UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

CANDICE LUE, Plaintiff, - 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.	No. 16 Civ. 03207 (AJN)(GWG)

DECLARATION OF MICHELLE SULLIVAN

MICHELLE SULLIVAN, 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 Global Commodities Group of JPMorgan Chase Bank, N.A., a wholly-owned bank 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. I supervised Candice Lue ("Plaintiff") in the Commodities Operations Department (the "Department") in 2013 and for the majority of 2014.

3. In May 2013, I went out on maternity leave. While I was out, Plaintiff created a standard operating procedure ("SOP") to improve certain processes in the Department.

4. Upon my return in August 2013, I learned that Plaintiff had sought feedback regarding the SOP from another manager and was still working on improving it. However,

prior to reviewing it with and getting approval from me, Plaintiff e-mailed the SOP to the entire Department.

5. As her supervisor, I found it inappropriate that Plaintiff sent the SOP to the entire group before soliciting my feedback. Therefore, I explained to Plaintiff at the time that, while her drafting of the SOP showed good initiative on her part, she should have gotten my feedback as to its substantive contents and the appropriate audience for its distribution.

6. Plaintiff, however, was resistant to my feedback regarding the SOP. In fact, on numerous occasions, in response to feedback, Plaintiff would resort to aggressively talking over me, and I would be forced to simply end the conversation.

7. Plaintiff was also resistant to constructive feedback on other occasions. Accordingly, in her 2013 year-end performance review, I commented that (i) I wanted Plaintiff to seek out and incorporate "feedback offered by her colleagues and management to improve the final product," and (ii) Plaintiff's "[r]eaction to constructive feedback [] should be focused [on] as a key area of improvement for Candice to grow in her role." A true and correct copy of the 2013 performance review is annexed hereto as Exhibit A.

8. In or about December 2014, there was some confusion regarding who would provide the primary feedback and ranking for Plaintiff's 2014 year-end performance review. This was because she had spent some of 2014 reporting to me in the Commodities Operations Group and some of 2014 under her new manager, Fidelia Shillingford, in the Counterparty Risk Group.

9. After consulting with Shillingford and HR, I was informed that Plaintiff's ranking and primary feedback should come from me, because she had spent the majority of

2014 under my supervision. A true and correct copy of my e-mail correspondence with Shillingford and HR is annexed hereto as Exhibit B.

10. In my year-end 2014 review of Plaintiff, I noted her continued difficulty with accepting constructive feedback. Specifically, I commented that Plaintiff would "benefit from being more receptive to feedback and partnering with her managers and team leads to develop skills and to ultimately allow her to broaden the scope of her role. We all have development points but her inability to identify these will continue to impair her personal development. Candice also didnt [sic] solicit balanced feedback from the senior team leads or her stakeholders and when asked previously had refused as she saw this a [sic] putting a stain on her permanent record instead of helping to facilitate career development." Additionally, I noted that Plaintiff should improve her attitude which had caused friction with colleagues and a drop in her performance.

11. A true and correct copy of the 2014 performance review is annexed hereto as Exhibit C.

12. On or about January 5, 2015, Plaintiff "responded" to my 2014 year-end review, calling my feedback "malicious," "mendacious," and "defamatory," and demanding that HR "do its job."

13. My understanding is that following Plaintiff's response, HR commenced an investigation into Plaintiff's claims.

Dated: New York, New York
May 9, 2017

Michelle Sullivan

EXHIBIT A

Manager sections of this review are in 'display' status. Employee can view manager's comments or ratings.

Review Information	
Review Status:	Completed
Employee:	Lue,Candice (R089235)
Manager:	Shillingford,Fidelia (O024978)
Additional Manager:	N/A
Review Cycle:	01-JAN-2013 --- 31-DEC-2013
Reporting Year:	2013
Job Title:	Counterparty Risk
Tenure Date:	20-AUG-2012

Mid Year Rating	Year End Rating
Meets Expectations	**Meets Expectations**

Finalize Year End Performance Review - Signature Section		
User	Signature	Date
Manager	Michelle Sullivan	07-JAN-2014
Employee	Candice Lue	09-JAN-2014

Objective #1	
Objective	Measures/Target Dates
To continue in my quest (as I noted in my 2012 objective) to master the Confirmations process by finding ways to enhance efficiency, accuracy and turnaround time.	After gaining further insight into the Energy Confirmations process, I was able to identify and present an idea to my managers as to how transparency, organization, productivity, efficiency and turnaround time could be improved.

Employee Accomplishments

I created a spreadsheet to manage incoming noteworthy queries that based on its capabilities would not only enhance efficiency, accuracy and turnaround time but transparency and productivity as well. Noteworthy queries are queries which would require more thought and/or time than average to resolve.

Functioning as what I would consider to be a query management tool or a central data resource for inputting noteworthy queries and readily extracting data, this spreadsheet model is designed to store pertinent information of all noteworthy queries in a folder on the share drive which would be accessible to all members of the Confirmations Team.

Each column of the spreadsheet is organized to provide all the imperative information that would be needed including the option to insert a link or links to any supporting documents to enhance efficiency, accuracy and turnaround time.

All pertinent information would be inputted by individual team members allowing transparency of important query requests on a real-time basis real-time in terms of quickly inputting (takes a couple minutes on average) noteworthy queries onto the spreadsheet as they come in and are acknowledged. The manager would no longer need to constantly chase team members to find out who is working on what and what is happening with an item or wait for a meeting to take place the next day for all members of the team to be aware of all the noteworthy query requests received.

On a whole, this could improve productivity for the group as, instead of having a daily meeting to discuss noteworthy query requests which were received, who is working on what, etc., these meetings could be cut to a maximum of three meetings per week eliminating some dent in collective productivity - length of each meeting times the number of individuals attending times the number of meetings per week.

There would be an emphasis on accuracy and efficiency as all team members would be working with the same notes/information and updates and not with individual notes/information stored in personal inboxes/folders/notebooks. So, if someone is out, this spreadsheet would allow for another team member(s) to obtain the query information as well as the current status to efficiently execute the requested task without delay (can help to cut down on or even eliminate any guesswork).

The spreadsheet would also work as a tracking mechanism for information such as the amount of requests for confirmations to be issued as priority where the client is not on our set priority list, help in conveying to upper level management the progress the team is making to resolve queries in terms of dates query was received and completed, number of times a particular request was made and notes about how it was resolved as well as for tracking other information as the needs arise.

Even though this spreadsheet has not been implemented, I still consider my effort to be an accomplishment of my objective.

Please see sample spreadsheet attached.

Manager Comments

Objective #2

Objective	Measures/Target Dates
To continue to expand my knowledge of the focused products which allows me to contribute more effectively to producing the quality of work required/expected of the Confirmations Team.	Through intellectual curiosity, hands-on experience and taking advantage of course or seminar offerings such as the Global Commodities Groups oil sessions via conference calls, power and gas training session hosted by the Houston Team, coal knowledge share hosted by a senior team member and Athena training sessions hosted by the Projects and Marketing Middle Office Teams, thus far, I have been able to expand my knowledge of the focused products. I intend to continue along this path for an overall successful experience on the Confirmations Team and beyond. As I focus on my work and strive to improve efficiency and turnaround time, I realize that expanding product knowledge is a fundamental aspect of the process. Also, as more courses whether in-person or online become available, I will continue to be proactive in seeking opportunities to expand my product knowledge.

Employee Accomplishments

Currently mainly focused on drafting confirms for physical products and whenever necessary maintaining a balance with financial products-related workload, with the measures I have taken to expand my knowledge of the focused products, I am now able to analyze these type of trade bookings in the risk management systems in more depth. In order to challenge myself a bit more, Ive been able to draft structured/complex confirms which allows for better interpretation of the various characteristics of the focused products. In conjunction, engaging in intellectual conversations with senior team members has provided an opportunity to build upon product knowledge already acquired.

I am also better able to analyze how the confirmations flow downstream to our drafting systems queue to assess feasibility of the products templates for confirmations issuance as well as to escalate any issues observed for speedy resolution.

Manager Comments

Objective #3

Objective	Measures/Target Dates
To gain more insight from a controls perspective into the Confirmations process as well as into the intricacies involved with ISDA documentation	Being aware of and internalizing the purposes of the controls that we have in place has paved a clearer path for me in conducting due diligence as per operating procedures and Ive been applying the controls mindset to the various facets of my role. In addition, bearing in mind that our fundamental approach to drafting confirmations rests largely on rules related to ISDA documentation, I strive to learn the ins and outs of these rules to be

	in compliance while drafting confirmations.

Employee Accomplishments

Ive become more aware of the controls in place within the Confirmations process, especially with the implementation of the Dodd-Frank regulations and adherence to new stricter deadlines for the issuance of confirmations to the client. In line with giving key attention to the controls that govern our processes, Ive perused our operations controls documentation (e.g. - Operational Control Exceptions aka OCE) and expounded upon practical experience in order to apply this knowledge to grasping the reason behind what types of deals require issuance of confirmations and which should be for internal purposes only. If/whenever necessary, in conjunction with my teammates, I will liaise with other groups such as Legal, Front, Middle or Back Office personnel to clarify any queries should a situation arise that requires conducting further due diligence to be in line with controls.

Being instrumental in running, analyzing and distributing STS, DCPP and eConfirm MIS reports as well as the suppression and the TLM reports to our team has also enabled me to broaden my perspective of the controls within our Confirmations processes and as it relates to JPM as a whole. I understand that it is crucial to maintain adequate and accurate tracking of our confirms-related figures for optimal reporting, ensure that deals booked in our risk management systems feed to our queues appropriately and if required, engage in troubleshooting activities for resolution.

Secondly, in line with compliance measures, Ive perused ISDA documentation to familiarize myself with terminology and definitions to endeavor for practical application as I draft and analyze confirms for issuance. Literature such as the 2005 ISDA Commodity Definitions Document Listings and ISDA-related documentation available on our share drive have been great resources to me for understanding why certain terms and language get included on the confirms whether on a generic, product-specific or a deal-specific basis. Studying ISDA documentation has also aided me in cross-referencing and practically applying terminology when I help to draft novation agreements. Although ISDA documentation can be perceived as complex, Ive been up to the challenge of navigating through any intricacies and becoming a better Drafting Analyst with both independent efforts and advice/guidance from senior team members.

Manager Comments

Objective #4

Objective	Measures/Target Dates
To continue to build upon my knowledge of the evolving systems implementations related to Athena	Keeping the firms current target state architecture objectives in mind, I consider keeping abreast of the happenings revolving around Athena an integral part of my growth as I find that to be instrumental in the way in which I approach my role. Whether through individual exploration, team discussions or written notifications/communications, Ive made the effort to acclimate myself with not only the functions of Athena as it relates to trade bookings and analysis for effectively drafting confirmations but also with new features that aim to add efficiency to the process.

Employee Accomplishments

In addition to being able to analyze trade bookings in more depth through hands-on experience, by taking courses such as Athena FXO Trader Blotter and Athena Deal Modeling Training and attending training sessions hosted by the Projects and Marketing Middle Office Teams, Ive observed and applied some Athena systems implementations to effectively proceed with the confirmations drafting process.

Ive continued to build upon my knowledge by taking note of and executing practical application of new Athena features such as the booking of multiple legs of a trade onto a single deal id (whereas previously having to refer to and cross-reference separate legs of the trades booked on multiple deal ids in Athena), the trade re-send tool for re-sending trades amended that may not automatically feed from Athena to our drafting queues for confirm regeneration and the inputting of an event on trades to indicate that Dodd-Frank regulations apply in order to be in compliance. As Athena continues to evolve and as more trades based on product type are migrated onto the platform, Ill continue to ensure that I expand my knowledge.

Manager Comments

Development Plan

Development Goal - In Progress	Actions/Resources	Progress

Being that I have been with the company for less than one year, my goal is to get acclimated with the different platforms that are available on which I can build my ambitions as this will be instrumental in mapping a path that would be conducive to my development plan. As a major U.S. financial institution, with international appeal and worldwide leadership, J. P. Morgan Chase is definitely a company where I can develop my affinity for finance.	I am working on honing the skills that will be required for me to smoothly transition into a career that would be beneficial to me and to J.P. Morgan Chase as a whole. Through intellectual curiosity, hands-on experience and taking advantage of course or seminar offerings, I plan to pave the way for further personal and career development. Keeping in mind the objectives Ive made and the progress Ive made with working towards and attaining them, I plan to continue focusing on internalizing the purposes of carrying out the tasks required for my role for better interpretation as well as enhancing my personal skills as a financial professional. Fostering personal and career growth is integral and is at the forefront of my approach to achieving success.	Thus far, as a quick learner and dedicated team player, I have been able to focus on my work to competently complete my tasks, grasp key concepts and in addition have taken the initiative to take courses/attend seminars inclined to enhance personal development and job-related growth ranging from Networking: Career Development to various Athena-related sessions to interactive focused products sessions. Also, by working to expand product knowledge and gain more insight from a controls perspective, I have built upon the fundamentals that it takes to be a Drafting Analyst as well as a member of the Global Commodities Group in order to leverage my abilities as an individual contributor of JPM on a broader scale.

