applicant)**

Agricultural Bank of Mississippi
Baltimore & Ohio Rail Road Company
Bank of Alabama
Bank of Alexandria (Virginia)
Bank of Ashland at Shelbyville
Bank of Augusta (Georgia)
Bank of Kentucky
Bank of Louisiana
Bank of Louisville
Bank of Metropolis
Bank of Mobile
Bank of Missouri
Bank of North Carolina
Bank of South Carolina
Bank of the State of Missouri
Bank of Tennessee
Bank of Virginia
Barnett, Ellison & Co.
Beers & Brunell
Beers & Co.
Canal & Rail Road Bank of Vicksburg
Carrolton Bank of New Orleans
Charleston Fire & Marine Insurance Company
Chattahoochee Rail Road and Banking Company
City Bank of New Orleans
Commercial & Rail Road Bank of Vicksburg
Commercial Bank of Manchester (Mississippi)
Commercial Bank of New Orleans
Commercial Bank of Selma
Corporation of the City of New Orleans
Corporation of the City of Savannah
Davis & Davis
Delaware & Hudson Canal Company
E.I. Forestell of New Orleans
ER Tyler of New Orleans
E. Warfield, Lexington, Kentucky
Exchange & Banking Company of New Orleans

Exchange Bank of Virginia at Richmond.
Franklin Bank of Baltimore
First Bank of Richmond
Hunt, fylorton & Quigby of Louisville (Kentucky)
J.D. Beers & Co.
Louisiana & Nashville Railroad Company
Mechanics & Traders Bank of New Orleans
Merchant & Planters Bank of Savannah
Merchants Bank of Baltimore
Mississippi Sound Company
Mr. Pastoret
Mr. S. Reid Irving & Co. (Cotton)
Nashville and Northwestern Rail Road Co.
New Orleans Canal & Banking Company
North Western Bank of Virginia
Philadelphia, Wilmington & Baltimore Rail Road Company
Planters & Mechanics Bank of Charleston
Planters & Mechanics Bank of Mobile
Planters & M.erchants Bank of Charleston
Planters Bank of Jackson (Mississippi)
Planters Bank of Natchez
Planters Bank of Savannah
Planters Bank of Tennessee
Robert Kinder House
Ross & Coleman
South Western Rail Road Bank of Charleston
Southern Bank of Alabama
Southern Bank of Kentucky
Southern Life Insurance & Trust Company of Florida
Southern Trust Company
Southwestern Rail Road Bank (South Carolina)
S. Reid Irving & Company
State & Metcalf of Gainsville, Georgia
State of Alabama
State of Florida
State of Ge rgia
State of Mississippi
T.T. Crittenden, Lexington and Huntsville, Kentucky
Tuscumbice and Decatur Rail Road Company
Union Bank of Charleston
Union Bank of Florida
Union Bank of Tefllessee

**ATTACHMENT 2
TO
ATTACHMENT C
TO
CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
FILED BY
JPMORGAN CHASE & CO.
(as an Entity Holding an Interest in an Applicant)**

**ENSLAVED INDIVIDUALS OWNED BY
CITIZENS BANK OF LOUISIANA AND
NEW ORLEANS CANAL & BANKING COMPANY**

**ATTACHMENT 3
TO
ATTACHMENT C
TO
CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
FILED BY
JPMORGAN CHASE & CO.
(as an Entity Holding an Interest in an Applicant)**

**ENSLAVED INDIVIDUALS MORTGAGED TO
CITIZENS BANK OF LOUISIANA,
NEW ORLEANS CANAL & BANKING COMPANY AND
LEXINGTON BRANCH OF THE SECOND BANK OF KENTUCKY**

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I – GENERAL INFORMATION

A. Legal name of Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

JPMorgan Chase Bank, National Association

Check ONE of the following three boxes:

Indicate whether Disclosing Party submitting this EDS is:

1. the Applicant
OR
2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which Disclosing Party holds an interest: _____
OR
3. a specified legal entity with a right of control (see Section II.B.1.b.) State the legal name of the entity in which Disclosing Party holds a right of control: _____

B. Business address of Disclosing Party: 10 South Dearborn, Floor 36
Chicago, IL 60603

C. Telephone: ~~██████████~~ Fax: (312)732-7005 Email ~~██████████~~jjf <tdW9"!IL.██████████>

D. Name of contact person: ~~Mark E. Lester~~ _____

E. Federal Employer Identification No. (if you have one): ~~██████████~~ 113 _____

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):
Applicant entered into an agreement with the City of Chicago to disburse property tax rebates through non-reloadable prepaid cards.

G. Which City agency or department is requesting this EDS? Office of Budget & Mgt.

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification# _____ and Contract# _____

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

The Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities for records of investments or profits from slavery, the slave industry, or slaveholder insurance policies from the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves) and has disclosed in this EDS any and all such records to the City. In addition, the Disclosing Party must disclose the names of any and all slaves or slaveholders described in those records. Failure to comply with these disclosure requirements may make the Matter to which this EDS pertains voidable by the City.

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all requisite information as set forth in that paragraph 2.

1. The Disclosing Party verifies that (a) the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities for records of investments or profits from slavery, the slave industry, or slaveholder insurance policies, and (b) the Disclosing Party has found no records of investments or profits from slavery, the slave industry, or slaveholder insurance policies and no records of names of any slaves or slaveholders.

2. The Disclosing Party verifies that, as a result of conducting the search in step 1(a) above, the Disclosing Party has found records relating to investments or profits from slavery, the slave industry, or slaveholder insurance policies and/or the names of any slaves or slaveholders. The Disclosing Party verifies that the following constitutes full disclosure of all such records:

SEE ATTACHMENT C

SECTION VI -- CERTIFICATIONS FOR FEDERALLY-FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Begin list here, add sheets as necessary):

H.3. If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in H.1. and H.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in H.1., H.2. or H.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS are true, accurate and complete as of the date furnished to the City.

JPMORGAN CHASE BANK, NATIONAL ASSOCIATION
(Print or type name of Disclosing Party)

Date: 11/3/10

By: _____
_____ (sign here)

David Weinstein
(Print or type name of person signing)

Executive Director
(Print or type title of person signing)

Signed and sworn to before me on (date) November 3, 2010, by David Weinstein,
at New York County, New York (state).

Notary Public.

&
Commission expires: 1/1/11

MIGDALIA DEREYAYLA
Notary Public, State of New York
Registration #01DE072408
Qualified in Kings County
Commission Expires April 1, 2010

the precise nature of such familial relationship.

