

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK, COUNTY OF NEW YORK

CIVIL ACTION NO.: 16 CV 3207 (AJN) (GWG)

CANDICE LUE, an individual,
Plaintiff

v.

JPMORGAN CHASE & CO. a Delaware Corporation; ALEX KHAVIN, an individual; FIDELIA SHILLINGFORD, an individual; JOHN VEGA, an individual; HELEN DUBOWY, an individual; PHILIPPE QUIX, an individual; THOMAS POZ, an individual; CHRIS LIASIS, an individual; MICHELLE SULLIVAN, an individual; and DOES 1 - 10, inclusive,

Defendants

EXHIBITS

CC – CC-3

**IN OPPOSITION/RESPONSE TO DEFENDANTS'
MOTION FOR SUMMARY JUDGMENT**

DOCKET #s 89-100

EXHIBIT CC

(Back and forth emails among JPMorgan Chase & Co.'s Human Resources and Legal
Departments and Managers)

From: Vernon, Terri
To: Vega, John R.
CC: Martins, Jack N; Sebastian, Nancy R
Sent: 6/4/2015 3:29:34 PM
Subject: FW: Discussion with Management concerns
Attachments: Lack of Trust and Confidence AND Your Relationship with Michelle Sullivan; RE: Exposure Report; RE: Minutes and Documents for Extended Team Meeting; RE: Monthly CRG Governance Meeting; Re: Not Feeling Well; Re: Sick; RE: Tasks; RE: WFH; Re: WFH; Reporting Analyst Workload

John,

I opened a case for you under the name Fidelia Shillingford (0024978). She is the manager that Candice Liu feels treats her as "The Help" and is racially discriminating.

There is a history with Candice filing complaints against a previous manager as well. Nancy Sebastian investigated that case.

I have emails (many) from Candice that I can forward. Please let me know how I can be of assistance.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com
Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

Obvious from Terri Vernon's email, my complaint of Employment Racial Discrimination was dead on arrival. CL

From: Vernon, Terri
Sent: Monday, June 01, 2015 11:00 AM
To: Vega, John R.; Padilla, Linda
Cc: Martins, Jack N
Subject: FW: Discussion with Management concerns

John,

I am forwarding this email to you for you to review. The HRBP asked that I reach out to the employee and schedule a meeting, which I did for tomorrow (Tuesday). I then received this email back from the employee stating that she feels she is a "victim of racial discrimination."

There is a history with this employee. Nancy Sebastian (HRAD) investigated another complaint regarding this employee and a previous manager when the employee was with CIB (2014).

Given this new allegation of racial discrimination, please let me know how you would like to proceed and how I can assist.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com
Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Lue, Candice
Sent: Friday, May 29, 2015 5:51 AM
To: Vernon, Terri
Subject: RE: Discussion with Management concerns

Hi Terri,

I have attached a series of emails for your review. Can you please read through the trails in preparation for the meeting on Tuesday?

Also, please be advised that I consider myself to be a victim of racial discrimination.

Looking forward to speaking with you.

From: Vernon, Terri
Sent: 6/10/2015 9:31:49 PM
To: Vernon, Terri ; Vega, John R. ; Dubowy, Helen ; Sebastian, Nancy R
Subject: Candice Liu case
Location: (888) 575-5762 PC: 67948733#
Start: Thu 6/11/2015 6:30:00 PM
End: Thu 6/11/2015 7:00:00 PM
Recurrence: (none)
Meeting Status: Meeting organized

Required Attendees: Vernon, Terri; Vega, John R.; Dubowy, Helen; Sebastian, Nancy R

John,

This is the case I sent your way that needs some attention. I have invited Nancy because she worked on a previous case with Candice against another manager as well.

Thanks all!

TV

Because at the time I was naive as it relates to JPMC racist culture, the case that Nancy Sebastian "worked on" did NOT have anything to do with Employment Racial Discrimination. It was all about two former White JPMC managers who were doing everything in their power to regress and stagnate my career at JPMC (6th and 10th Causes of Action-Am. Compl.)

CL

From: Vega, John R.
To: Vernon, Terri; Dubowy, Helen
Sent: 6/16/2015 5:27:23 PM
Subject: update

Hi there:

Just wanted to let you know that I spoke with Alex today on the Lue matter and have a discussion scheduled with Fidelia tomorrow at 3:30. Afterwards, I will speak with Candice.

My meeting with her will be very impromptu, on purpose. Given what I hear, I will then schedule more time.

I'll keep you both posted.

Thx,
John

"My meeting with her [Candice Lue] will be very impromptu, on purpose".

Meaning that this wasn't a credible investigation of my Employment Racial Discrimination Claim, it was a mere setup which is unlawful.

CL

From: Vega, John R.
To: Vernon, Terri
Sent: 6/4/2015 3:30:48 PM
Subject: RE: Discussion with Management concerns

Ok. Thx.

I'm at 270 today . I'll give you a call later today or we can set up sometime tomorrow.