Manager's Comments

Career Plan

Career Goal	Term
As with my development plan, my career goal is still a work in progress. As I acclimate myself with the opportunities available to me in the different areas here at JPM, I am processing how different opportunities would be beneficial to the trajectory of my financial career. In any event, as I aspire to get acclimated with the different platforms that are available on which I can build my ambitions as this will be instrumental in mapping a path that would be conducive to my career plan, I look forward to working in a thriving, fast-paced environment where I have the opportunity to be challenged on a daily basis and to liaise with a diverse array of individuals/groups both internally and externally.	Medium Term (12-36 months)

Manager Comments

Strengths & Opportunities

Employee Strength (Display) -- Lue, Candice (30-JUL-2013)

My ability to liaise with individuals at all levels of the firm and with clients as well as to maintain a team player mentality to effectively communicate, collaborate with others and execute tasks.

Employee Strength (Display) -- Lue, Candice (30-JUL-2013)

My ability to learn quickly and to tackle challenging tasks in an ever-changing environment regardless of whether Ive received prior training.

Employee Strength (Display) -- Lue, Candice (30-JUL-2013)

My ability to effectively prioritize my daily tasks which allows me to meet deadlines while still being able to make my contribution to the success of the team as a whole.

Employee Strength (Display) -- Lue, Candice (30-JUL-2013)

My ability to identify and my confidence to present ways that could be beneficial to the enhancement of the overall Confirmations process.

Employee Opportunity (Display) -- Lue, Candice (30-JUL-2013)

I will take heed and not escalate priority queries when I am not scheduled to do so unless a situation may arise where the query gets overlooked.

Manager Strength (Display) -- Sullivan, Michelle (02-JAN-2014)

Candice has an excellent work ethic and is a good team player. She takes her work seriously and always completes tasks on time and jumps in to assist where needed without being asked.

Manager Strength (Display) -- Sullivan, Michelle (02-JAN-2014)

Attention to details and responsiveness to internal and external queries.

Manager Strength (Display) -- Sullivan, Michelle (02-JAN-2014)

Ownership of BAU, Candice is always fully aware of the status of the BAU she owns and offers good transpareny to the team and management with frequent updates.

Manager Opportunity (Display) -- Sullivan, Michelle (02-JAN-2014)

Candice is very good at following direction and processes that are fully documented. For Candice to continue to grow in her role she should look for ways to develop her analytic skills to identify issues and solutions for occurances that happen outside of the normal situations.

Manager Opportunity (Display) -- Sullivan, Michelle (06-JAN-2014)

Candice would benefit from reacting to feedback in a more positive way with team members and management

Summary Comments

Employee Mid Year (Display) -- Lue, Candice (18-JUL-2013)

Currently, my main focus is on drafting confirms for Physical products across Power and Gas but Ive always been cognizant of my priorities as a team member whereby if help is needed on the drafting of confirms for Financial products or Client Service duties, I always analyze each tasks priority and shift my workload accordingly.

I am very eager to learn to effectively navigate the processes but having been on the job for less than one year some of that learning will come from a few errors and omissions both in execution of my tasks and in training. The good thing is that these errors and omissions are always noted by me and reoccurrence is either extremely minimal or none. Similarly, as I grow and continue to proactively learn on the job, initial occurrence of these few errors has not only continued to diminish but is at a minimal.

My communication style is for the most part very thorough but that is because I usually prefer to solve queries as efficiently as possible instead of through constant back and forth emails/phone calls. For instance, if I can be proactive in taking care of a traders or marketers queries/concerns in one email without the trader or marketer having to send back for additional information, Id always opt for that. I think that doing so helps with the enhancement of productivity not only for me but also for the trader or marketer and for J.P. Morgan Chase as a whole. Each day as I learn and grow, I am getting better aware of non-disclosure information as it relates to the regulatory environment and being mindful of releasing too much information.

My strategy for meeting and exceeding productivity goals is to not be insular in the execution of my work. I rarely ever have a cut off time for ending my work day but rather focus on completing all important tasks before leaving for the day. I also do prep work in preparation for the following business day to prevent any slow down in productivity. In my quest to further boost productivity, I do not have to be the team member scheduled to monitor emails for incoming queries in order to escalate a query (especially a priority request) that could otherwise be sitting unnoticed longer than usual to the respective person.

In terms of identifying weaknesses and gaps in the processes, I spent hours of my personal time (after work and on weekends) working on a query management tool (see attachments) which in my humble opinion, I think could enhance efficiency, accuracy, transparency, productivity and turnaround time of the Confirmations process. As detailed in the handout I gave to my team members during my presentation, this spreadsheet was carefully thought out to include every aspect of the noteworthy query request process. Except for the addition of a column for priority client, there have been no changes done to the spreadsheet since I first presented it to management.

Complaints about my emails being too thorough or me escalating priority queries when I am not scheduled to do so or my need to be less professional, do not do much in the enhancement of the Confirmations process as a whole. And maybe to my own detriment, but I tend to ignore these complaints and focus more on learning and growing in my position, the contribution that I can make to the Confirmations Team and by large to J.P. Morgan Chase as a whole.

My primary duties are always my main focus and it is because of this that I made the effort to create a spreadsheet model as a central data resource that I think could have enhanced my, and the teams as a whole, efficiency, accuracy, transparency, productivity and turnaround time of the Confirmations process.

**Continued below

Employee Mid Year (Display) -- Lue, Candice (18-JUL-2013)

**Continued

Ive taken the initiative to self-identify courses that would be beneficial to my career development. In the less than one year that Ive been on the job, I have successfully completed the following courses that I have identified on my own: Networking: Career Development, Brand YOU, Creating and Delivering Executive Summaries, Roadmap to Success Creating Vision, Taking Risks and 2012 Full Year Business Exchange. Along with learning the drafting and client service processes, I have also managed to complete 24 mandatory courses. In addition, I continue to peruse Harvard Manage Mentor (HMM), an online resource for management essentials and professional development to take advantage of tips and tools to further my efforts in enhancing my career development.

Lastly, my commute to Brooklyn is a bit challenging as unlike traveling to Downtown or Midtown Manhattan, I do not have an alternative method to get there. As someone who has always prided myself on coming into work on time its also a bit stressful as most mornings I have to deal with the delays through the Lincoln Tunnel, on 2 other major highways as well as sometimes additional delays on the MTA for the 30 or more minute commute from Manhattan to Brooklyn.

While working at 4 New York Plaza for over a year before the Sandy Hurricane it must have been on a maximum of three occasions that I arrived at work after 9 am but accidents, emergency construction, etc. are very unpredictable in rush hour traffic especially when having to use major thoroughfares such as Route 3, 495 and the Lincoln Tunnel.

But, as long as there is any doubt that I might be able to make it in to work by 9 am, I always call the office to inform my team members even if it means making a call at 7:45 am from the bus after hearing a NJ Transit announcement about heavy delays ahead.

When I am late which is always due to traffic, my arrival time is on average 9:15 am (rarely after 9:20) so I am always still able to quickly and accurately get through running my morning report on time as well as being early for the Huddle which starts at 9:30. In any event, I will have to try for a bus before 7 am instead of between 7:15 and 7:30. (Just an FYI, in regular moving rush hour traffic it takes 45 minutes to get from my bus stop in NJ to the Port Authority and 30 minutes when there is little traffic on the road, like on the day after a major holiday.)

Traveling to 4 New York Plaza used to take me one full hour from the time I got on the train to the time I arrived at the building. My regular commute to and from Brooklyn is between 1¼ to 1½ hours but it takes 2 hours on average when there are problems with traffic. Sometimes my evening commute is worse than my morning commute. For instance, one night I sat for 2 hours in the Lincoln Tunnel due to an oil spill.

Employee Year End (Display) -- Lue, Candice (17-DEC-2013)

MY EFFORTS/ACCOMPLISHMENTS FOR THE SECOND HALF OF 2013

Innovation/Knowledge Sharing

I created a Standard Operating Procedure (SOP) entitled Knowledge Share: Investigating DCPP Reference Data Issues (file exceeds PMC attachment limits but is available upon request) as a way of giving guidance and insight to team members as they tackle the various reference data issues that can prevent the confirmations for issuance to our clients from generating in queue. This knowledge share is designed to provide a step by step guide on how to investigate DCPP reference data issues for speedy resolution and to outline some examples of reference data issues faced for further clarity.

Not only does this knowledge share detail each recommended step in the process of investigating the reference data issues, it also offers a table of contents which features hyperlinks to each section for ease of navigation, a flow chart outlining the steps in the process, detailed screenshots, the incorporation of using XML codes to interpret where the issue lies to streamline investigations and practical examples to help with maneuvering the approach to resolutions.

Knowledge Share: Investigating DCPP Reference Data Issues was shared with all members of the Confirmations Team as well as with the Physical Oil Team, individuals from the Projects Team, our Operations Risk Management (ORM) representative and managers.

All in all, as team members become more comfortable with tackling issues like the ones relating to reference data that can create obstacles in issuing confirmations to our clients in a timely manner, our teams efficiency and turnaround time can improve.

In addition to Knowledge Share: Investigating DCPP Reference Data Issues, as it relates to knowledge sharing in a broader sense, I have also provided other team members with cross-training ranging from performing drafting and other BAU tasks to conducting daily reporting.

As the department strives to enhance the teams efficiency in supporting the front office, the business and JPM as a whole, I consider these cross-trainings to be my contribution to that effort.

Self-identified Personal and Career Development Initiatives

Acknowledging that ongoing learning as it relates to personal and career development is an integral focal point for success, I continue to take the initiative to self-identify courses and activities that would be beneficial to me. I have already fulfilled the firm-wide requirement of taking a minimum of 16 hours of training per year and as for furthering these initiatives, Ive attended CIB People Agenda networking events such as Build A Bike (networking + philanthropy) and Two Truths and a Lie to meet and network with different colleagues as well as to gain insight/perspectives from senior leaders.

In conjunction, Ive successfully completed the following courses:
Harvard Manage Mentor (HMM):
Strategic Thinking, Innovation & Creativity, Customer Focus and Marketing Essentials

CCB Leader Led Series:
Controls, Leading in Times of Change with Steve Hemperly and Top 15 Career Management Tips from CFO David Owen

Other Personal and Career Development Courses:
Communication Essentials, Customer Connections: Decision Making, Interviewing: Career Development, Messes, Problems & Puzzles: Thinking About Change Risk & Uncertainty and Tips for Presenters

Additional Job-Related Courses:
Commodities - an Introduction, Commodities Products - Rules of the Road, IB TO Introduction to Lifecycle of a Trade and A Day in the Life of a Chaser

Ive also completed 8 additional mandatory courses while carrying out drafting and client service processes.

**Year End - Continued below

Employee Year End (Display) -- Lue, Candice (17-DEC-2013)

**Year End - Continued

Arrival at Work

I have accomplished my personal goal of coming into the office earlier than required. I am now usually in the office between 8:00 am and 8:30 am with an effort of being in closer to 8:00 am.

Work Ethic

I have always tried to see and understand the big picture as to what needs to be accomplished in my work environment and have always focused my contribution towards that. I do my work in a way that allows me to avoid unnecessary distractions with a goal of being a substantive team player to the Confirmations Team.

Self-motivation and striving for growth are two key elements for attaining success. I proactively look for opportunities to expand on my knowledge, share my knowledge and rise to the challenge of taking on tasks that may be perceived as complicated. By focusing on the purpose and goal of the task at hand, Im able to competently produce accurate and timely reports, effectively balance my workload, draft and analyze complex confirmations, contribute to carrying out the novation process when necessary and realize the controls in place while actioning BAU and conducting investigations. With my ability to liaise with individuals at different levels of the organization and external parties such as clients, I strive to provide a good experience from end to end.

Volunteer Work

I feel that philanthropy/volunteerism is important so I have been humbly serving for years. I had the opportunity to volunteer on behalf of J.P. Morgan Chase via Good Works for the CIB CAO People Agenda New York - Bike Building event for Action Centered Training Inc. to build bikes for needy children and for a toy drive for the Salvation Army - Greater New York Divisions Toy Shop to donate, sort and organize toys for distribution to needy children during the holiday season.

I plan to continue volunteerism efforts on behalf of JPM, as philanthropy gives me genuine pleasure and I feel that making a difference in the lives of others is worthwhile.

Employee Year End (Display) -- Lue, Candice (09-JAN-2014)

YEAR END - FINAL COMMENTS

While I appreciate the fact that my efforts are mentioned/acknowledged, I would like to take this opportunity to respond to the following statement with regards to my reception to feedback:

Candice has also taken the initiative this year to work on ways to improve BAU processes for the team. As mentioned in her year end commentary and objectives she put together an excel based query management tool and a ref data knowledge share. This displayed good initiative by Candice to seek solutions to issues highlighted in BAU. With both, I would have liked Candice to take them a step further by seeking out feedback or incorporating feedback offered by her colleagues and management to improve the final product.

Reaction to constructive feedback has should be focused as a key area of improvement for Candice in order for her to grow in her role.

For the two initiatives that I presented to improve BAU processes, I had always made it clear that, and I quote, your feedback/suggestions are most welcome.

For the query management tool that I created, some of my colleagues approved of the idea and responded as such but no further constructive feedback beyond their approval was offered. The ones who did not approve, response or feedback was not another spreadsheet. As for the support from management, I will respectfully say that such support was lackluster to non-existent. I understand not being completely sold on my idea but that in and of itself is not a constructive feedback for execution of any idea, neither is not getting responses verbally or in writing to emails sent. So, this was the kind of attitude/reaction that caused me to pull back on this effort. As, after assessing the situation, I decided that my continued pursuit could be misconstrued as overstepping my boundaries or insubordination.