To the best of the Disclosing Party's knowledge and belief, the Disclosing Party has knowledge of a "familial relationship" between William M. Daley, Head of Corporate Responsibility and Midwest Region of JPMorgan Chase Bank, N.A. and JPMorgan Chase & Co., and his brother, Richard M. Daley, Mayor of the City of Chicago.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS are true, accurate and complete as of the date furnished to the City.

~~JPMorgan Chase Bank, National Association~~ Date: 1/07/10
(Print or type name of Disclosing Party)

By:

() [Signature]
(Sign here)

DAVID WEINSTEIN
(Print or type name of person signing)

Executive Director
(Print or type title of person signing)

Signed and sworn to before me on (date) Jan 13, 2010, by David Weinstein
at New York County, es, v'jo-t'l- (St e). •

____ Notary Public.

Commission expires: 1/13/10

MIGDALIA DEREYAYLA
Notary Public, State of New York
Registration #01DE072408
Qualified in Kings County
Commission Expires April 1, 2010

**ATTACHMENT C
TO
CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
FILED BY
JPMORGAN CHASE BANK, NATIONAL ASSOCIATION
(as an Applicant)**

SECTION V - CERTIFICATIONS

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS.

The Disclosing Party assumed its current name on November 13, 2004, when JPMorgan Chase Bank, a New York banking corporation, was converted into a national banking association under the name JPMorgan Chase Bank, National Association, and both Bank One, National Association (main office Chicago) and Bank One, National Association (main office Columbus) merged into it with the Disclosing Party being the surviving entity.

With regard to predecessors of the Disclosing Party as it existed prior to such merger ("JPMorgan Chase"), the Disclosing Party reports that J. Pierpont Morgan, Sr. was associated with George Peabody & Company and J.S. Morgan & Company (the "Peabody Firms") before he founded Drexel Morgan & Company, which ultimately became part of JPMorgan Chase. Capital supplied by Junius S. Morgan and J. Pierpont Morgan, Sr. appears to have been used to capitalize Drexel Morgan & Company in 1871. Upon the death of Junius S. Morgan, J.S. Morgan & Company came under the control of J. Pierpont Morgan, Sr. and became affiliated with J.P. Morgan & Co. Records indicate that the Peabody Firms had customers that appear to have used enslaved individuals.

JPMorgan Chase and the Bank One banks referred to above (collectively, "Bank One") had predecessor banks in states outside the South that purchased notes issued by, issued letters of credit or made loans to, and/or maintained correspondent accounts with municipalities, banks, companies and individuals located in Southern states where slavery was practiced during the slavery era. These municipalities, banks, companies and individuals are listed on Attachment 1.

Bank One had predecessor banks before 1866 in three Southern states: Kentucky, Louisiana and Virginia. Searches revealed slavery-related information about two Louisiana banks, the Canal Bank (formed in 1831) and the Citizens Bank (formed in 1833), and the Lexington branch of the second Bank of Kentucky (formed in 1835). In 1924 Citizens Bank and Canal Bank merged. Predecessors of JPMorgan Chase had longstanding banking relationships with Canal Bank and its predecessors (see Attachment 1), were creditors of Canal Bank and, in 1931, it appears that a predecessor of JPMorgan Chase led a group of investors that provided capital to Canal Bank and this predecessor of JPMorgan Chase became a shareholder and took a controlling management interest in the Canal Bank. The Canal Bank was placed into liquidation in March-May 1933 based on actions by the State of Louisiana and the federal government. In May 1933, The National Bank of Commerce in New Orleans was formed pursuant to an executive order approved by President Roosevelt and its assets included some of the deposits and loans of the old Canal Bank. Most of the capital for The National Bank of Commerce was provided by the Reconstruction Finance Corporation (owned by the U.S. government), with the remainder coming from new shareholders. The U.S. government also provided over \$13 million toward the liquidation of the old Canal Bank. In 1947 and 1969, The National Bank of Commerce in New Orleans made two grants to Tulane University, which included

archives of the Citizens Bank and Canal Bank. These materials are held at the Tulane Manuscripts Department, Special Collections Division, Howard Tilton Memorial Library at Tulane University in New Orleans, Louisiana (collectively, the "Tulane Records"). In 1865, the First National Bank of Lexington (subsequently a part of First Security Corporation of Kentucky which was acquired by Bank One in 1992) was formed and assumed the operations of the Lexington Branch of the second Bank of Kentucky. Public records pertaining to the Lexington Branch of the second Bank of Kentucky have been discovered that contain records relevant to this certification (the "Lexington Records"). The Tulane Records, the Lexington Records and other records indicate that:

1. Citizens Bank and Canal Bank provided credit to plantation owners and accepted mortgages from them. The collateral covered by these mortgages included land, equipment and/or enslaved individuals. The available records do not always provide the names of enslaved individuals. The Disclosing Party, however, estimates that, from 1831 to 1865, taking into account the duplication and/or absence of exact data, approximately 21,000 enslaved individuals were listed among the collateral covered by mortgages given to the Louisiana banks.
2. The Lexington Branch of the second Bank of Kentucky also provided credit to plantation owners and accepted mortgages from them. The collateral covered by these mortgages included land, equipment and/or enslaved individuals. The available records do not always provide the names of enslaved individuals. The Disclosing Party, however, estimates that, from 1835 to 1865, taking into account the duplication and/or absence of exact data, approximately 55 enslaved individuals were listed among the collateral covered by mortgages given to the Lexington Branch of the second Bank of Kentucky.
3. When mortgages went unpaid, the banks could initiate foreclosure proceedings. When this occurred, the bank could take ownership of the collateral. The available records do not always provide the names of enslaved individuals. The Disclosing Party, however, estimates that, from 1831 to 1865, taking into account the duplication and/or absence of exact data, approximately 1,300 enslaved individuals were listed among the collateral that the Louisiana banks came to own. There is no evidence of foreclosure proceedings initiated by the Lexington Branch of the second Bank of Kentucky.

Attachment 2 lists information on mortgages as to which one of the Louisiana banks came to own enslaved individuals through foreclosure proceedings, including, where available, the names of those individuals and their prior or subsequent owners. Attachment 3 lists information on mortgages as to which one of the three banks held collateral that included enslaved individuals, including, where available, the names of those individuals and their prior or subsequent owners. The attachments will be supplemented as necessary to reflect any additional information located.

