



UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

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CANDICE LUE,	:	
	:	
Plaintiff,	:	No. 16 Civ. 03207 (AJN)(GWG)
	:	
- against -	:	
	:	
JPMORGAN CHASE & CO., ALEX KHAVIN,	:	
FIDELIA SHILLINGFORD, JOHN VEGA,	:	
HELEN DUBOWY, PHILIPPE QUIX, THOMAS	:	
POZ, CHRIS LIASIS, MICHELLE SULLIVAN,	:	
and DOES 1 - 10, inclusive,	:	
	:	
Defendants.	:	
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**DECLARATION OF KIMBERLY DAUBER**

KIMBERLY DAUBER, pursuant to 28 U.S.C. § 1746, hereby declares under penalty of perjury that the foregoing is true and correct:

1. I am employed as a Vice President in the Counterparty Risk Group (“CRG”) of J.P. Morgan Investment Management Inc., a wholly-owned subsidiary of JPMorgan Asset Management Holdings Inc., which is a wholly-owned subsidiary of JPMorgan Chase Holdings LLC, which is a wholly-owned subsidiary of JPMorgan Chase & Co. (“Chase”), a Defendant in the above-captioned action. I respectfully submit this declaration in support of Defendants’ motion for summary judgment in this action. This declaration is based on my personal knowledge, as well as my review of Chase business records.


2. On February 4, 2015, I sent an e-mail to Candice Lue stating in pertinent part: “Every analyst and/or associate on this team has been the minute taker of our Extended meetings at some time during the last 2 years.” A true and correct copy of such e-mail correspondence is annexed hereto as Exhibit A.

3. By "extended meetings," I was referring to non-governance meetings, such as our Technology Initiatives Meeting and Investment Risk Process meetings, at which the task of taking minutes was rotated among the analysts and associates.

4. I was not referring to the monthly governance meeting, the meeting for which Ms. Lue was assigned the exclusive responsibility to take minutes. Before Ms. Lue joined the CRG, that task was performed by Ms. Lue's predecessor, Baruch Horowitz. Mr. Horowitz was also exclusively responsible for collecting and distributing documents to the participants in advance of the meetings.

5. The only time these tasks were rotational was from June to November 2014, when Mr. Horowitz was on disability leave and after he left the company and his position had not yet been filled.

Dated: New York, New York  
May 9, 2017

  
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Kimberly Dauber

# EXHIBIT A

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**From:** Dauber, Kimberly S  
**To:** Lue, Candice; Shillingford, Fidelia X  
**Sent:** 2/4/2015 7:02:31 PM  
**Subject:** RE: Minutes and Documents for Extended Team Meeting

Candice -

Every analyst and/or associate on this team has been the minute taker of our Extended meetings at some time during the last 2 years. I don't think this is a function that is specifically written out in job duties because it's an ad-hoc function. However, Alex would pick a different person each time during our meetings. Most recently, it was understood that the reporting analyst would handle it. I'm fine with including additional analysts to assist you with this.

Best regards,

**Kimberly Dauber** | Vice President | J.P. Morgan Asset Management | 270 Park Ave, 9th Floor, New York, NY 10017 | T: 212-270-1655 | [kimberly.s.dauber@jpmorgan.com](mailto:kimberly.s.dauber@jpmorgan.com)

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**From:** Lue, Candice  
**Sent:** Wednesday, February 04, 2015 1:55 PM  
**To:** Shillingford, Fidelia X; Dauber, Kimberly S  
**Subject:** RE: Minutes and Documents for Extended Team Meeting

Hi Fidelia,

Just to reiterate, as previously discussed, I have never considered these tasks to be my responsibility as I had confirmed such in the interview and on the job.

Best regards,

Candice

**Candice Lue** | Asset Management | Counterparty Risk Group | J.P. Morgan | 270 Park Avenue, 9th Floor, New York, NY 10017 | ( (212) 648 - 0936 | + [Candice.Lue@jpmorgan.com](mailto:Candice.Lue@jpmorgan.com)

**From:** Shillingford, Fidelia X  
**Sent:** Wednesday, February 04, 2015 1:38 PM  
**To:** Dauber, Kimberly S  
**Cc:** Lue, Candice  
**Subject:** Minutes and Documents for Extended Team Meeting

Hi Kim

I have discussed with Alex and she is ok with the proposal that we continue to rotate the responsibility of document collection and minutes taking for our monthly governance meeting.

I suggest that we have a schedule so that each analyst is aware of who is responsible for which month. Can you please select at least two analysts who could assist Candice with this responsibility? Once confirmed, I will fill in the appropriate names for Analyst 1 and 2 and circulate.

Thank you.

Analyst	Month
Feb	Candice
Mar	Analyst 1
Apr	Analyst 2
May	Candice
Jun	Analyst 1
Jul	Analyst 2
Aug	Candice
Sep	Analyst 1
Oct	Analyst 2
Nov	Candice
Dec	Analyst 1

Regards

**Fidelia Shillingford** | VP, Counterparty Risk Management | **J.P. Morgan Asset Management**

270 Park Avenue, 9th Floor, New York, NY 10017-2014 | T: 212 648 1810