For the reference data knowledge share that I created, I only received feedback from one person after discussing it in one of our huddles and the feedback was most welcomed. After meeting with her a couple times to discuss her contribution, I incorporated some of her suggestions into the knowledge share, sent out the updated knowledge share to the team and other JPMC employees and gave her credit in the email for providing the feedback. I also, as usual, mentioned in the said email containing the reference data knowledge share attachment that as always, feedback is always welcome. However, I did not get any other feedback from anyone. (Email is available upon request.)

As for my regular BAU, I have always solicited feedback on my work from the traders, marketers and legal team who I support/liaise with and on most occasions incorporated those suggestions into my work with the intent of improving my efficiency, accuracy, etc. This has helped to enhance my professional growth and my ability to provide optimal service to them. (Email evidence is available upon request).

Furthermore, as I liaise with my Confirmations colleagues on a daily basis, I strive to ensure that substantive discussions ensue wherein, I maintain an openness and approachable attitude toward feedback. I am always receptive and thankful for their insight and input on matters regarding the most effective way to execute the drafting of a confirmation and performing other BAU activities.

However, I must admit though that if I know that a colleague has the tendency to be malicious or unconscionable, I will not in any way be swayed to have such person write a feedback on my behalf on my permanent work record. And as such, would refuse the suggestion of such feedback as a matter of shrewd thinking.

**Year End - Final Comments - Continued below

Employee Year End (Display) -- Lue, Candice (09-JAN-2014)

**Year End - Final Comments - Continued

As for the comment, Candice has also taken measures to rectify issues noted at mid year in regards to her tardiness.

In the former half of the year when I was adjusting to my new challenging commute to Brooklyn (caused by the Sandy hurricane), as stated in my mid-year response, if I were late it was always due to traffic. I also noted that my average arrival time, when I was late, was 9:15 am. Now my effort is to come in between 8 and 8:30 am, traffic allowing and so far I have been successful with doing so.

In closing, I must say that it does have a dampening effect on ones morale when an employee goes above and beyond her normal work duties to do the following and is told at the end of the year that Candice continues to perform at a Meets Expectations level at year end:

o Creating and presenting two innovative ideas with the intent of improving BAU processes.
o Taking the initiative to take on challenging tasks such as the execution of the novation process in the absence of a colleague.
o Fulfilling and exceeding the firm-wide requirement of taking a minimum of 16 hours of training per year by self-identifying and completing other courses which have helped to enhance my personal and career development.
o Writing emails that enhance productivity by making sure that issues are resolved with as little back and forth as possible.
o Completing my cross-training requirement in a timely manner which allows me to jump in and help other teammates whenever necessary.
o Providing cross-training to other team members ranging from drafting and other BAU tasks to conducting daily reporting with the intent of enhancing the teams efficiency and productivity.
o Going beyond my call of duty when working from the midtown office to personally go to front office staff members to inquire if they need assistance with anything work related or have any urgent issues to take care of that I could assist them with while working from that location.
o Constantly working longer than the normal work hours to ensure the execution of important tasks.
o Attending JPMCs networking events to meet as well as to gain insight/perspective from other JPMC employees and senior managers.
o Volunteering on behalf of JPMC via Good Works as well as reaching out to the Confirmations Team to volunteer for the same cause.

Manager Mid Year (Display) -- Liasis, Chris (16-JUL-2013)

Candice takes her work seriously, she is responsive to the business and the team. Candice is predominantly focused on the drafting aspect of the Confirmations teams duties, this includes having a direct relationship with desk and managing their expectations. Candice is responsive to issues and has a good relationship with the team. This year we have seen radical changes in our infrastructure both front end (Endur > Athena) and back end (STS > DCPP), in addition we have also merged the client service team with the drafting team, as a result Candice is now predominantly focused on drafting Physical products across Power and Gas but must recognize the balance in work -load with the Financial work-stream. Candice is constantly learning to navigate the pitfalls of our new infrastructure and processes, and learning to adapt to new management styles and demands not only driven by the business but the regulatory environment, on occasion we have seen a few errors slip through the net and more so delays of task resolution specific to drafting has been evident. Candice continues to work hard to correct this and adopt and flex her style to better manage expectations and continues to work on his communication style, strategically Candice needs to continue to identify how we can meet and exceed our productivity and needs and to identify weaknesses and gaps in our processes, Candice could be more pre-emptive to self-identify areas of opportunity to improve her skill set. Management would like to see improved expectation management with allocated tasks this includes BAU but extends to non-BAU duties, timeliness and accuracy of resolution are areas to focus on along with the new opportunity to learn Client Service tasks (along with her drafting duties) which are objectives for the remainder of the year, communication style requires continued refinement and transparency on productivity and the status of tasks in hand is also key here, managing the perception and expectation others have of Candice is paramount to her success, this is an ongoing focus area. Recognition of how Candice contributes & collaborates is just as paramount as the task in hand, self reflection of primary duties vs peripheral solutions need to be segmented to ensure the tasks in hand are being focused on, getting through the workload in an expedient and accurate fashion is increasingly more important in the environment we are in, there is also opportunity to rationalize problem solving skills, tactical vs strategic is a common concept that takes time to master I would like to see more thought in adoption of solutions and preparation of proposed changes to management and the team. Product knowledge and soft skills is one very key area that also must be addressed as well as awareness of workflow of the other aspects within the Confirmations discipline, courses are strongly recommended, Candice should self-identify appropriate courses with management. Candice should be cognizant of attendance, specific observations of start times, management have conversely seen many late evenings but the perception of being late on multiple occasions due transportation challenges is noticeable, Candice has taken note of this and is proactively adjusting to remedy this. As of Midyear Candice is ranked an M.

Manager Year End (Display) -- Sullivan, Michelle (06-JAN-2014)

Candice has shown consistency this year in her high work ethic. She takes her role very seriously and has proved to management, the business and the team that she is a professional and dependable team member. She has illustrated her ability to handle multiple processes within BAU apparently by cross training and absorbing various processes in her BAU (eConfirm, drafting physical and financial, tlm, MIS reporting.) She works quickly and completes tasks on time and offers transparency on what she is doing. She igenerally is a great team player and will jump to assist team members when needed. She has also completed her obligations in Skills Academy for the year and has participated in JP networking and volunteer events.

Candice has also taken the initiative this year to work on ways to improve BAU processes for the team. As mentioned in her year end commentary and objectives she put together an excel based query management tool and a ref data knowledge share. This displayed good initiative by Candice to seek solutions to issues highlighted in BAU. With both, I would have liked Candice to take them a step further by seeking out feedback or incorporating feedback offered by her colleagues and management to improve the final product.

Reaction to constructive feedback has should be focused as a key area of improvement for Candice in order for her to grow in her role.

Candice has also taken measures to rectify issues noted at mid year in regards to her tardiness. This was not an issue over the second half of the year.

Candice continues to perform at a Meets Expectations level at year end.

Discussion Tracking

Discussion	Employee Confirm	Manager Confirm
Objectives	Y (22-JUL-2013)	N
Development/Career Plan	Y (10-SEP-2013)	N
Jan, Feb, Mar (Quarterly Discussion)	N	N
Apr, May, Jun (Mid Year)	Y (22-JUL-2013)	N
Jul, Aug, Sep (Quarterly Discussion)	N	N
Oct, Nov, Dec (Year End)	Y (06-JAN-2014)	Y (07-JAN-2014)

Attachments

Filename	Uploaded By	Source	Date
PMC Summary - Year-End.docx	Lue, Candice	Summary	Tue Dec 17 17:53:06 CST 2013
PMC Summary - Mid-Year.docx	Lue, Candice	Summary	Thu Jul 18 09:03:13 CDT 2013
Query Management Tool - Group Presentation.docx	Lue, Candice	Objectives	Tue Jul 09 19:07:33 CDT 2013
2013 Objective 1 - Measures_Targets_Accomplishments.doc	Lue, Candice	Objectives	Mon Jul 01 09:04:29 CDT 2013
Sample Spreadsheet - Query Management Tool.xlsx	Lue, Candice	Objectives	Mon Jul 01 09:03:55 CDT 2013

PMC Summary - YEAR-END 2013

MY EFFORTS/ACCOMPLISHMENTS FOR THE SECOND HALF OF 2013

Innovation/Knowledge Sharing

I created a Standard Operating Procedure (SOP) entitled "Knowledge Share: Investigating DCPP Reference Data Issues" (file exceeds PMC attachment limits but is available upon request) as a way of giving guidance and insight to team members as they tackle the various reference data issues that can prevent the confirmations for issuance to our clients from generating in queue. This knowledge share is designed to provide a step by step guide on how to investigate DCPP reference data issues for speedy resolution and to outline some examples of reference data issues faced for further clarity.

Not only does this knowledge share detail each recommended step in the process of investigating the reference data issues, it also offers a table of contents which features hyperlinks to each section for ease of navigation, a flow chart outlining the steps in the process, detailed screenshots, the incorporation of using XML codes to interpret where the issue lies to streamline investigations and practical examples to help with maneuvering the approach to resolutions.

"Knowledge Share: Investigating DCPP Reference Data Issues" was shared with all members of the Confirmations Team as well as with the Physical Oil Team, individuals from the Projects Team, our Operations Risk Management (ORM) representative and managers.

All in all, as team members become more comfortable with tackling issues like the ones relating to reference data that can create obstacles in issuing confirmations to our clients in a timely manner, our team's efficiency and turnaround time can improve.

In addition to "Knowledge Share: Investigating DCPP Reference Data Issues", as it relates to knowledge sharing in a broader sense, I have also provided other team members with cross-training ranging from performing drafting and other BAU tasks to conducting daily reporting. As the department strives to enhance the team's efficiency in supporting the front office, the business and JPM as a whole, I consider these cross-trainings to be my contribution to that effort.

Self-identified Personal and Career Development Initiatives

Acknowledging that ongoing learning as it relates to personal and career development is an integral focal point for success, I continue to take the initiative to self-identify courses and activities that would be beneficial to me. I have already fulfilled the firm-wide requirement of taking a minimum of 16 hours of training per year and as for furthering these initiatives, I've attended CIB People Agenda networking events such as Build A Bike (networking + philanthropy) and Two Truths and a Lie to meet and network with different colleagues as well as to gain insight/perspectives from senior leaders.

In conjunction, I've successfully completed the following courses:

Harvard Manage Mentor (HMM):
Strategic Thinking, Innovation & Creativity, Customer Focus and Marketing Essentials

CCB Leader Led Series:
Controls, Leading in Times of Change with Steve Hemperly and Top 15 Career Management Tips from CFO David Owen

Other Personal and Career Development Courses:
Communication Essentials, Customer Connections: Decision Making, Interviewing: Career Development, Messes, Problems & Puzzles: Thinking About Change Risk & Uncertainty and Tips for Presenters

Additional Job-Related Courses:
Commodities - an Introduction, Commodities Products - Rules of the Road, IB TO Introduction to Lifecycle of a Trade and A Day in the Life of a Chaser

I've also completed 8 additional mandatory courses while carrying out drafting and client service processes.

Arrival at Work

I have accomplished my personal goal of coming into the office earlier than required. I am now usually in the office between 8:00 am and 8:30 am with an effort of being in closer to 8:00 am.

Work Ethic

I have always tried to see and understand the big picture as to what needs to be accomplished in my work environment and have always focused my contribution towards that. I do my work in a way that allows me to avoid unnecessary distractions with a goal of being a substantive team player to the Confirmations Team.

Self-motivation and striving for growth are two key elements for attaining success. I proactively look for opportunities to expand on my knowledge, share my knowledge and rise to the challenge of taking on tasks that may be perceived as complicated. By focusing on the purpose and goal of the task at hand, I'm able to competently produce accurate and timely reports, effectively balance my workload, draft and analyze complex confirmations, contribute to carrying out the novation process when necessary and realize the controls in place while actioning BAU and conducting investigations. With my ability to liaise with individuals at different levels of the organization and external parties such as clients, I strive to provide a good experience from end to end.

Volunteer Work

I feel that philanthropy/volunteerism is important so I have been humbly serving for years. I had the opportunity to volunteer on behalf of J.P. Morgan Chase via Good Works for the CIB CAO People Agenda New York - Bike Building event for Action Centered Training Inc. to build bikes for needy children and for a toy drive for the Salvation Army - Greater New York Division's Toy Shop to donate, sort and organize toys for distribution to needy children during the holiday season.

I plan to continue volunteerism efforts on behalf of JPM, as philanthropy gives me genuine pleasure and I feel that making a difference in the lives of others is worthwhile.

PMC Summary – Mid-Year

Currently, my main focus is on drafting confirms for Physical products across Power and Gas but I've always been cognizant of my priorities as a team member whereby if help is needed on the drafting of confirms for Financial products or Client Service duties, I always analyze each task's priority and shift my workload accordingly.

I am very eager to learn to effectively navigate the processes but having been on the job for less than one year some of that learning will come from a few errors and omissions both in execution of my tasks and in training. The good thing is that these errors and omissions are always noted by me and reoccurrence is either extremely minimal or none. Similarly, as I grow and continue to proactively learn on the job, initial occurrence of these few errors has not only continued to diminish but is at a minimal.