On September 25, 2008, the Disclosing Party acquired from the Federal Deposit Insurance Corporation, as the Receiver of Washington Mutual Bank, Henderson, NV (the "Receiver") certain assets of Washington Mutual Bank.

A review of the records of Washington Mutual Bank, including the records of its predecessor entities, has disclosed no evidence that Washington Mutual Bank nor any of its predecessors had any investments or profits from slavery, any direct involvement in the slave trade, any direct ownership in slaves, or any slaveholder insurance policies from the slavery era. There is evidence, however, that one predecessor entity, The Bowery Savings Bank, New York (1834) ("Bowery Savings"), purchased a \$100,000 bond of a slave holding state, North Carolina. A total of \$44,000 was paid to Bowery Savings by North Carolina in 1868 on account of the bond.

**ATTACHMENT 1
TO
ATTACHMENT C
TO
CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
FILED BY
JPMORGAN CHASE BANK, NATIONAL ASSOCIATION
(as an Applicant)**

Agricultural Bank of Mississippi
Baltimore & Ohio Rail Road Company
Bank of Alabama
Bank of Alexandria (Virginia)
Bank of Ashland at Shelbyville
Bank of Augusta (Georgia)
Bank of Kentucky
Bank of Louisiana
Bank of Louisville
Bank of Metropolis
Bank of Mobile
Bank of Missouri
Bank of North Carolina
Bank of South Carolina
Bank of the State of Missouri
Bank of Tennessee
Bank of Virginia
Barnett, Ellison & Co.
Beers & Brunell
Beers & Co.
Canal & Rail Road Bank of Vicksburg
Carrollton Bank of New Orleans
Charleston Fire & Marine Insurance Company
Chattahoochee Rail Road and Banking Company
City Bank of New Orleans
Commercial & Rail Road Bank of Vicksburg
Commercial Bank of Manchester (Mississippi)
Commercial Bank of New Orleans
Commercial Bank of Selma
Corporation of the City of New Orleans
Corporation of the City of Savannah
Davis & Davis
Delaware & Hudson Canal Company
E.I. Forestell of New Orleans
E.R. Tyler of New Orleans
E. Warfield, Lexington, Kentucky
Exchange & Banking Company of New Orleans
Exchange Bank of Virginia at Richmond
Franklin Bank of Baltimore

First Bank of Richmond
Hunt, Morton & Quigby of Louisville (Kentucky)
J.D. Beers & Co.
Louisiana & Nashville Railroad Company
Mechanics & Traders Bank of New Orleans
Merchant & Planters Bank of Savannah
Merchants Bank of Baltimore
Mississippi Sound Company
Mr. Pastoret
Mr. S. Reid Irving & Co. (Cotton)
Nashville and Northwestern Rail Road Co.
New Orleans Canal & Banking Company
North Western Bank of Virginia
Philadelphia, Wilmington & Baltimore Rail Road Company
Planters & Mechanics Bank of Charleston
Planters & Mechanics Bank of Mobile
Planters & Merchants Bank of Charleston
Planters Bank of Jackson (Mississippi)
Planters Bank of Natchez
Planters Bank of Savannah
Planters Bank of Tennessee
Robert Kinder House
Ross & Coleman
South Western Rail Road Bank of Charleston
Southern Bank of Alabama
Southern Bank of Kentucky
Southern Life Insurance & Trust Company of Florida
Southern Trust Company
Southwestern Rail Road Bank (South Carolina)
S. Reid Irving & Company
State & Metcalf of Gainesville, Georgia
State of Alabama
State of Florida
State of Georgia
State of Mississippi
T.T. Crittenden, Lexington and Huntsville, Kentucky
Tuscumbia and Decatur Rail Road Company
Union Bank of Charleston
Union Bank of Florida
Union Bank of Tennessee

**ATTACHMENT 2
TO
ATTACHMENT C
TO
CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFF A VIT
FILED BY,
JPMORGAN CHASE BANK, NATIONAL ASSOCIATION
(as an Applicant)**

ENSLAVED INDIVIDUALS OWNED BY
CITIZENS BANK OF LOUISIANA AND
NEW ORLEANS CANAL & BANKING COMPANY

**.ATTACHMENT 3
TO
ATTACHMENT C
TO
CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT
FILED BY
JPMORGAN CHASE BANK, NATIONAL ASSOCIATION
(as an Applicant)**

**ENSLAVED INDIVIDUALS MORTGAGED TO
CITIZENS BANK OF LOUISIANA,
NEW ORLEANS CANAL & BANKING COMPANY AND
LEXINGTON BRANCH OF THE SECOND BANK OF KENTUCKY**

Due to their voluminous size, Attachments 2 and 3 are not attached hereto.

Please see the Economic Disclosure Statement of JPMorgan Chase & Co. for Attachments 2 and 3 in their entirety.

Attachment 2

The following list identifies enslaved individuals owned by Citizens Bank of Louisiana and New Orleans Canal & Banking Company in Louisiana from 1831 to 1865.¹ The information is drawn from two sources. The first is a collection of Citizens Bank minute books and papers held at Tulane University. The second is a survey of conveyance and land records held either at the New Orleans Public Library or at local parishes throughout Louisiana.

The list includes every reference to ownership of enslaved individuals by the banks located in these records. The list is arranged by parish and thereafter by date. General references to ownership that did not indicate a specific parish are listed separately.

Each entry includes information on previous (P) and subsequent (S) owners where known. Any available information on the location of the plantation is also recorded and appears in brackets after the previous and subsequent owners. Each entry includes a reference identifying the historical sources used to compile the information.

The information on individuals includes all names identified in the records. In some cases, the same individuals appear to have been involved in several different transactions. However, the records are often not consistent in the spelling of names and are often only partially or poorly indexed. Accordingly, each transaction is listed separately. The names in italics are ones that were difficult to decipher because of handwriting or because the records have faded over time.

¹This list was prepared by History Associates Incorporated at the direction of JPMorgan Chase & Co.

Citizens Bank of Louisiana

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New Orleans Canat& Banking Company

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Citizens Bank of Louisiana

General References

| Date | Previous/Subsequent Owners (Plantation Location] | Information on Individuals | Source |
|-----------------------|---|---|---|
| <i>Ap!</i> 1842 | Mr. Pim (S) | Nelson, Philip, Syhrester, Sally and her two children | Tulane University, Citizens Bank Minute Book No. 5, 1842/04/04 |
| Jan 1845- Mar 1845 | J. R. Thomas (P) | unnamed individuals | Tulane University, Citizens Bank Minute Book No. 5, 1845/01/18 and 1845J03127 |
| Jul 1845 | Mary Hoey (P) | Lucretia and Joe | Tulane University, Citizens Bank Minute Book No. 5, 1845/07/31 |
| Aug 1847 | Unknown | unnamed individuals | Tulane University, Citizens Bank Minute Book No. 6, 1847/08/17 |
| Feb 1847 | J. Lawson (P) | Edward | Tulane University, Citizens Bank Minute Book No. 6, 1849/03/23 |
| Jul 1850 | G. <i>Hiriard</i> (P) | unnamed individuals | Tulane University, Citizens Bank Minute Book No. 6, 1850/07/02 |

Ascension Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|---------|---|----------------------------|--|
| c. 1639 | Trasimon Landry (P) | unnamed individuals | New Orleans Public Library (NOPL), Ascension Parish VendeelIndex |

Assumption Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|----------|---|----------------------------|---|
| Sep 1840 | Francis Boutelou de St. Aubin (P) Adolphe Wenceslas Pichot (S) | Jean | Assumption Parish, Sheriffs Sale Book A, p. 232, 1840/09/023; Conveyance Record 6, p. 232, 1841/07/26 |

| | | | |
|-----------------------|--|--|--|
| Aug 1844- Jan 1846 | Marius Albagnac (P) John Billsen (S) [left bank of Bayou Lafourche] | Peggy. <i>Barna/by</i> , Magdelaine | Assumption Parish, Conveyance Book 11, p. W, 1846/01/10; Sheriffs Sale Book B, p. 178, 1884/08/03; Tulane University, Citizens Bank Minute Book No. 5, 1846/01/07 |
| Mar 1853- Apr 1853 | Alfred Tete (P) Mrs. Clodis Gourdan (S) (Bayou Lafourche] | Henry, Jacob, Abraham, George, Moses, <i>Anais</i> | Assumption Parish, Conveyance Book 19, p. 190, 1853/04/26; Sheriffs Sale Book B, p. 426, 1853/03/06; Tulane University, Citizens Bank Minute Book No. 7, 1853/03/31 |

Claiborne Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|---------|--|----------------------------|--|
| c. 1848 | R. H. Basset (P) | 4 unnamed individuals | Tulane University, Citizens Bank Property Management Book |

East Feliciana Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|-------------------------|---|---|--|
| Dec 1845 - Feb 1846 | John D. McDonald (P) Robert Perry (S) [Black Creek] | Hampton, Joe; Laura and her child Jane; Emily and her child John; Hester | East Baton Rouge Parish, Sheriffs Book E, p. 137, 1845/12/13; East Feliciana Parish, Conveyance Book K, pp. 111-113, 1846/02/18; Tulane University, M-1847, Citizens Bank Mortgage Book; Citizens Bank Minute Book No. 5, 1846/02/12 |
| Feb. 1847 - Dec 1848 | Robert Pool (P) | Jim and other unnamed individuals | Tulane University, Citizens Bank Minute Book No. 6, 1847/02/04, 1848/S1028, 1848/12/18 |
| Jun 1848 | Thorton Lawson (P) | Edmund | East Feliciana Conveyance Book L, pp. 219-225, 1848/06/03; Tulane University, M-1847, Citizens Bank Mortgage Book |
| c. 1848 | Carter Harvil (S) | 7 unnamed individuals | Tulane University, M-1847, Citizens Bank Mortgage Book |
| c. 1848 | B. Myers (P) | 5 unnamed individuals | Tulane University, M-1847, Citizens Bank Mortgage Book |

| | | | |
|----------|--------------------------|------------------------|---|
| c. 1848 | Unknown [Bayou Teche] | 14 unnamed individuals | Tulane University, 1847, Citizens Bank Mortgage Book |
| Jan 1853 | Stephen Yarborough (P) | 8 unnamed individuals | East Feliciana Parish, Mortgage Book E, p. 543, 1853/01/21 |
| Feb 1854 | John L. Delee (S) | 13 unnamed individuals | East Feliciana Parish, Mortgage Book E, p. 544, 1853/02/15 |

Iberville Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|----------|--|--|---|
| Feb 1840 | Botts and Abner Robinson (S) | Frank, Anthony, Jim, Dirk, Isaac, Joe Gray, Martin, Jacob <i>McNayer</i> , Lewis, Nat, Jacob, George <i>McNayer</i> ; Ben, William, Joe, Plato, Washington, Big Davy, Davy, Moses, <i>Wapping</i> , Rachei and her child Daphny; Nelly; Lucy and her child Charlotte; Susan and her three children Jacob, Nelly and Lewis; Patsy and her daughter Caroline; <i>Chancy</i> , Elizabeth, Maria; Luckey and her children Harriet and Abraham; Spencer, Esau, Fanny; Sarah and her two children William and Martha; Daphny, Abby, Phillis, Mary, George, Anne, Big Maria; Fanny-and her unnamed infant; Kitty, Charity; Susan and her unnamed son; George, Matilda, Edmund, Peter, Ben, <i>Bandals</i> , Sam, Archibald, York, John, Peter, Abraham, Fielding, Sam, David, Gras, Eliza, Lucy, Robert, Francis, Emily, Caroline, Henry, Patsy, William, Alexander, Wyatt, Anderson, Hannah, Ceyley, Milly, Letty, Tom, Maria, Mary, Harriet, Louisa, Tom, Ned, Juliet, Ned, Nancy | Iberville Parish, Conveyance Book T, Entry 223, 1840/02/07; Lafourche Parish Conveyance Book P, p. 438, 1840/02/17 |
| Feb 1843 | Lewis LeSassin (P) | unnamed Individuals | Tulane University, Citizens Minute Book No. 5, 1843/02/07 |

Lafourche Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|----------|--|----------------------------|---|
| Dec 1842 | G. A. Botts (P) | unnamed individuals | Tulane University, Citizens Bank Minute Book No. 5, 1842/12/30 |

Jul 1845 - J. Nictiolas (P)
 May 1849 R. P Gaillard (S)

Andre, Jean Baptiste, Clairville, Francis, Joseph, Sylvester,
 Benito, Bonaranture, Theophile, Marie, Cecile, William, Honore,
 Marianne, O'eline, Catherine, Celestin, Helene, Agathe,
 Domstele, Celestine, Mary, Solby, Anna, Suzette, Estele,
 Henriette, Odile, Lutelia, Baptiste, Diek, Randall, James, Sam,
 Melite, Madeleine