My communication style is for the most part very thorough but that is because I usually prefer to solve queries as efficiently as possible instead of through constant back and forth emails/phone calls. For instance, if I can be proactive in taking care of a trader's or marketer's queries/concerns in one email without the trader or marketer having to send back for additional information, I'd always opt for that. I think that doing so helps with the enhancement of productivity not only for me but also for the trader or marketer and for J.P. Morgan Chase as a whole. Each day as I learn and grow, I am getting better aware of non-disclosure information as it relates to the regulatory environment and being mindful of releasing too much information.

My strategy for meeting and exceeding productivity goals is to not be insular in the execution of my work. I rarely ever have a cut off time for ending my work day but rather focus on completing all important tasks before leaving for the day. I also do prep work in preparation for the following business day to prevent any slow down in productivity. In my quest to further boost productivity, I do not have to be the team member scheduled to monitor emails for incoming queries in order to escalate a query (especially a priority request) that could otherwise be sitting unnoticed longer than usual to the respective person.

In terms of identifying weaknesses and gaps in the processes, I spent hours of my personal time (after work and on weekends) working on a query management tool (see attachments) which in my humble opinion, I think could enhance efficiency, accuracy, transparency, productivity and turnaround time of the Confirmations process. As detailed in the handout I gave to my team members during my presentation, this spreadsheet was carefully thought out to include every aspect of the noteworthy query request process. Except for the addition of a column for "priority client," there have been no changes done to the spreadsheet since I first presented it to management.

Complaints about my emails being too thorough or me escalating priority queries when I am not scheduled to do so or my need to be less professional, do not do much in the enhancement of the Confirmations process as a whole. And maybe to my own detriment, but I tend to ignore these complaints and focus more on learning and growing in my position, the contribution that I can make to the Confirmations Team and by large to J.P. Morgan Chase as a whole.

My primary duties are always my main focus and it is because of this that I made the effort to create a spreadsheet model as a central data resource that I think could have enhanced my, and the team's as a whole, efficiency, accuracy, transparency, productivity and turnaround time of the Confirmations process.

I've taken the initiative to self-identify courses that would be beneficial to my career development. In the less than one year that I've been on the job, I have successfully completed the following courses that I have identified on my own: Networking: Career Development, Brand 'YOU', Creating and Delivering Executive Summaries, Roadmap to Success – Creating Vision, Taking Risks and 2012 Full Year Business Exchange. Along with learning the drafting and client service processes, I have also managed to complete 24 mandatory courses. In addition, I continue to peruse Harvard Manage Mentor (HMM), an online resource for management essentials and professional development to take advantage of tips and tools to further my efforts in enhancing my career development.

Lastly, my commute to Brooklyn is a bit challenging as unlike traveling to Downtown or Midtown Manhattan, I do not have an alternative method to get there. As someone who has always prided myself on coming into work on time it's also a bit stressful as most mornings I have to deal with the delays through the Lincoln Tunnel, on 2 other major highways as well as sometimes additional delays on the MTA for the 30 or more minute commute from Manhattan to Brooklyn.

While working at 4 New York Plaza for over a year before the Sandy Hurricane it must have been on a maximum of three occasions that I arrived at work after 9 am but accidents, emergency construction, etc. are very unpredictable in rush hour traffic especially when having to use major thoroughfares such as Route 3, 495 and the Lincoln Tunnel.

But, as long as there is any doubt that I might be able to make it in to work by 9 am, I always call the office to inform my team members even if it means making a call at 7:45 am from the bus after hearing a NJ Transit announcement about heavy delays ahead.

When I am late which is always due to traffic, my arrival time is on average 9:15 am (rarely after 9:20) so I am always still able to quickly and accurately get through running my morning report on time as well as being early for the Huddle which starts at 9:30. In any event, I will have to try for a bus before 7 am instead of between 7:15 and 7:30. (Just an FYI, in regular moving rush hour traffic it takes 45 minutes to get from my bus stop in NJ to the Port Authority and 30 minutes when there is little traffic on the road, like on the day after a major holiday.)

Traveling to 4 New York Plaza used to take me one full hour from the time I got on the train to the time I arrived at the building. My regular commute to and from Brooklyn is between 1¼ to 1½ hours but it takes 2 hours on average when there are problems with traffic. Sometimes my evening commute is worse than my morning commute. For instance, one night I sat for 2 hours in the Lincoln Tunnel due to an oil spill.

WHAT IS THE QUERY MANAGEMENT TOOL?

The Query Management Tool (QMT) is a spreadsheet designed to manage incoming noteworthy queries in order to enhance efficiency, accuracy, transparency, productivity and turnaround time of the Confirmations process. Noteworthy queries are queries which would require more thought and/or time than average to resolve.

Functions of the QMT

- The Query Management Tool would function as a central data resource for inputting noteworthy queries as well a central data resource for readily extracting data.
- The spreadsheet is designed to store pertinent information of all noteworthy queries in a folder stored on the share drive making it accessible to all members of the Confirmations Team.
- All pertinent information would be inputted by individual team members (the team member who is scheduled to monitor emails or the team member who first acknowledges the query) allowing for transparency of important query requests on a real-time basis.
    - Real-time in terms of quickly inputting (takes a couple minutes on average) noteworthy queries onto the spreadsheet as they come in and are acknowledged. Or, at the team member's earliest convenience or maybe hourly by the person who is monitoring emails if that becomes the consensus.

Features of the QMT

- The QMT spreadsheet has two sheets – one for internal (within the team) queries and the other for external (other groups) queries.
- Each column of the spreadsheet is organized to provide all the imperative information that would be needed to efficiently, accurately, transparently, and quickly execute the task of a query that would require additional thought and/or time.
- **Request Date** – The date the request was made
- **Priority Level** – High, Moderate or Low
- **Priority Client** – Yes, No or N/A
- **Attention/Requesting Team Member** (internal requests sheet only) – Who is the query addressed to and who raised the request?
- **Deadline** – The deadline for the requested task to be completed
- **Source** (external requests sheet only) – Who/where is the request from?
- **Assigned Team Member(s)** – To which team member(s) is the request being assigned
- **Item** – What is being requested/subject

- **Issue/Concern** – Brief description of query request

- **Supporting Documents and Additional Supporting Documents** - The option to insert a link or links to any supporting documents

- **Status** – Shows if the query request is pending or completed

- **Number of Times Requested** (external requests sheet only) – The number of times a request was made for the same item

- **Date Completed** – Date of completion of the request

- **Name – Comments/Updates** – Name and comments/updates of the team member(s) who worked on the query

<u>Benefits of the QMT</u>

- The manager would no longer need to constantly chase team members to find out who is working on what and what is happening with an item.

- No need to wait for a meeting to take place the next day for all team members to be aware of all the noteworthy query requests received.

- There would be an emphasis on accuracy and efficiency as all team members would be working with the same notes/information and updates and not with individual notes/information stored in personal inboxes/folders/notebooks.

- If someone is out, this spreadsheet would allow for another team member(s) to obtain the query information as well as the current status to efficiently execute the requested task without delay (can help to cut down on or even eliminate any guesswork).

- The spreadsheet would also work as a tracking mechanism for information such as the amount of requests for confirmations to be issued as priority where the client is not on our set priority list, how many high priority requests were made, how many requests are pending/completed as well as for tracking other information as the needs arise.

- Help in conveying to upper level management the progress the team is making to resolve query requests in terms of date queries were received and completed, number of times a particular request was made and notes about how it was resolved.

- The QMT could improve productivity for the group as a whole as, instead of having the Huddles on a daily basis to discuss noteworthy query requests which were received, who is working on what, etc., these Huddles could be cut to a maximum of three times per week eliminating some dent in collective productivity in terms of length of each Huddle multiplied by the number of team members attending multiplied by the number of Huddles per week.

Your feedback /suggestions are most welcome!

OBJECTIVE 1

Measures/Targets and Accomplishment

Objective 1 – To continue in my quest (as I noted in my 2012 objective) to master the Confirmations process by finding ways to enhance efficiency, accuracy and turnaround time.

Objective 1 – Measures/Targets
After gaining further insight into the Energy Confirmations process, I was able to identify and present an idea to my managers as to how transparency, organization, productivity, efficiency and turnaround time could be improved.

Objective 1 - Accomplishment:
I created a spreadsheet to manage incoming noteworthy queries that based on its capabilities would not only enhance efficiency, accuracy and turnaround time but transparency and productivity as well. Noteworthy queries are queries which would require more thought and/or time than average to resolve.

Functioning as what I would consider to be a query management tool or a central data resource for inputting noteworthy queries and readily extracting data, this spreadsheet model is designed to store pertinent information of all noteworthy queries in a folder on the share drive which would be accessible to all members of the Confirmations Team.

Each column of the spreadsheet is organized to provide all the imperative information that would be needed including the option to insert a link or links to any supporting documents to enhance efficiency, accuracy and turnaround time.

All pertinent information would be inputted by individual team members allowing transparency of important query requests on a real-time basis – real-time in terms of quickly inputting (takes a couple minutes on average) noteworthy queries onto the spreadsheet as they come in and are acknowledged. The manager would no longer need to constantly chase team members to find out who is working on what and what is happening with an item or wait for a meeting to take place the next day for all members of the team to be aware of all the noteworthy query requests received.

On a whole, this could improve productivity for the group as, instead of having a daily meeting to discuss noteworthy query requests which were received, who is working on what, etc., these meetings could be cut to a maximum of three meetings per week eliminating some dent in collective productivity - length of each meeting times the number of individuals attending times the number of meetings per week.

There would be an emphasis on accuracy and efficiency as all team members would be working with the same notes/information and updates and not with individual notes/information stored in personal inboxes/folders/notebooks. So, if someone is out, this spreadsheet would allow for another team member(s) to obtain the query information as well as the current status to efficiently execute the requested task without delay (can help to cut down on or even eliminate any guesswork).

The spreadsheet would also work as a tracking mechanism for information such as the amount of requests for confirmations to be issued as priority where the client is not on our set priority list, help in conveying to upper level management the progress the team is making to resolve queries in terms of dates query was received and completed, number of times a particular request was made and notes about how it was resolved as well as for other tracking information as the needs arise.

Even though this spreadsheet has not been implemented, I still consider my effort to be an accomplishment of my objective.

Please see sample spreadsheet attached.

REQUEST DATE	PRIORITY LEVEL (Low/Mod/High)	PRIORITY CLIENT (Yes/No)	ATTENTION/REQUESTING TEAM MEMBER	DEADLINE

ITEM	ISSUE/CONCERN	SUPPORTING DOC

ADDL SUPPORTING DOC	STATUS (Pending/Completed)	DATE COMPLETED

NAME - COMMENTS/UPDATES

REQUEST DATE	PRIORITY LEVEL (Low/Mod/High)	PRIORITY CLIENT (Yes/No)	DEADLINE	SOURCE	ASSIGNED TEAM MEMBER(S)	ITEM

ISSUE/CONCERN	SUPPORTING DOC	ADDL SUPPORTING DOC	STATUS (Pending/Completed)

# OF TIMES REQUESTED	DATE COMPLETED

EXHIBIT B

From: Cabrera-Vargas, Ana J
Sent: Tuesday, December 16, 2014 11:15 AM
To: Shillingford, Fidelia X; Sullivan, Michelle T
Cc: Miller, Brooke A
Subject: RE: Additional Manager has been removed from Candice Lue's (2014) Performance Review

Fidelia, That is not the company's practice and I've confirmed with your organizations HRBP (I've cc'ed her) that it's not normal practice in Asset Mgmt as well.

Feedback for 2014 should be primarily based on her time in Commodities as she spent 11 months in this team. You can both have the discussion together with the employee at year-end; I don't have an issue with that, however the employee should receive the feedback from her prior team. Obviously the employee is in a new organization, new group – so you as the primary manager can give her fdbk as how she has performed in the last 4 weeks and what your expectation of her is going forward into 2015 but again 2014 feedback should be mostly driven by her time in Commodities.

If you are not able to include Michelle's feedback, please let us know and we will add her back in as an additional manager otherwise please incorporate her feedback and include her in the YE discussion.

Thanks

Ana Cabrera-Vargas | Vice President | CIB Human Resources
JPMorgan, 1 Chase Manhattan Plaza, 22nd Floor, New York, NY 10005-1401
E-mail: ana.cabrera-vargas@jpmorgan.com **Tel:** (646) 582-7396 **Fax:** (212) 270-4715
HR/Benefits related questions can be directed to AccessHR (877-576-2427)

From: Shillingford, Fidelia X
Sent: Tuesday, December 16, 2014 11:04 AM
To: Cabrera-Vargas, Ana J; Sullivan, Michelle T
Subject: RE: Additional Manager has been removed from Candice Lue's (2014) Performance Review

Hi
As noted, it is our practice to complete the PMC for transfers regardless of the time of transfer. I will incorporate Michelle's feedback into the review and will co-ordinate the review with Candice.

Thank you

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

From: Cabrera-Vargas, Ana J
Sent: Tuesday, December 16, 2014 10:57 AM
To: Sullivan, Michelle T; Shillingford, Fidelia X
Subject: RE: Additional Manager has been removed from Candice Lue's (2014) Performance Review

To make this clear, ranking should be based on Candace's time in the CIB organization given she spent most of the year here.

Fidelia – as we discussed, please ensure Michelle's feedback is incorporated into Candace's YE review. If you are not adding her as an additional manager, her feedback is the primary feedback and you can add additional feedback for the 4 weeks she has been in your team.