Lafourche Parish, Conveyance
 Book AA, p. 380, 1849/05/01

Natchitoches Parish

| Date | Previous/Subsequent Owners [Plantation Location] |
|-----------|--|
| Feb 1838 | Michael Boyce (P) |
| •Feb 1840 | Adolphe Sampayrac (P) |
| Mar 1841 | Joseph T. Robinson (S) |

Information on Individuals

36 unnamed individuals

Alfred, Ovilde, Honore, *Michot*, Frederic, Sam, William, *Flem*,
 Nelson, Ned, Mary, *Fanny*

Moses, *Asariah*, Lewis, Joe, Harrison, Henry West. *Elsy*, Green,
 Reid, York, Allen, Daniel, Harriet, Judy, Julia, Charlotte, *Sirah*,
 Nancy Elliot, *Chaney*, *Emi* and her child, Louisa and her unnamed
 child

Source

Natchitoches Parish, Book 23, p.
 2, 1838/02/07

Natchitoches Parish, Book 27, p.
 18, 1840/02/29

Natchitoches Parish, Book 32,
 p. 50, 1841/03/27

Orleans Parish

| Date | Previous/Subsequent Owners [Plantation Location] |
|----------|--|
| Jan 1842 | Christopal de Armas (P) |
| Aug 1842 | Leopold J. Rocquet (S) |
| Au♦ 1842 | Antione Bausset (S) |
| Aug 1842 | Marais Gautier (S) |
| May 1843 | Valiour Fortier (S) |

Information on Individuals

Marie, Anne

Tom Mason and his wife Lucy

Peter

Archy, *Tabiyand* her two children Joseph and an unnamed infant

Jacob

Source

Orleans Parish, Conveyance
 Record Book 29, p. 698,
 1842/01/06

Orleans Parish, Conveyance
 Record Book 32, p. 421.,
 1842/08/03

Orleans Parish, Conveyance
 Record Book 32, p. 440,
 1842/08/18

Orleans Parish, Conveyance
 Record Book 31, p. 447,
 1842/08/21

Orleans Parish, Conveyance
 Record Book 33, p.171,
 1843/05/20

| | | | |
|----------|--|---|---|
| Sep 1845 | Charles Nicaud (P) V. and B. Bouny (S) | John Richardson, Moses Lewis, Peter, Joe Phoebe, Jim Phoebe, Robert, Saul, Ben, Edmond, Jim Bouny, Narcisse, Thomas Side, Victor, Sheldrick, Moses Guerin, Tom Guerin, Jim O. Duhigg, Figaro, Ned Rackoon, Big Joe, Richard, Eugene, Jim Bullfrog, Bob, Henry Charleston, Belly Boy, William Chaigneau, Peter, Big Ned, Alfred, Mathilde, Nancy, Phoebe, Fany, and Jack Richmond | Tulane University, Citizens Bank Papers, Loans, Box 1 |
| c. 1846 | Daniel Ho.Hiday (S) | | Orleans Parish, Conveyance Record Book 38, p. 484 |
| Mar1849 | Mrs. Lafayette Saunders (S) | James | Orleans Parish, Conveyance Record Book 46, p. 411, 1849/03/06 |
| Sep 1852 | Felix Garcia (P) Auguste Montegut (S) | Arthemise | Orleans Parish, Conveyance Record Book 60, p. 111, 1852/9/6; Tulana University, Citizens Bank Minute Book No. 7, 1852/08126 |
| Oct 1852 | Felix Garcia (P) William and Heywood Stackhouse (S) | Basile, Llyod, Adam, Laurent, Pegui, Camille, Marguerite, Philomene, Charles, Ursine, Marianne, Pierre, Constance, Celestine, <i>Sanon</i> , Dotreville, Dorothee, Melite, Rose, Sue, Fox, Therese, Edouard, Baptiste, Eulalie, Peter, Jean Bongo, Bill, Lucile Sue, Thebe, Mary, Olivia, Jean, Charles, Raymond, Rachel, Honore, Theodore, Petion, Raymond, Celeste, Joseph, Henriette, Heloise, Antoine, Celestine, Frosine, Casimin, Joseph, Francoise, Victor, Poline, Louise, Alexis, James, Mamette, Augustine, Francois, Birsson, Dick, Tom, Lucille, Anny, Rachel, lidy, Charlotte, Valcour, Albert | Orleans Parish, Conveyance Book 59, p. 174, 1852/10/20; Tulane Univeraity, Citizens Bank Minute Book No. 5, 1852/09/09 |

Plaquemines Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|----------|--|--|--|
| Oct 1852 | Felix Garcia (P) W. and H. Stackhouse (S) | Bazile, Raymond, Uoyde, Rachel, Adam, Honore, Laurent, Theodore, <i>Regan</i> , Petion, Camille, Raymonde, Marguerite, <i>Ee/ante</i> , Babet. Joseph, Philemon, Henrietta, Charles, Helios, Ursin, Antonio, Marianne, Celestin, Pierre, Frazine, Constance, Casimir, Celestine, Joseph, Janen, Francoise, <i>Patreville</i> , Carter, <i>Porachi</i> , Bob, <i>Nec/ite</i> , <i>Zan/In</i> , Rose, Louise, Zoe, <i>Hiers</i> , Fox, James, Theresa, Henriette, Edward, Augustine, Baptiste, Francis, Evalie, Risson, Peter, Criske, Jean Congo, Tom, Bill, Lucille, Lucille Joe, <i>Fanny</i> , Phoebe, Rachel, Mary, Liddy, Olivia, Charlotte, Jeon, Valcour, Charles, Alberte | Plaquemines Parish, Conveyance Book 6, p. 430, 1852/10/13; Tulane University, Citizens Bank Minute books No. 5, 1852/09/09 |

Pointe Coupee Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|------------------------|--|--|--|
| Jul 1839 - Sep 1839 | Montgomery Smith (P) A Ledoux & Co., George O. Hall (S) | Gilbert, Randall, Lorenzo; Maria and her two unnamed children; Anne, Eliza, Ellen, | Pointe Coupee Parish, Mortgage Book C, No. 11 n, 1839/07/22, no.1189, 1839/09/25 |

Rapides Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|----------------------|--|----------------------------|--|
| Mar 1843 - C 1848 | A. B. Gill (P) J. Huie (S) [Bayou Marteau] | 37 unnamed individuals | Tulane University, Citizens Bank Minute Book No. 5, 1843/03/23, 1843/03/25, 1843/4/18; M-1847, Citizens Bank Mortgage Book |