I'm not fussing about who puts the feedback into the review but I do want to ensure Michelle's feedback is incorporated and is the primary feedback. HR will review the review as we normally do.

For the communication, both can be included.

Thanks

Ana Cabrera-Vargas I Vice President I CIB Human Resources
JPMorgan, 1 Chase Manhattan Plaza, 22nd Floor, New York, NY 10005-1401
✉ **E-mail:** ana.cabrera-vargas@jpmorgan.com ☎ **Tel:** (646) 582-7396 **Fax:** (212) 270-4715
HR/Benefits related questions can be directed to AccessHR (877-576-2427)

From: Sullivan, Michelle T
Sent: Tuesday, December 16, 2014 10:42 AM
To: Shillingford, Fidelia X; Cabrera-Vargas, Ana J
Subject: RE: Additional Manager has been removed from Candice Lue's (2014) Performance Review

I'm not clear on a few things here:

1) Why am I not able to input my feedback in PMC directly?
2) Is Candice getting her ranking based on her time in my org or will Fidelia be providing this to her (Candice's last day in my org was 11/7 and EOY rankings were completed for my Org the last week in October)
3) Who is verbally communicating with Candice her EOY feedback for her time in Commodities

Thanks,
Michelle Sullivan| Vice President | GCG | **J.P. Morgan** |4 Chase Metrotech Center, 13th Floor, Brooklyn, NY| T: 212 623 5646|
michelle.t.sullivan@jpmorgan.com
JPMC Internal Use Only

From: Shillingford, Fidelia X
Sent: Monday, December 15, 2014 9:56 PM
To: Cabrera-Vargas, Ana J; Sullivan, Michelle T
Subject: RE: Additional Manager has been removed from Candice Lue's (2014) Performance Review

Thank you. Michelle, could you please email a copy of your feedback and I will coordinate with Candice.

Regards
Fidelia Shillingford

From: Cabrera-Vargas, Ana J
Sent: Monday, December 15, 2014 3:39 PM
To: Shillingford, Fidelia X; Sullivan, Michelle T
Subject: RE: Additional Manager has been removed from Candice Lue's (2014) Performance Review

As discussed, I'm OK if Candace receives feedback from new area as well however most of the feedback should be from Commodities Ops given she spent most of the time in Michelle's space. Please collaborate in providing the feedback to Candace.

Thanks, Ana

Ana Cabrera-Vargas | Vice President | CIB Human Resources
JPMorgan, 1 Chase Manhattan Plaza, 22nd Floor, New York, NY 10005-1401
E-mail: ana.cabrera-vargas@jpmorgan.com **Tel:** (646) 582-7396 **Fax:** (212) 270-4715
HR/Benefits related questions can be directed to AccessHR (877-576-2427)

From: Shillingford, Fidelia X
Sent: Monday, December 15, 2014 12:38 PM
To: Cabrera-Vargas, Ana J; Sullivan, Michelle T
Subject: RE: Additional Manager has been removed from Candice Lue's (2014) Performance Review

Hi Ana
The process is different within our Line of Business. We typically request that the prior manager email us with his/her feedback and we input those along with our feedback. The yearend review is conducted by us.

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

From: Cabrera-Vargas, Ana J
Sent: Monday, December 15, 2014 9:27 AM
To: Sullivan, Michelle T; Shillingford, Fidelia X
Subject: RE: Additional Manager has been removed from Candice Lue's (2014) Performance Review

Hi Fidelia , You should keep Michelle Sullivan on the review as an additional manager given she will be inputting the YE review and communicating the actual review as well.

Thanks, Ana

Ana Cabrera-Vargas | Vice President | CIB Human Resources
JPMorgan, 1 Chase Manhattan Plaza, 22nd Floor, New York, NY 10005-1401
E-mail: ana.cabrera-vargas@jpmorgan.com **Tel:** (646) 582-7396 **Fax:** (212) 270-4715
HR/Benefits related questions can be directed to AccessHR (877-576-2427)

From: Sullivan, Michelle T
Sent: Monday, December 15, 2014 8:15 AM
To: Shillingford, Fidelia X
Cc: Cabrera-Vargas, Ana J
Subject: FW: Additional Manager has been removed from Candice Lue's (2014) Performance Review

Hi Fidelia,

I received the below notice late Friday. Can you add me back in today please?

Thanks,
Michelle

Sent with Good (www.good.com)

-----Original Message-----
From: Shillingford, Fidelia X
Sent: Friday, December 12, 2014 07:45 PM Eastern Standard Time
To: Sullivan, Michelle T
Cc: Lue, Candice
Subject: Additional Manager has been removed from Candice Lue's (2014) Performance Review

Hi Michelle,

You have been removed as the Additional Manager on Candice Lue's (2014) Performance Review by Fidelia Shillingford.

To access Performance Management Central (PMC), click on the following URL:
https://pmc.jpmchase.net

If you have questions about PMC, please contact your local accessHR.

This is an automated message - please do not reply

EXHIBIT C

Manager sections of this review are in 'display' status. Employee can view manager's comments or ratings.

Review Information	
Review Status:	Manager Signed
Employee:	Lue,Candice (R089235)
Manager:	Shillingford,Fidelia (O024978)
Additional Manager:	N/A
Review Cycle:	01-JAN-2014 --- 31-DEC-2014
Reporting Year:	2014
Job Title:	Counterparty Risk
Tenure Date:	20-AUG-2012

Mid Year Rating
Meets Expectations

Year End Rating
Low Meets Expectations

Finalize Year End Performance Review - Signature Section		
User	**Signature**	**Date**
Manager	Fidelia Shillingford	14-JAN-2015
Employee	Not Signed	N/A

Objective #1

Objective	Measures/Target Dates
To continue to maintain a company and client focused mindset which allows me to contribute more effectively to producing the quality of work required/expected in fast-paced and challenging environments.	Being aware of the challenging and volatile environment of the business and keeping abreast of changes and needs to make every effort in providing an optimal level of service to the company and clients (the lifeblood of the company). I ensure that I maintain and deliver the high quality of work which has encompassed my career thus far and positively shaped my ability to effectively perform as an individual contributor in order to boost productivity, efficiency and minimize risks for the company.

Employee Accomplishments

I have been consistently able to effectively prioritize and organize my day to day workload which allows me to meet deadlines while still being able to make my contribution to the success of the team as a whole. I have made certain that my responsiveness to the business and to the clients is timely and that my tasks are executed competently and with a high degree of professionalism. While adhering to controls in place and also playing an active role in reporting and analysis of Confirmations metrics and investigation of issues affecting confirmation issuance, I have always tried to see and understand the big picture and have always focused my contribution towards that.

As I liaise with individuals and groups at all levels across the firm from traders, marketers, Legal to other Front Office, Middle Office and Back Office groups and also with our clients, a company and client focused mindset is at the forefront of my approach to playing my part in carrying out the strategic agenda of the department and in turn of JPM as a whole. I ensure that I pull my weight as a team member and take initiative whenever necessary to carry out a task, respond to/action requests from internal groups and clients and to investigate/resolve issues that may arise. My communication style is thorough for the most part, as I usually prefer to solve queries as efficiently as possible instead of through constant back and forth emails/telephone calls. In taking this approach, I also believe that not only can I proactively take care of an internal or client query/concern in one email/telephone call without the person having to send back for additional information, doing so helps with the enhancement of productivity for all parties involved and for JPM as a whole.

My strategy for meeting and exceeding productivity goals is to not be insular in the execution of my work. I manage my time effectively and rarely have a set cut off time for ending my work day. I focus rather on completing all important tasks before leaving for the day while being cognizant of and responsive to situations that come up that require immediate attention, especially ones that could pose risk to the firm and potentially affect service to the business and to our clients. I have gotten positive reactions from the business and our clients on my approach and dependability for providing an optimal level of service with a high degree of professionalism. I plan to continue to maintain a company and client focused mindset coupled with delivering a high quality of work and providing an optimal level of service.

Manager Comments

Objective #2

Objective	Measures/Target Dates
To continue to seek/identify areas for process improvement and provide where applicable, recommendations to enhance the streamlining of work processes and the elimination of steps that do not add value.	Process improvement is critical to the productivity and growth of the company. I analyze BAU processes and brainstorm to see if there is a feasible solution that can help in boosting productivity and turnaround time in our workflow.

Employee Accomplishments

BAU processes of the Confirmations Team are working accordingly at this point in time based on capacity, available/allotted resources and direction of department. I proceed accordingly with process improvement aspects in an effort to add value.

Manager Comments

Objective #3

Objective	Measures/Target Dates
To continue to employ knowledge sharing techniques that improve team efficiency, reduce single person dependencies and enhance productivity as a whole.	I believe that knowledge sharing is an integral part of the growth and success of individuals and the company as a whole and strive to share my knowledge with others in an effort to boost productivity and efficiency. I find presenting and knowledge sharing enjoyable and in turn help others in the quest to expand their understanding of concepts and processes that are a vital part of the day to day workings of the team. I ensure that when I lead knowledge sharing and cross-training sessions with other team members, I present a thorough overview and step by step procedure in a way that benefits the person(s) and allows for identifying key take aways to foster the expansion of knowledge and practical application.

Employee Accomplishments

I have played an instrumental role on the team in employing knowledge sharing techniques that improve team efficiency, reduce single person dependencies and enhance productivity as a whole. In light of being the most cross-trained member of the Confirmations Team which involved my learning and effectively grasping concepts and processes from carrying out drafting for physical and financial commodities and client service BAU tasks to metrics reporting and actioning novations, I have been able to jump in where necessary to be a substantive team player and share my knowledge with other team members.

I have provided team members with cross-training ranging from performing drafting and other BAU tasks to conducting daily reporting. Some examples include providing training for the DCPP start of day (SOD) and end of (EOD) MIS reports, TLM and suppression reports, drafting of both complex (e.g. - for Paul Gendron deals) and standard confirmations, actioning eConfirm items and using the new Athena Agreement and Customer GUI application for setting up master agreements and searching for/analyzing client information in the system.

In addition, to highlight the knowledge sharing theme, I have created Standard Operating Procedures (SOPs) to aid team members in understanding and grasping a concept or process. I have taken on the challenge of conducting the necessary research and creating an SOP entitled Knowledge Share: Handling Paul Gendron Deals (*Attachment) as a way of giving guidance and insight to team members as they learn to understand the nature of specialized natural gas deals transacted by JPM marketer Paul Gendron and the step by step drafting procedures. This SOP gives a detailed account of the specialized nature of Pauls deals, Pauls perspective on the deals, how the actual drafting of the confirmations should be handled, practical examples to demonstrate the process and the document itself includes screenshots and a table of contents which features hyperlinks to each section for ease of navigation. Knowledge Share: Handling Paul Gendron Deals will be coupled with a presentation at one of our team meetings.

Another example of an SOP I created is related to the Athena Agreement and Customer GUI application and entitled Quick Guide for Athena GUI (*Attachment) which includes screenshots and steps on navigating the different sections of the application. After conducting UAT testing of the Athena Agreement and Customer GUI application, I gave a demonstration to team members on how to use the Athena Agreement and Customer GUI for setting up master agreements and searching for/analyzing client information in our system and followed up by providing subsequent training sessions in light of the roll out of this new application within Athena and Endur becoming a legacy system. These are just some of the ways in which I have contributed to knowledge sharing initiatives with the goal in mind of enhancing team efficiency and productivity. As team members acquire more cross-training, the risk of single person dependencies and bottlenecks in the workflow can reduce substantially.
Manager Comments

Objective #4	
Objective	**Measures/Target Dates**
To apply my data quality testing abilities to ad-hoc projects involving testing due to system migrations and/or adoption of new system features.	To participate in testing initiatives that will benefit the department by becoming aware of proposed changes to systems or the necessity to test to determine the strength of systems in the event of an emergency or disruption of BAU. Adhere to testing timelines and provide feedback on the testing results.
Employee Accomplishments	
I participated in two testing projects: 1) Athena Agreement and Customer GUI application and 2) Disaster Recovery (DR) Site (Iselin, NJ location). I conducted UAT testing on behalf of the NA Region for the rollout of Athena Agreement and Customer GUI the new application within Athena where the master agreement data and Reference Data for client information will now be housed following migrations of the data from Endur and STS which are now respectively becoming legacy systems. I tested the functionality and features of the three sections of the application (Agreement, Party Agreement and Customer), recorded my results, provided feedback, gave a demonstration to team members and followed up by providing subsequent training sessions. I also created an SOP entitled Quick Guide for Athena GUI (as referenced in my Knowledge Sharing details in my Objective 3 and Mid Year Comments sections of the PMC) as a guide to team members for navigating the application in order to set up master agreements and search for/analyze client information in our system. I am also contributing to providing suggestions for possible enhancements to Athena Agreement and Customer GUI. In addition, I traveled to the Disaster Recovery (DR) Site (Iselin, NJ location) on behalf of the Confirmations Team to perform systems testing to determine the strength of our systems in the event of an emergency or disruption of BAU. I realize the importance of having a back up plan in case of an emergency or change in BAU processes and the necessity to minimize risk for the firm. I tested the accessibility and functionality of systems, applications, personal and shared drives and communications devices and provided analysis and feedback on the testing results. The overall analysis gathered will be used to draw conclusions about whether the DR Site can adequately support BAU functions across teams and team members work-related needs.	
Manager Comments	

Development Plan		
Development Goal - Not Started	**Actions/Resources**	**Progress**
WILL BE ADDED - THANKS	--	--
Manager's Comments		

Career Plan	
Career Goal	**Term**

WILL BE ADDED - THANKS	Short Term (0-12 months)

Manager Comments

Strengths & Opportunities

Employee Strength (Display) -- Lue, Candice (02-JUL-2014)

My ability to liaise with individuals at all levels of the firm and with clients as well as to maintain a team player mentality to effectively communicate, collaborate with others and execute tasks.