St. Bernard Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|----------|--|----------------------------|--|
| c. 1848 | S. Peyroux (S) | 11 unnamed individuals | Tulane University, M-1847, Citizens Bank Mortgage Book |
| Sep 1850 | G. Peyroux (P) Albert Faber (S) | 14 unnamed individuals | Tulane University, Citizens Bank Minute Book No. 6, 1850/09/10 |

St Charles Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|----------|---|--|--|
| c. 1848 | C. Roselle (S) | 22 unnamed individuals | Tulane University, M-1847, Citizens Bank Mortgage Book |
| Jul 1852 | Felix Garcia (P) (Lorio Plantation on the right bank of the Mississippi River] | Abraham, Bill, Jacob, Peter, Jordan, Madison, Captain Fish, Baptiste, Sam, Phinppe, Edmund, Marianne; Suzanne and her two children John and Nelly; Rachel and her two children Augile and Vactor, L♦a. SalfY, Caroline | St. Charles Parish, Conveyance Book A&B, 1852/D7/07 |

| | | | |
|----------|--|---|--|
| Jan 1853 | Felix Garcia (P) Charles Rousell, Theodell Rousell, and Julian Vienne (S) [Lorio Plantation] | Abraham, Bill, Jacob, Peter, Jordan, Madison, Captain Fish, Baptiste, Sam, Philippe, _Edmund, Marianne; Suzanne and her two children John and Nelly; Rachel and her two children Augile and Victor; Liza, Sally, Caroline, Toby, Tallyrand, Nelly, Nathan, Arthur Field, Sam Caroll, Alexander Jackson, Archer Caroll, George McHenry, Moses Haris, Henry Hardith, Compthoes; Betsey Galinos and her two children Nathan and James; July Ann Johnson and her unnamed child; Eppo Johnson, Solomon Jones, William Lansing, Henry Waterson, Lan Thomas, Moses Nawell, Jody Flagg, Major Gillsion, John Asbby, Nancy Reses, Sam Red, Amy, Washington Spencer | Tulane University, Citizens Bank Minute Book 7, 1852/08/26; s t Charles Parish, Conveyance Book A, p. 174, 1853/01/03 |
|----------|--|---|--|

St. John the Baptist Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|----------|--|---|--|
| Apr 1846 | Mrs. Jean Arnauld (P) | Thlsa, James, Raymond, Alexis, Baker, Fox, <i>Samsnow</i> , Adam, Solomon, Honore, Celestin, Charley, Laurent, Pierre, Joe, Theodore, Raymond, Ursio, Camille, Antoinne, Bresson, Bebe, Peter, Dick, Basille, Francois, William, Jim Magnan, Casimer, Loyd, Daniel, Rose; Thereze and her child Manette; Celeste and her three children Louis, Joseph, and Philomele; Francoise and Jer children Detreville and an unnamed infant; <i>Phiosone</i> and her three children Celestine. Joseph, and <i>Joa/sin</i> ; Louise, Adelaide; Marianne and her child Estelle; Nathan, John Magnan, Basile, Raymond, Loyld, Rachel, Adam, Laurent, Honore, Theodore, Pegui, Petion, Camille, Raymond, Artemise, Celeste, Marguerite, Babes, Louis, Joseph, Eloise, Ursin, Antoine, Adelaide, Coralie, Marianne, Celestin; Pierre, Casimir, Clara, Estelle, Constance, Frosine, Claire, Sansnow, Francoise, Detreville, Victor, Dorothee, Pauline, Ferdinand, Rose; Louise and her son Joseph Nathan exchanged for Francois, son of Marie <i>Rosette</i> | St I John the Baptist Parish, Conve'ance Book X, pp. 327-328, 1846/4/29, and Conveyance Book Y, pp. 145- 147. 1847/03/09; Tulane University, Citizens Bank Minute Book No. 6, 1847/01127 |
| Aug 1846 | Jean Arnauld (P) Marie <i>Rosette</i> (S) | | St. John the Baptist Parish, Conveyance Book Y. pp. 72-74, 1846/08/19; Tulane University, Citizens Bank Minute Book No.6, 1846/08/06 |

| | | | |
|------------------------|---|---|---|
| Sep 1846 | Mrs. Jean Amauld (P) Felix Garcia (S) | Louis (also known as Bebe), Alexis, Fox, Salomon, Daniel, James, William, Celestine. Joseph, Joalsin, Therese, Manette, Auguste, Marie, Augustine, Baptiste, Francois, Eulalie, Bulsin, <i>illegible</i> , Dick, Thisa. Baker, Charley, Ardina, Jean, <i>illegible</i> , Bill, Lucille, Rachel, Lucille Joe, <i>illegible</i> , Hanny, Phebe, Mary, Eugene, Mary, Charlotte, Jean, <i>illegible</i> , <i>illegible</i> | St. John the Baptist Parish, Conveyance Book Y, pp. 83-108, 1846/09/30; Tulane University, M-1847, Citizens Bank Mortgage Book |
| Jun 1852 - Mar 1853 | Felix Garcia (P) Dominique Bouligny (S) | ◆athan, Basille, Raymond, <i>illegible</i> , Rachel, Adam, Laurent, Honore, Theodore, Peggy, Pelion, Camille, Raymond, Artemise, Celeste. Marguerite, Babette, Joseph, Philomene, Eloise, Ursin, Antoine, Marianne, Celestine, Pierre, Cisimir, Constance, Frasine, Claire, <i>illegible</i> , Francois, Detreville, Victor, Dorothee, Rose, Louisa, Joseph, Paunne, Alexis, Fox, James, Celestine, Joseph, Jason, Thereza, Manette, Augustine, Auguste, Baptiste, Francois, Eulalie, Banson, Peter, Jack, Jean, Leon, Bill, Louisa, Rachel, Hanny, Phalia, Mary, Charlotte, Jean, Faloir, Allant, Theresa, Dorothee, Celeste; Mary and her children Laby and Mary Dick | St. John the Baptist Parish, Conveyance Book Z, pp. 183-185, 1852/07/06, and Conveyance Book Z, pp. 216-217, 1853/03/04; Tulane University, Citizens Bank Minute Book No. 5, 1852/09/09 |
| May 1852 | Felix Garcia (P) | Claire | Tulane University, Citizens Bank Minute Book No. 7, 1852/05J20 |
| Sep.1852 | Felix Garcia (P) Joseph <i>illegible</i> (S) | Claire | Tulane University, Citizens Bank Minute Book No. 7, 1852/09/09 |

St. Martin Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|----------|---|---|---|
| Jul 1849 | Charles Fagot (P) Charles Grevinberg (S) [Ilse L'abbe] | Nick, <i>Laine</i> , Bill, Etienne. <i>Donhouis</i> ; Julie; Charlotte and her three children Frances; Sophie, and Marie; Peggy, Larina; Kitty and her child Pauline; Celeste, Honorine | St Martin Parish, Sheriff Book 2, p. 163, 1849/07/10; Conveyance Record 1-D, p. 260, 1849/10/02; Tulane University, Citizens Bank Minute Book No. 6, 1849/06/20, 1849/07/07; Tulane University, M-1847, Citizens Bank Mortgage Book |
| Jul 1849 | Joseph Eysallenne (P) Victor Delahoussaye (S) {Bayou Ceche} | Fernanda, Alfred, Dick, Thomas, Jim, Grace, Julie, Edouarde, Junet. Patsy, Ophelia, Lina, Marie, Maria, Dickson, Patsy, Sophie, Fransisque | St. Martin Parish, Sheriff Book 2, p. 163, 1849/07/10; Conveyance Book ID, p. 261, 1849/10/02; Tulane University, Citizens Bank Minute B No. 6, 1849/07/07 |

St. Mary Parish

| Date | • Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|------------------------|--|---|---|
| May 1845 - Apr 1846 | Robert Nicholas (P) Samuel Ogden and John Huger (S) [Cote Blanche] | Jacob, Little Mayor, Stephen, Little Jacob, Nelson, Edmond, Armisted, Monday, Big Harry, Washington, Peyton, John, Young Jon, Big Mayor, Bill, Peter, Fersh, Richmond, Eliza, Tammy, Charity, Caroline, Nelly, Violet, Diana, Tubby, Nancy, Harriett, Nlcy, Milly, Lacy, Little Mary, Rhony, Sally, Minty, Saunders, Jefferson, Minerva, Dickson, Harry, Davy, Tom, Naney, Courmey, Eddy, Pully, Susanna, Jacob, Barley, Patrick, Coleman, Frederick, Minerva, Cintly, Molly, Penina, Abraham, Buster, Leah, Vina, Solomon, Joe, Calvin, Martha; Amy, Jane; Edmond, Modilla, Alexander, Handy, Little Tim, Charles, Sorber-ton, Sophia, Lindy, Elizabeth, Albert, Minerva, Jack, Cerias, Betsy, Thomas, Casey, Tomy, Lewis, Marthon, Rindey, Emily, Artemis, Patrick, Becky, Louisa, Margaret, Sam, George, Peggy, Harold, Willy, Mamah, Jackson, Spencer, Charlotte, Lorean, unnamed individual, Hamby, Robinson, Hisam, Virginia Richmond | Tulane University, Citizens Bank Minute Book No. 5, 1845/05/05 and 1846/04/16; St Mary Parish Records, Conveyance Booltf, D. 401, 1845/08/03; Mortgage Book 12, p 89, 1845J07/24; NOPL. New Orleans Deed Book, 1845/08'08 |
| Jul 1845 | R. C. Nicholas (P) | | Tulane University, CitiZens Bank Minute Book No. 5, 1845J07/31 |

St Tammany Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|----------|--|----------------------------|--|
| Apr 1849 | M. G. Penn (P) [Palestine Plantation] | 9 unnamed individuals | Tulane University, M-1847, Citizens Bank Mortgage Book and Citizens Bank Minute Book No. 6, 1849/04/19 |

Washington Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|----------|--|----------------------------|--|
| Jun 1647 | G. Penn (P) | unnamed individuals | Tulane University, Citizens Bank Minute Book No. 6, 1847/06/15 |

New Orleans Canal & Banking Company

Ascension Parish

| Date | Previous/Subsequent Owners (Plantation Location] | Information on Individuals | Source |
|------------------------|---|---|---|
| 1845 | William C. Randall (S) | Reuben | Ascension Parish, Book 19, p. 401,c"1845 |
| Oct 1845 - Nov 1845 | David Randall (P) Christopher Ford (S) [left bank of Bayou Lafourche] | Jack, Matthew, Henry, Randall, Gus, Jack, Richard, Brown, Squire, Elijah, Caesar, Charles, MaryAnn, Virginia, Hannah, Julie, Aime; Martha and her two children Letitia and Ralf; Sarah and her three children Reubin, Louisil, and Henry; Mary, •suzane, Aglace, • Carol, and William | Ascension Parish, Conveyaice Book 19, p. 379, 1845/10/28, p. 387, 1845111/13, and p. 401, 1845/11/024 |

Avoyelles Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information on Individuals | Source |
|----------|--|--|---|
| Dec 1846 | Edmond Briggs (P) James Satterfield (S) | Hanah and her child Hester; Susan, Henrietta | Avoyelles Parish, Conveyance BookT, p. 32, 1846/12/23 |

East Feliciana Parish

| Date | Previous/Subsequent Owners [Plantation Location} | Information on Individuals | Source |
|----------|--|----------------------------|--|
| Jan 1849 | Mary Bostwick (P) | Cattie | NOPL, East Feliciana Conveyance Book L, p. 366, 1849/01/06 |

Jefferson Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information. on Individuals | Source |
|------|--|-----------------------------|--------|
| | | | |

Dec 1831 Eleonore M. MacCarty (P)
[left bank of Mississippi
River]

Narcisse, Adonis, Alexander, Creole, Amedee, Asenor, Alexander, Aisseu, Anthony, Bernard, Bison, Biard, Brutus, Bonjeau, Battist, Big Billy, Little Billy, Billy, Cesar, Charles, Charles, Daniel, Erasti, Etienne, Evariste, Edmund, Francois, George, Hector, Honore, Honore, Henry, Jacinthe, Jacques Jardinier, Jean Baptiste, Jeffrey, Joseph, John, John, Jean, Jerry, Joshua, Jeffrey, Leon, Ludon, Louis Ficher, Louis Ketto, Marcellus, Michel, Michael, Oresti, Orsher, Pair, Pierre, Pierre Congo, Pacide, Pompey, Puyo, Philimon; Paul, Soliman, Sanbo, Stephen, Stephney, Tisi, Mulatto Tom, Turner, Tine Tanba, Little Tom, Victor, Little Victor, Washington, Rosimond, Garlin Blacksmith, Bensiur, Jim, Simon, Felix, Anlaid, Athimide, Arseisne, Charlotte, Christian, Constance, Poumonne, Rose, Sarah, Sophie, Venus Congo, Venus Banbarra, Virginia, Victoire, Clarissa, Labelle, Sarah, Eliza, Marie Brine, Nelly, Edward, Vincent, Alexis, Figaro, La, Jerry, Antoinette, Helen, Arsuli, Celestina, Desiree, Dylarouie, Dalmyre, Marie Noel, Arsisne, Virginia, Marie Daluph, Jacques Cap, Little Jacques, Cleopatra, Charlotte, Charity, Dalphne, Flora, Big Maria, Maria Trusty, Little Maria, Maria Congo, Marie Francoise, Marianne, Mina: Pouponne and her child Celest; Pelagis