Employee Strength (Display) -- Lue, Candice (01-JUL-2014)

My ability to learn quickly and to tackle challenging tasks in an ever-changing environment regardless of whether I have received prior training.

Employee Strength (Display) -- Lue, Candice (01-JUL-2014)

My ability to present and employ knowledge sharing techniques that improve team efficiency, reduce single person dependencies and enhance productivity as a whole.

Employee Opportunity (Display) -- Lue, Candice (01-JUL-2014)

To acquire more hands-on experience in an area that focuses on multiple components of the regulatory environment to realize first hand how the different regulations intertwine (current role on Confirmations Team focuses primarily on Dodd-Frank regulations).

Employee Opportunity (Display) -- Lue, Candice (01-JUL-2014)

More availability of in-person classroom courses that focus and go into depth on specific products across the firm for which I can attend to continue to build upon my product knowledge/hands-on product experience.

Employee Opportunity (Display) -- Lue, Candice (01-JUL-2014)

To identify more ways to question the norm in some of the BAU processes of our team.

Manager Strength (Display) -- Sullivan, Michelle (24-JUL-2014)

Prioritization, attention to detail and organization- Candice is very productive, completes BAU timely and demonstrates ability to multi task allowing her to meet deadline for both BAU and ad-hoc assignments

Manager Strength (Display) -- Sullivan, Michelle (24-JUL-2014)

Strong work ethic and reliable team member

Manager Strength (Display) -- Sullivan, Michelle (24-JUL-2014)

Demonstrates interest in firms initiates such as the people agenda and volunteer work

Manager Opportunity (Display) -- Sullivan, Michelle (24-JUL-2014)

Continue to develop system and product knowledge and establish herself as SME

Manager Opportunity (Display) -- Sullivan, Michelle (24-JUL-2014)

Develop outside of the box mindset when addressing problems and providing potential solutions before looping in/handing off an issue to other team members

Manager Opportunity (Display) -- Sullivan, Michelle (24-JUL-2014)

Tailor communication style for audience

Manager Opportunity (Display) -- Sullivan, Michelle (24-JUL-2014)

Although not a consistent problem have seen instances where Candice struggles to address conflict with other team members positively (sometimes talking over them in team forum, sending escalation email to mgmt about another team member where entire team is copied in are a few examples)

Summary Comments

Employee Mid Year (Display) -- Lue, Candice (02-JUL-2014)

MY EFFORTS/ACCOMPLISHMENTS FOR THE FIRST HALF OF 2014

Work Ethic

I ensure that I maintain and deliver the high quality of work which has encompassed my career thus far and positively shaped my ability to effectively perform as an individual contributor in order to boost productivity, efficiency and minimize risks for the company. While having a high degree of professionalism and a company and client focused mindset, I have always tried to see and understand the big picture and have always focused my contribution towards that.

I have been consistently able to effectively prioritize and organize my day to day workload which allows me to meet deadlines while still being able to make my contribution to the success of the team as a whole. My strategy for meeting and exceeding productivity goals is to not be insular in the execution of my work. I also avoid any unnecessary distractions while executing my work so that I can be in line with the goal of being a substantive team player to the Confirmations Team.

I am motivated by challenge and proactively look for ways to expand upon my own knowledge and share my knowledge with others. As I liaise with Confirmations team members, other internal and external parties, I strive to ensure that substantive discussions ensue wherein I maintain an openness and approachable attitude towards all perspectives. I concentrate on the rationale and goal of the task at hand in order to effectively balance my workload on drafting and client service tasks, produce accurate and timely reports and conduct investigations. Given my ability to liaise with individuals at different levels of the firm and our clients, I endeavor to provide an excellent experience at each stage in the process.

Knowledge Sharing

In line with my objective, I have played an instrumental role on the team in employing knowledge sharing techniques that improve team efficiency, reduce single person dependencies and enhance productivity as a whole. In light of being the most cross-trained member of the Confirmations Team which involved my learning and effectively grasping concepts and processes from carrying out drafting for physical and financial commodities and client service BAU tasks to metrics reporting and actioning novations, I have been able to jump in where necessary to be a substantive team player and share my knowledge with other team members.

I have provided team members with cross-training ranging from performing drafting and other BAU tasks to conducting daily reporting. Some examples include providing training for the DCPP start of day (SOD) and end of (EOD) MIS reports, TLM and suppression reports, drafting of both complex (e.g. - for Paul Gendron deals) and standard confirmations, actioning eConfirm items and using the new Athena Agreement and Customer GUI application for setting up master agreements and searching for/analyzing client information in the system.

In addition, to highlight the knowledge sharing theme, I have created Standard Operating Procedures (SOPs) to aid team members in understanding and grasping a concept or process. I have taken on the challenge of conducting the necessary research and creating an SOP entitled Knowledge Share: Handling Paul Gendron Deals (*Attachment) as a way of giving guidance and insight to team members as they learn to understand the nature of specialized natural gas deals transacted by JPM marketer Paul Gendron and the step by step drafting procedures. This SOP gives a detailed account of the specialized nature of Pauls deals, Pauls perspective on the deals, how the actual drafting of the confirmations should be handled, practical examples to demonstrate the process and the document itself includes screenshots and a table of contents which features hyperlinks to each section for ease of navigation.

Knowledge Share: Handling Paul Gendron Deals will be coupled with a presentation at one of our team meetings.

**Continued below

Employee Mid Year (Display) -- Lue, Candice (02-JUL-2014)

**Mid Year Continued

Another example of an SOP I created is related to the Athena Agreement and Customer GUI application and entitled Quick Guide for Athena GUI (*Attachment) which includes screenshots and steps on navigating the different sections of the application. After conducting UAT testing of the Athena Agreement and Customer GUI application, I gave a demonstration to team members on how to use the Athena GUI for setting up master agreements and searching for/analyzing client information in our system and followed up by providing subsequent training sessions in light of the roll out of this new application within Athena and Endur becoming a legacy system.

These are just some of the ways in which I have contributed to knowledge sharing initiatives with the goal in mind of enhancing team efficiency and productivity. As team members acquire more cross-training, the risk of single person dependencies and bottlenecks in the workflow can reduce substantially.

Apart from BAU, I have also shared my interest in Couponing with team members as a way to not only boost morale but also to educate team members about this personal finance technique in saving money and budgeting. I created Coupon Central (a place to store and browse/shop for coupons in our teams section) as a fun way to show team members how to coupon even if you are debt-free and to provide a plethora of coupons for products that meet their lifestyle needs.

Self-Identified Personal and Career Initiatives

Ongoing learning to foster personal and career development is paramount for success. With that in mind, I continue to proactively self-identify courses and events that would be beneficial to me. I am well on my way in fulfilling the firm-wide requirement of completing a minimum of 16 course hours by year end and have already exceeded our team requirement of completing at least 9 course hours by end of June 2014. In addition to taking training courses, I look out for networking events. For example, I attended the CIB People Agenda J.P. Morgan Toastmasters NYC Club Launch Event.

In conjunction, I have successfully completed the following courses:
Harvard Manage Mentor (HMM): Strategy Execution and Decision Making

CCB Leader Led Series: Innovation w/ Gavin Michael

Other Personal and Career Development Courses: Business Process Improvement; Making Metrics Matter; Errors, Escalation and Root Cause Analysis; Root Cause Analysis: Analyzing Data; Root Cause Analysis: The Investigation and Root Cause Analysis: Implementing Solutions

Additional Job-Related Courses: CIB CAO Training Credit Technical Skills; CIB CAO External Training Hours Understanding ISDA and CIB CAO External Training Hours SME Training (note: relates to regulatory reporting)

I have also completed 6 additional mandatory courses while carrying out drafting and client service processes.

Volunteerism

Philanthropy/Volunteerism is an integral part of my life and I continue with efforts in volunteering. My heart smiles every time I do a volunteer activity. I had the opportunity to volunteer on behalf of J.P. Morgan Chase via Good Works in the following activities:

Dress for Success clothing drive and sorting event to donate, sort and organize professional attire and accessories for individuals in need of work and interview attire

Feeding Children Everywhere event to provide 75,000 healthy meal kits to children in need both locally and internationally (e.g. crisis food pantries)

Signed up for upcoming Summer 2014 event Operation Backpack Drive for Volunteers of America to help students living in NYC homeless shelters obtain school supplies to prepare for the upcoming school year

I plan to continue volunteerism efforts on behalf of JPM, as I enjoy the feeling and am grateful for the opportunity to make a difference in the lives others.

Employee Mid Year (Display) -- Lue, Candice (25-JUL-2014)

Most of these comments left by my manager (Michelle Sullivan) are unfair and clearly an attempt to get back at me for escalating to Senior Management inconsistencies, lack of forward thinking and managerial guidance in the department that needed to be addressed as they were lowering the morale of members of the team. I would have appreciated if examples were provided to substantiate most of these comments.

Employee Year End (Display) -- Lue, Candice (05-JAN-2015)

MY NEW ROLE

I started my new role as a Credit Reporting Risk Analyst in the Counterparty Risk Group in Asset Management on November 10, 2014 with my main focus being on my work with a strong attention to detail to ensure efficiency and accuracy.

It is my goal to proactively learn and understand the business, procedures/processes and to strengthen my knowledge of the credit-related products. So far, I have self-identified and taken measures which include taking training courses, reading training materials, independent research, attending seminars, hands-on execution of my tasks and liaising with teammates to expand my knowledge and strengthen my understanding of this business and its products. This also helps me to gain a diverse array of perspectives regarding the business. Asking questions and conducting appropriate due diligence have proved helpful in ensuring optimal accuracy and minimizing risk.

As I continue to grow in my new role, I hope to master the credit reporting process and make contributions to process improvement initiatives to benefit the department.

Additional 2014 Self-identified Personal and Career Development Initiatives (includes courses taken after my 2014 mid-year review)

I have fulfilled all of my training requirements (both mandatory and self-identified) for 2014 and have attended events that have helped to enhance my personal and career growth. In my new role, Ive self-identified and taken courses in Asset Management University and plan to also take courses in the newly established Risk Management University. I plan to continue to explore opportunities and take courses to enhance my personal and professional development.

Additional 2014 Courses and Events:
I have successfully completed 14 additional mandatory courses in conjunction with the following self-identified courses:

o Harvard Manage Mentor (HMM): Finance Essentials; Process Improvement and Career Management

o Other Personal and Career Development Courses: Selling Best Practices: Business Communication Styles; Selling Best Practices: Preparing and Planning; Marketing Your Transferable Skills; Interviewing Techniques; DCS Swaps & Derivatives 101; Equity Products - Rules of the Road and CIB Investor Services Cross-Product Training Series-OTC

o CCB Leader Led Series: Risk Management, Safeguarding Our Firm w/ Mandy Norton

o Additional Job-Related Courses: 2014 U.S. Asset Management Virtual Orientation; Credit Risk - Management & Regulation; Credit Derivatives - Types; Counterparty Credit Risk (CCR) - An Introduction and CIB CAO External Training Hours - Risk & Control Training

Events:
o Global Risk Management Speaker Series - Understanding and Managing Operational Risk
o GIM Town Hall with Chris Willcox and the Global Investment Management Operating Committee (GIM OC)
o Senior Leaders Breakfast
o 2014 WiRE Around the World of Risk: Insights and Opportunities
o FINANCE MATTERS -- Learning Series on 11-18-2014: GIM Real Assets
o How We Do Business Speaker Series
o Structured Products Exposure by Issuer Meetings
o SNL Financial webinar

Volunteerism

I thoroughly enjoy Philanthropy/Volunteerism and so continue with efforts in volunteering. In December 2014, I had the opportunity to volunteer on behalf of J.P. Morgan Chase via Good Works for the Salvation Army - Greater New York Division Toy Shops holiday toy drive and toy sorting events to donate, sort and organize toys for distribution to needy children during the holiday season.

Employee Year End (Display) -- Lue, Candice (05-JAN-2015)

Response to my year end feedback from prior manager Michelle Sullivan
(See 2014 PMC Year End review response document attached for an easier read.)

Let me put this as clear as day in hope that it will finally get the attention of HR and I could be vindicated of all the malicious and mendacious comments my former manager continues to put on my PMC:

Over the last two years, I have had one of the most trying times working under Michelle Sullivan as my manager and even after having my cathartic moment on November 7, 2014, she is still bent on derailing, smearing and destroying the financial career Ive tried so hard to pursue.

In Michelles last opportunities comment, she states that Her frustrations adapting were often times directed outward at members of the team, causing friction with her coworkers and a drop in overall performance. Candice wasnt able to overcome these issues with team and change in general, and they remained unresolved until her termination.

Yet, on my last day working in her department, I shook her hand and wished her well. However, not only did I give ALL of my other co-workers BOTH a handshake and a hug and wished them all well, I HANDMADE origami cranes for each of them INCLUDING Michelle as a parting gift. Now, does this sound like the action of an employee who has friction with her co-workers as stated by Michelle Sullivan?

I had created what I named Coupon Central whereby on my PERSONAL time I clipped and carried in coupons for ALL my co-workers INCLUDING Michelle (she even requested baby diaper coupons from me for which I took in pre-printed ones and others which I used my own home printer ink to print) for them to take advantage of should they be interested. I managed Coupon Central and continued to bring in coupons up to my last week in that department. So, would I be doing things like these for the said co-workers with whom Michelle states that I had friction? This comment by Michelle is another example of the slanderous comments she continues to make about me.

I cannot say that I was the perfect co-worker and I do not think that anyone else can either but Id just say that for the two holiday seasons that I spent in the department, I was the only employee to hand out holiday cards to all my co-workers INCLUDING Michelle.

In an email to Michelle date stamped Friday, October 31, 2014 11:39 AM, I wrote:

Hi Michelle/Mike, :)

Monday morning (Nov. 3) will be another late one for me but I should be in the office by 10/11am. [I had an interview.]

Best regards,
Candice

Yes, smiley face and all. With an impending termination date of November 7, does that seem like an email from someone who is frustrated, etc.?

When I did the EOY knowledge share that Michelle mentioned in my strengths, I went all out to get a projector and all. I started off the presentation by explaining that I specifically requested a projector because I wanted us all to look forward, not down or backwards. I had just gotten my termination letter a couple days prior. Does that sound like it was coming from someone who was frustrated, etc.?

On the last day in her department, I had six unused sick days, bearing in mind that I had only gotten confirmation of my current job the day before, November 6. So you tell me, if I was so frustrated, etc. as Michelle states, wouldnt I be at least calling out sick like so many other frustrated employees would have done instead of coming into work every day, ON TIME and working late if needs be to make sure that time-sensitive tasks were done?

During the transition period of the sale of the physical commodities business and even after I got my 60 day notice of termination, I continued to perform my duties at the highest professional level with accuracy and quick turnaround time.

2014 PMC Year End review response continued below

Employee Year End (Display) -- Lue, Candice (05-JAN-2015)

Response to my year end feedback from prior manager Michelle Sullivan Continued

In fact, one day before my date of termination, I got an email from a senior co-worker with whom I was working on a transition project in which he stated, Thanks Candice, appreciate the speedy turnaround after I completed the project he had asked me to work on. ONE DAY before my termination! Shouldnt I be so frustrated, etc. as Michelle states, that I would just call out sick or somehow didnt get a chance to do it before my date of termination? By the way, Michelle Sullivan was copied on this said email.

Michelle Sullivan creates issues and blows them out of control. Take for instance the time she called me and a former employee into a meeting because another co-worker who sat in the cubicle in front of this former employees cubicle was eavesdropping on a private, professional, adult conversation the former employee and I were having and went and carried this news to Michelle.

Yes, I had to previously escalate this former employee to Michelle for two matters that were negatively affecting BAU including one that was affecting my ability to ensure that an early report I had to run was run on time and with optimal accuracy. Conditions improved after those escalations but with the latter, there was still room for improvement. With that said, on Friday, July 25, 2014, I went over to this former employees cubicle to address the matter for an intended one last time. The conversation was a bit tense at first but towards the end of it, we came to an agreement that moving forward thered be improvement in our relationship.

The following Monday, July 28, I started my two week vacation and on the day after my return, August, 12, 2014, since he was in charge of Candy Central and I was in charge of Coupon Central, I personally delivered candy coupons to him (usually I put them in their pile in Coupon Central).

So, when Michelle called us to a meeting on August 13 and told us her reason for calling us into the meeting, obviously, we were a bit surprised especially with the meetings hearsay premise. Even though we told her we were fine as it relates to our relationship, if anyone were to ask Michelle to tell them about the friction, etc./outward frustration that I supposedly had with co-workers, this resolved or at least partially resolved matter/hearsay would have been her prime example. How sad.

When this former employee submitted his resignation two weeks before my date of termination for which I was not surprised (whether or not he had gotten a termination notice) because of the way how Michelle treated him, I went over to him and personally wished him well. Even when I had the friction with him, I used to feel bad for him every time Michelle insulted him publicly. I hope he has found a better home.

With regards to Michelles statement that Change proved to be very difficult for Candice, and she was unable to keep pace with rapidly evolving roles. At a time when the team needed to come together to face these new challenges, she instead became insular.

Let me say that, when you are asked to cross-train your co-workers with your regular duties which you have competently executed then your regular duties are taken away from you and you are relegated to using the majority of your BAU to call clients to ask them if they had received issued trade confirmations and when can we expect a returned signed copy, this kind of change would have been questioned by any ambitious, forward thinking individual who has proven that he/she can produce a high quality of work at a professional level. Especially someone who has proven over and over, the ability to successfully tackle challenges in ever-changing environments and take on challenges in demanding, time-sensitive environments to add value to the department and in turn the company as a whole.

2014 PMC Year End review response continued below

Employee Year End (Display) -- Lue, Candice (05-JAN-2015)

Response to my year end feedback from prior manager Michelle Sullivan Continued

Based on these frivolous opportunities comments that Michelle has made, it seems as if she is looking to talk her way out of why she decided to terminate a talent with the potential of making good contributions to JPMC.

Her comment about me not understanding products, workflow, controls and policy on which our process is based is ludicrous. If I didnt understand these fundamentals, AFTER TWO YEARS, how would I have been able to competently execute BAU functions and to do so with optimal accuracy I might add? One of my duties was to work on contracts for SPECIALIZED financial (e.g. - swaps, derivatives, options) and physical commodities (e.g. - natural gas, oil, power, refined products) deals and an understanding of the products was key to conducting the necessary due diligence and analyzing trade bookings for competently and accurately executing this duty. Bearing in mind that Id also completed self-identified courses such as Commodities Products Rules of the Road and Swaps & Derivatives 101 to build on product knowledge. I also took self-identified measures which included my detailed approach toward executing tasks, independent research, training and liaising with senior team members to further my development of product knowledge, workflow, controls and policy.

With regards to had a hard time extending her knowledge to like situations and often required step-by-step instructions for resolution let me say that since like situations means that the situation is not really the same but does have similarities and I am known to be very meticulous in the way how I execute my work and I have little tolerance for inaccuracies, if an issue arises which is not customary to regular BAU, even though I usually have at least the basic knowledge as to how to handle the task, I take it upon myself to ask pointed questions and to get a full understanding of the issue so that 1) Ill never need help with that issue again and 2) To ensure that optimal accuracy is achieved and risk is minimized or completely controlled. Also, to note, if any situations called for liaising with senior team members for verification of information, a step or a required review/approval before continuing with an investigation, I ensured that I conducted the appropriate due diligence in handling the matter professionally and accurately. Overall, I am organized and balanced in conducting necessary due diligence to ensure accuracy and minimize risk in processes and workflow.

In my opinion, however, Michelle should have used these like situations as opportunities to lend support and guidance as a manager instead of being so unapproachable when assistance is asked of her by her direct reports.

It does not matter how many times Michelles comment about being more receptive to feedback and partnering with her managers is written, it does not make it true. In the first year of my two year tenure in the department, I presented two initiatives to help to improve the BAU process and with regards to getting feedback and support from my managers this was what I wrote on my 2013 year-end PMC:

As for the support from management, I will respectfully say that such support was lackluster to non-existent. I understand not being completely sold on my idea but that in and of itself is not a constructive feedback for execution of any idea, neither is not getting responses verbally or in writing to emails sent. So, this was the kind of attitude/reaction that caused me to pull back on this effort. As, after assessing the situation, I decided that my continued pursuit could be misconstrued as overstepping my boundaries or insubordination.

2014 PMC Year End review response continued below

Employee Year End (Display) -- Lue, Candice (05-JAN-2015)

Response to my year end feedback from prior manager Michelle Sullivan Continued

In response to Candice also didnt solicit balanced feedback from the senior team leads or her stakeholders and when asked previously had refused as she saw this a putting a stain on her permanent record instead of helping to facilitate career development.

Half of all the feedbacks that I have solicited for my mid-year and year-end reviews have been from a diverse selection of stakeholders and my PMC record should show that.

Of the two team leads in the department, for my 2013 year-end review, I decided to only send a feedback request to one of them as, as I noted on my said PMC, if I know that a colleague has the tendency to be malicious or unconscionable, I will not in any way be swayed to have such person write a feedback on my behalf on my permanent work record. And as such, would refuse the suggestion of such feedback as a matter of shrewd thinking.

Even though I had communicated this sentiment to Michelle when I responded to her email telling me to send a feedback request to this team lead as well as in a subsequent meeting, she proceeded to use her authority as my manager to send the feedback request to the said team lead who did write a feedback that is currently a part of my permanent work record. What makes this opportunity comment from Michelle so damaging though, is that she failed to disclose that for my 2014 mid-year review, without being ordered to do so, I personally sent this team lead a feedback request to see if whatever comment she had written on my 2013 year end review was genuine or if it was only to cover for one of Michelles usual devious agendas. As, according to Michelle in our 2013 year-end review meeting, out of all the team members, [team lead] left you the best feedback.

So Michelle thinks that putting a defamatory feedback on someones permanent work record will help to facilitate career development? Bearing in mind that I will never be privy to that feedback.

With regards to, Continue to make and effort partner and build relationships with her stakeholders (TS, MMO, FO), I wont even spend much time on this. Since I have always partnered with and built relationships with stakeholders of the business as I carried out BAU tasks, worked on novations, ad-hoc requests, etc., Ill just state that one of the reasons I listed on my 2013 year-end PMC for deserving a better than meets expectations rating was:

Going beyond my call of duty when working from the midtown office to personally go to front office staff members to inquire if they need assistance with anything work related or have any urgent issues to take care of that I could assist them with while working from that location.

If anyone should thoroughly read all the comments I have made on my PMC, they will clearly see that I have accomplished all the personal goals Id set. The only one I did not carry through for 2014 was process improvement/change management as just like this no longer existing position, the business as it existed then would not have been the same after the sale so that focus would have been redundant.

And with all of the foregoing, a BELOW MEETS EXPECTATIONS rating? HR, I implore you to do your job.

Manager Mid Year (Display) -- Sullivan, Michelle (24-JUL-2014)

Candice has proven herself to be a reliable team member. She completes her BAU and ad-hoc assignments timely and jumps in to help others when asked and puts in longer hours when needed to get the job done. She has good organization skills and attention to detail and is professional and very responsive in her interactions with the both the business and clients. Candice has also contributed to a big initiative for the confirmations team which is moving away from specific task ownership to owning the E2E client experience. She has cross trained others and has learned all functions that the team performs giving her the flexibility to jump in on any task when called upon. Although she happily learned all functions, she didnt embrace the full ownership of all assignments initially (mainly the affirmation and chasing of paper confirmations) but she is now performing the role E2E. Upon management's direction, Candice has also participated in UAT testing for the Athena Agreement GUI (with guidance from a senior team member and the test pack requirements provided by SME in EMEA) and created an SOP for the team. She is also working on her knowledge share assigned to her as part of her 2014 objectives (Understanding Paul Gendron's activity along with enhancing the SOP on how to process it).

For further development, I would like to see more initiative and independent thinking from Candice when faced with edge situations in BAU. Although she is good at identifying outlying scenarios she doesnt readily take the next steps toward resolution. In continuining to challenge and prompt her to think about next steps I hope to see more ownership of issues going forward and less guidance and manipulation from senior members to see tasks through resolution. Candice is also encouraged to continue to offer solutions to improve challenges the team faces (such as responsiveness to internal and external clients, workflow management, improved MIS/focus of huddle, knowledge share ideas, etc). Another key development point for Candice is tailoring her communication style for her audience. She should try to move away from detailed explanation of investigation and steps performed (although good when training team members) when providing updates and feedback and put together a more executive level summary clearly highlighting status & next steps. Id also like to see Candice refine her approach when dealing with conflict in the team and other team members.

Candice is ranked Meets Expectations at mid-year.

Manager Year End (Display) -- Shillingford, Fidelia (31-DEC-2014)

Year end feedback from prior Manager - Michelle Sullivan

Strengths/Accomplishments-
o Follows procedures and often meets or exceeds SLAs on assigned tasks

o Takes pride in her work which ties in with her commitment to complete BAU and adhoc assignments (often staying later hours to do so)
o Demonstrates ability to multi task and prioritize workflow
o Very responsive to incoming client requests and responded to both the business and clients in a professional manner
o Good interest in Firms agenda (GoodWorks, People Agenda) and was able to participate in extracurricular activities but not at the cost of completing her tasks
o Completed Skills Academy
o Knowledge Share completed at EOY- This was one of Candices assigned stretch tasks for 2014. Her effort, presentation and delivery were good. It could have gone into more detail around really understanding the business but provided the team with a good SOP on how to process unique structures. Overall a success.