NOPL, East Feliciana
Conveyance Book L, p. 366,
1831/12/19; Louisiana Stale
Archives, Jefferson Parish
Mortgage Book 2, p. 387,
1832/1/10

Natchitoches Parish

Date Previous/Subsequent
Owners [Plantation
Location)
May 1834 Michael Boyce (P)

Information on Individuals

Reuben, Hamish, Peter, Lewis, Jesse, Archy, Anthony, Patrick,
Prince, *Larrisaand* her son Martin, unnamed boy, Mary

Source

Natchitoches Parish, Book 18, p.
296, 1834/05/05

Orleans Parish

Date Previous/Subsequent
Owners [Plantation
Location)
Nov 1838 Martial Dupierris (P)
Jun-1839 J. L. Bogert (P)
Feb 1844 Benjamin Davis (P)

Information on Individuals

Billy Christian
Bill
Zachariah, *illegif?le*, Frank, John

Source

Orleans Parish, Conveyance
Book 23, p. 692, 1838/11/12
Orleans Parish, Conveyance
Book 26, p. 410, 1839/06/25
Orleans Parish, Conveyance
Book 35, p. 93, 1844/02/24

| | | | |
|----------|--------------------------|---|--|
| Feb 1844 | Mark Davis (P) | John, Albert, Issac, Peter. Aaron, Nelson | Orleans Parish, Conveyance Book 36, p 97, 1844/02/24 |
| Dec 1847 | John Currin (P) | Andrew, Quinn | Orleans Parish, Conveyance Book 43, p. 275, 1847/12/28 |
| Apr 1850 | James Gilmer (\$) | Terry, James | Orleans Parish, Conveyance Book 49, p. 442, 1850/04/09 |
| Apr 1850 | John Hoey (S) | Hubbard | Orleans Parish, Conveyance Book 50, p. 437, 1850/04/09 |
| Sep 1850 | Mrs. Laure Wilkinson (S) | Susan | Orleans Parish, Conveyance Book 53, p. 127, 1850/09/20 |
| May 1851 | Manuel Blasco (S) | Priscilla and her daughter Mary Rose | Orleans Parish, Conveyance Book 29, p. 342, 1841/05/29 |

West Feliciana Parish

| Date | Previous/Subsequent Owners [Plantation Location] | Information ♦ Individuals | Source |
|------------------------|--|---|---|
| Sep 1843 | John Holmes (P and S) (Bayou Sarah) | Albert, Edmond, Wilson, Robin, Harriet | NOPL, West Feliciana Conveyance Book H p 452, 1843/09/02, and p 461, . 1843/09/02 |
| Sep 1843 | A. Dunbar (P) | Harry, Baptiste, Albert, Harry, Lowry, Randall, John, Jane; Mariah and her three children Baptiste, Albert, and Edward | NOPL, West Feliciana conveyance Book H p 455, 1843/09/02 |
| Apr 1845 - Dec 1845 | Guillaume Ramon (P) W. H. Barrow (\$) [Rio River] | Hampton Stokes, Carter Hampton, Bill O'Conner, Ned Carter, Sam O'Conner, Giles, Joshua, Aaron, Roden, Eddward Long, Peter, Overton, Ben, Walter, Bill, Nat, Solomon, Booker; Adeline and her child Dan; Lot, Joe, Joshua, Island Ben, Harry, Sophia, Kathy, Bidy; Stella and her child Rumsey; Nancy, Annette and her child Eveline; Rachael, 81en, Lettie, Dorcas and her child Rachael, Jane, Sally, Carey, Patty, Becky; Harriett and her child Elizabeth; Lucy, Susan | NOPL, West Feliciana Conveyance Book I, p. 168, 1845/12/20; West Feliciana Parish, Mortgage Book N p. 225, 1845/04/09 |
| Mar 1849 | Uriah 8. and Edward Phillips (S) | Catherine | West Feliciana, Conveyance Book I, p 559, 1849/03/21 |
| Nov 1849 | S. H. Lurty (S) | Lucinda, Harriet, Ann Marie, Isobel, and unnamed infant | NOPL, West F ♦ n a Conveyance Book I, p 620, 1849/11/15 |
| Nov 1849 | P. Lebret (S) | John | NOPL, Ywsl Feliciana Conveyance Book I, p.622, 1849/11/15 |

Attachment 3

The following list identifies cases where enslaved individuals were pledged to Citizens Bank of Louisiana, the New Orleans Canal Bank, or the Bank of Kentucky (Lexington Branch) as collateral for mortgages or loans from 1831 to 1865.¹ The information is drawn from three sources. The first is a collection of Citizens Bank minute books and papers held at Tulane University. The second consists of conveyance and mortgage records held at local parishes throughout Louisiana. The final source consists of conveyance records held at the Fayette County Courthouse in Lexington, Kentucky.

The list includes every reference to Citizens Bank, Canal Bank, or Bank of Kentucky (Lexington Branch) customers who secured loans or mortgages with enslaved individuals. The list is arranged alphabetically by parish or county and thereafter by owner. Each entry also includes information on the property and individual names included in the records. Names in italics reflect places where the documents were difficult to decipher because of the handwriting or because the documents have faded over time. The final column identifies the source for the information.

Many loans or mortgages were recorded more than once, including when borrowers died and plantations were sold or passed to others by will or other conveyance, or when loans were changed and had to be re-recorded. The existing records do not always provide enough information to identify when this occurred. Thus, related transactions may appear in separate entries listed under separate individuals. Complicating matters, there was no standardized spelling for many names in the source materials, and no standardized descriptions for many of the properties involved. Duplicate entries were avoided wherever possible, but where there was doubt, multiple entries were provided. Accordingly, some enslaved individuals listed may appear in several different entries.

¹ This list was prepared by History Associates Incorporated at the direction of JPMorgan Chase & Co.