Opportunities:
o Develop a deeper understanding of the products, workflow, controls and policy in which our process is based on. Not unlike most analysts but I saw little to no development in this area from when she started the role. She was able to follow SOPs and direction but had a hard time extending her knowledge to like situations and often required step-by-step instructions for resolution. Spending time building this foundation would have helped her realize some of the goals she set for herself for the year such as change management and participation in requirement gathering and UAT for system migrations.
o Candice would also benefit from being more receptive to feedback and partnering with her managers and team leads to develop skills and to ultimately allow her to broaden the scope of her role. We all have development points but her inability to identify these will continue to impair her personal development. Candice also didnt solicit balanced feedback from the senior team leads or her stakeholders and when asked previously had refused as she saw this a putting a stain on her permanent record instead of helping to facilitate career development.
o Continue to make and effort partner and build relationships with her stakeholders (TS, MMO, FO)
o Attitude, interaction with team members and conflict resolution- This last year we faced many challenges in NA Documentation, with the team placed in a transition state after the sale of the physical business. In this environment Candices opportunity areas became apparent. Change proved to be very difficult for Candice, and she was unable to keep pace with rapidly evolving roles. At a time when the team needed to come together to face these new challenges, she instead became insular. Her frustrations adapting were often times directed outward at members of the team, causing friction with her coworkers and a drop in overall performance. Candice wasnt able to overcome these issues with team and change in general, and they remained unresolved until her termination.

Year end ranking from prior Manager - Michelle Sullivan: Low Meets Expectations

Current Manager feedback - Fidelia Shillingford

Candice has hit the ground running in this new role. She has been very hands-on and follows up on outstanding issues; additionally, Candice is willing to take on new responsibilities with a can-do-attitude. Its going to be a steep learning curve and she needs to be proactive in understanding the business, the processes/procedures, and the various products in order to be successful in this new role. For further development, I would encourage Candice to take advantage of AM University course geared for Counterparty Risk to expand her knowledge.

Discussion Tracking

Discussion	Employee Confirm	Manager Confirm
Objectives	Y (11-MAR-2014)	Y (13-AUG-2014)
Development/Career Plan	Y (22-AUG-2014)	Y (13-AUG-2014)
Jan, Feb, Mar (Quarterly Discussion)	Y (22-AUG-2014)	Y (13-AUG-2014)
Apr, May, Jun (Mid Year)	Y (22-AUG-2014)	Y (13-AUG-2014)
Jul, Aug, Sep (Quarterly Discussion)	N	N
Oct, Nov, Dec (Year End)	N	Y (14-JAN-2015)

Attachments

Filename	Uploaded By	Source	Date
2014 PMC Year End review response.pdf	Lue, Candice	Summary	Mon Jan 05 10:28:56 CST 2015
Knowledge Share - Handling Paul Gendron Deals.pptx	Lue, Candice	Objectives	Wed Sep 17 21:51:49 CDT 2014

Quick Guide for Athena GUI (Master Agreement Setup).docx	Lue, Candice	Objectives	Fri Jul 18 13:19:26 CDT 2014

Response to my year end feedback from prior manager – Michelle Sullivan

Let me put this as clear as day in hope that it will finally get the attention of HR and I could be vindicated of all the malicious and mendacious comments my former manager continues to put on my PMC:

Over the last two years, I have had one of the most trying times working under Michelle Sullivan as my manager and even after having my cathartic moment on November 7, 2014, she is still bent on derailing, smearing and destroying the financial career I've tried so hard to pursue.

In Michelle's last "opportunities" comment, she states that "*Her frustrations adapting were often times directed outward at members of the team, causing friction with her coworkers and a drop in overall performance. Candice wasnt able to overcome these issues with team and change in general, and they remained unresolved until her termination.*"

Yet, on my last day working in her department, I shook her hand and wished her well. However, not only did I give ALL of my other co-workers BOTH a handshake and a hug and wished them all well, I HANDMADE origami cranes for each of them INCLUDING Michelle as a parting gift. Now, does this sound like the action of an employee who has "*friction with her co-workers*" as stated by Michelle Sullivan?

I had created what I named "Coupon Central" whereby on my PERSONAL time I clipped and carried in coupons for ALL my co-workers INCLUDING Michelle (she even requested baby diaper coupons from me for which I took in pre-printed ones and others which I used my own home printer ink to print) for them to take advantage of should they be interested. I managed Coupon Central and continued to bring in coupons up to my last week in that department. So, would I be doing things like these for the said co-workers with whom Michelle states that I had "*friction*"? This comment by Michelle is another example of the slanderous comments she continues to make about me.

I cannot say that I was the perfect co-worker and I do not think that anyone else can either but I'd just say that for the two holiday seasons that I spent in the department, I was the only employee to hand out holiday cards to all my co-workers INCLUDING Michelle.

In an email to Michelle date stamped Friday, October 31, 2014 11:39 AM, I wrote:

"Hi Michelle/Mike, ☺

Monday morning (Nov. 3) will be another late one for me but I should be in the office by 10/11am. [I had an interview.]

Best regards,
Candice"

Yes, smiley face and all. With an impending termination date of November 7, does that seem like an email from someone who is frustrated, etc.?

When I did the EOY knowledge share that Michelle mentioned in my "strengths", I went all out to get a projector and all. I started off the presentation by explaining that I specifically requested a projector because "*I wanted us all to look forward, not down or backwards*". I had just gotten my termination letter a couple days prior. Does that sound like it was coming from someone who was frustrated, etc.?

On the last day in her department, I had six unused sick days, bearing in mind that I had only gotten confirmation of my current job the day before, November 6. So you tell me, if I was so frustrated, etc. as Michelle states, wouldn't I be at least calling out sick like so many other "frustrated employees" would have done instead of coming into work every day, ON TIME and working late if needs be to make sure that time-sensitive tasks were done?

During the transition period of the sale of the physical commodities business and even after I got my 60 day notice of termination, I continued to perform my duties at the highest professional level with accuracy and quick turnaround time. In fact, one day before my date of termination, I got an email from a senior co-worker with whom I was working on a transition project in which he stated, *"Thanks Candice, appreciate the speedy turnaround"* after I completed the project he had asked me to work on. ONE DAY before my termination! Shouldn't I be so "frustrated, etc." as Michelle states, that I would just call out sick or somehow didn't get a chance to do it before my date of termination? By the way, Michelle Sullivan was copied on this said email.

Michelle Sullivan creates issues and blows them out of control. Take for instance the time she called me and a former employee into a meeting because another co-worker who sat in the cubicle in front of this former employee's cubicle was eavesdropping on a private, professional, adult conversation the former employee and I were having and went and carried this "news" to Michelle.

Yes, I had to previously escalate this former employee to Michelle for two matters that were negatively affecting BAU including one that was affecting my ability to ensure that an early report I had to run was run on time and with optimal accuracy. Conditions improved after those escalations but with the latter, there was still room for improvement. With that said, on Friday, July 25, 2014, I went over to this former employee's cubicle to address the matter for an intended one last time. The conversation was a bit tense at first but towards the end of it, we came to an agreement that moving forward there'd be improvement in our relationship.

The following Monday, July 28, I started my two week vacation and on the day after my return, August, 12, 2014, since he was in charge of "Candy Central" and I was in charge of "Coupon Central", I personally delivered candy coupons to him (usually I put them in their pile in Coupon Central).

So, when Michelle called us to a meeting on August 13 and told us her reason for calling us into the meeting, obviously, we were a bit surprised especially with the meeting's "hearsay" premise. Even though we told her we were fine as it relates to our relationship, if anyone were to ask

Michelle to tell them about "*the friction, etc./outward frustration*" that I supposedly had with co-workers, this resolved or at least partially resolved matter/hearsay would have been her prime example. How sad.

When this former employee submitted his resignation two weeks before my date of termination for which I was not surprised (whether or not he had gotten a termination notice) because of the way how Michelle treated him, I went over to him and personally wished him well. Even when I had the friction with him, I used to feel bad for him every time Michelle insulted him publicly. I hope he has found a better home.

With regards to Michelle's statement that "*Change proved to be very difficult for Candice, and she was unable to keep pace with rapidly evolving roles. At a time when the team needed to come together to face these new challenges, she instead became insular.*"

Let me say that, when you are asked to cross-train your co-workers with your regular duties which you have competently executed then your regular duties are taken away from you and you are relegated to using the majority of your BAU to call clients to ask them if they had received issued trade confirmations and when can we expect a returned signed copy, this kind of "change" would have been questioned by any ambitious, forward thinking individual who has proven that he/she can produce a high quality of work at a professional level. Especially someone who has proven over and over, the ability to successfully tackle challenges in ever-changing environments and take on challenges in demanding, time-sensitive environments to add value to the department and in turn the company as a whole.

Based on these frivolous "opportunities" comments that Michelle has made, it seems as if she is looking to talk her way out of why she decided to terminate a talent with the potential of making good contributions to JPMC.

Her comment about me not understanding products, workflow, controls and policy on which our process is based is ludicrous. If I didn't understand these fundamentals, AFTER TWO YEARS, how would I have been able to competently execute BAU functions and to do so with optimal accuracy I might add? One of my duties was to work on contracts for SPECIALIZED financial (e.g. - swaps, derivatives, options) and physical commodities (e.g. - natural gas, oil, power, refined products) deals and an understanding of the products was key to conducting the necessary due diligence and analyzing trade bookings for competently and accurately executing this duty. Bearing in mind that I'd also completed self-identified courses such as Commodities Products – Rules of the Road and Swaps & Derivatives 101 to build on product knowledge. I also took self-identified measures which included my detailed approach toward executing tasks, independent research, training and liaising with senior team members to further my development of product knowledge, workflow, controls and policy.

With regards to "*had a hard time extending her knowledge to like situations and often required step-by-step instructions for resolution*" let me say that since "like situations" means that the situation is not really the same but does have similarities and I am known to be very meticulous in the way how I execute my work and I have little tolerance for inaccuracies, if an issue arises which is not customary to regular BAU, even though I usually have at least the basic knowledge as to how to handle the task, I take it upon myself to ask pointed questions and to get a full understanding of the issue so that 1) I'll never need help with that issue again and 2) To ensure that optimal accuracy is achieved and risk is minimized or completely controlled. Also, to note, if any situations called for liaising with senior team members for verification of information, a step or a required review/approval before continuing with an investigation, I ensured that I conducted the appropriate due diligence in handling the matter professionally and accurately. Overall, I am organized and balanced in conducting necessary due diligence to ensure accuracy and minimize risk in processes and workflow.

In my opinion, however, Michelle should have used these "like situations" as opportunities to lend support and guidance as a manager instead of being so unapproachable when assistance is asked of her by her direct reports.

It does not matter how many times Michelle's comment about *"being more receptive to feedback and partnering with her managers"* is written, it does not make it true. In the first year of my two year tenure in the department, I presented two initiatives to help to improve the BAU process and with regards to getting feedback and support from my managers this was what I wrote on my 2013 year-end PMC:

"As for the support from management, I will respectfully say that such support was lackluster to non-existent. I understand not being "completely sold" on my idea but that in and of itself is not a "constructive feedback" for execution of any idea, neither is not getting responses verbally or in writing to emails sent. So, this was the kind of attitude/reaction that caused me to pull back on this effort. As, after assessing the situation, I decided that my continued pursuit could be misconstrued as overstepping my boundaries or insubordination."

In response to *"Candice also didnt solicit balanced feedback from the senior team leads or her stakeholders and when asked previously had refused as she saw this a putting a stain on her permanent record instead of helping to facilitate career development."*

Half of all the feedbacks that I have solicited for my mid-year and year-end reviews have been from a diverse selection of stakeholders and my PMC record should show that.

Of the two team leads in the department, for my 2013 year-end review, I decided to only send a feedback request to one of them as, as I noted on my said PMC, *"if I know that a colleague has the tendency to be malicious or unconscionable, I will not in any way be swayed to have such person write a feedback on my behalf on my permanent work record. And as such, would refuse the suggestion of such feedback as a matter of shrewd thinking."*

Even though I had communicated this sentiment to Michelle when I responded to her email telling me to send a feedback request to this team lead as well as in a subsequent meeting, she proceeded to use her authority as my manager to send the feedback request to the said team lead who did write a feedback that is currently a part of my permanent work record. What makes this "opportunity" comment from Michelle so damaging though, is that she failed to disclose that for my 2014 mid-year review, without being ordered to do so, I personally sent this team lead a feedback request to see if whatever comment she had written on my 2013 year end review was genuine or if it was only to cover for one of Michelle's usual devious agendas. As, according to Michelle in our 2013 year-end review meeting, *"out of all the team members, [team lead] left you the best feedback"*.

So Michelle thinks that putting a defamatory feedback on someone's permanent work record will help *"to facilitate career development"*? Bearing in mind that I will never be privy to that feedback.

With regards to, *"Continue to make and effort partner and build relationships with her stakeholders (TS, MMO, FO)"*, I won't even spend much time on this. Since I have always partnered with and built relationships with stakeholders of the business as I carried out BAU tasks, worked on novations, ad-hoc requests, etc., I'll just state that one of the reasons I listed on my 2013 year-end PMC for deserving a better than "meets expectations" rating was:

"Going beyond my call of duty when working from the midtown office to personally go to front office staff members to inquire if they need assistance with anything work related or have any urgent issues to take care of that I could assist them with while working from that location."

If anyone should thoroughly read all the comments I have made on my PMC, they will clearly see that I have accomplished all the personal goals I'd set. The only one I did not carry through for 2014 was process improvement/*"change management"* as just like this no longer existing position, the business as it existed then would not have been the same after the sale so that focus would have been redundant.

And with all of the foregoing, a BELOW MEETS EXPECTATIONS rating? HR, I implore you to do your job.

Knowledge Share

Handling [redacted] Deals

Presented By: Candice Lue

J.P.Morgan

JPMORGAN CHASE 000384