From: Vernon, Terri
Sent: Thursday, June 04, 2015 10:30 AM
To: Vega, John R.
Cc: Martins, Jack N; Sebastian, Nancy R
Subject: FW: Discussion with Management concerns

John,

I opened a case for you under the name Fidelia Shillingford (O024978). She is the manager that Candice Liu feels treats her as "The Help" and is racially discriminating.

There is a history with Candice filing complaints against a previous manager as well. Nancy Sebastian investigated that case.

I have emails (many) from Candice that I can forward. Please let me know how I can be of assistance.

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Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

In order to discredit my claim of Employment Racial Discrimination and based on the Defendants' contention that claims that a Black employee cannot discriminate against another Black employee which "EEOC Compliance Manual Section 15-Race and Color Discrimination-V(A)(2)-The decisionmaker's race" disqualifies, in her email dated June 4, 2015 and time stamped 10:30 AM, HR Representative, Terri Vernon opened my case of Employment Racial Discrimination under Fidelia Shillingford, who is Black and not under Alex Khavin, the main alleged perpetrator, who is White.
CL

From: Vernon, Terri
Sent: Monday, June 01, 2015 11:00 AM
To: Vega, John R.; Padilla, Linda
Cc: Martins, Jack N
Subject: FW: Discussion with Management concerns

John,

I am forwarding this email to you for you to review. The HRBP asked that I reach out to the employee and schedule a meeting, which I did for tomorrow (Tuesday). I then received this email back from the employee stating that she feels she is a "victim of racial discrimination."

There is a history with this employee. Nancy Sebastian (HRAD) investigated another complaint regarding this employee and a previous manager when the employee was with CIB (2014).

Given this new allegation of racial discrimination, please let me know how you would like to proceed and how I can assist.

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Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Lue, Candice
Sent: Friday, May 29, 2015 5:51 AM
To: Vernon, Terri
Subject: RE: Discussion with Management concerns

Hi Terri,

I have attached a series of emails for your review. Can you please read through the trails in preparation for the meeting on

From: Dubowy, Helen
Sent: Monday, June 15, 2015 1:55 PM
To: Vega, John R.
Cc: Vernon, Terri
Subject: RE: Monthly CRG Governance Meeting

Thank you. I really appreciate it. They are very anxious to move forward.

From: Vega, John R.
Sent: Monday, June 15, 2015 8:54 AM
To: Dubowy, Helen
Cc: Vernon, Terri
Subject: RE: Monthly CRG Governance Meeting

Good Morning:

I didn't get a chance to call her. I was swamped on Thursday and Friday, but will reach out to her today.

I'll drop you and Terri an email once it is done so we can get this moving.

Thx
John

From: Dubowy, Helen
Sent: Monday, June 15, 2015 8:51 AM
To: Vega, John R.
Cc: Vernon, Terri
Subject: RE: Monthly CRG Governance Meeting

John - I am checking in on this. Did you have a chance to hold any of the conversations? As I mentioned, Alex Khavin, Candice's 2nd up Manager is going on leave starting on Friday and we'd like to have this resolved a few days prior so Alex can conduct the mid-year performance discussion.

Thank you.

From: Vega, John R.
Sent: Wednesday, June 10, 2015 12:06 AM
To: Vernon, Terri
Cc: Dubowy, Helen
Subject: RE: Monthly CRG Governance Meeting

Ok, sure. Set it up...

From: Vernon, Terri
Sent: Tuesday, June 09, 2015 7:28 PM
To: Vega, John R.
Cc: Dubowy, Helen
Subject: FW: Monthly CRG Governance Meeting

John,
I opened this AK case under your name for the employee Candice Liu.
Candice continues to be a problem in the business. She is the employee that feels the actions of her manager are based on race and refers to herself as "the help."
Candice refuses to listen to the direction of her manager. This issue surfaced with a previous manager as well and was investigated with an unsubstantiated outcome.

I can put together a call with Helen Dubowy (HRBP) and Nancy Sebastian (previous colleague that investigated last allegation).
Let me know!

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com
Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Dubowy, Helen
Sent: Tuesday, June 09, 2015 2:35 PM
To: Vernon, Terri
Subject: FW: Monthly CRG Governance Meeting

From: Khavin, Alex G
Sent: Tuesday, June 09, 2015 1:08 PM

Helen Dubowy's and John Vega's emails dated June 15, 2015 show malicious intent. First off, what does my claim of Employment Racial Discrimination against me have to do with my 2015 mid-year performance review? And, why should the 'investigation' of my claim of Employment Racial Discrimination which has been shown (Exhibit CC-1) to be biased, retaliatory and a total farce be so important to my mid-year performance review that these said HR legal representatives are making statements such as "email once it is done so we can get this moving" and "They are very anxious to move forward".
Again, as it relates to my mid-year performance review, anyone of reasonable mind would know that the 'anxiety' in getting the 'investigation' done for the benefit of my mid-year performance review where I was issued a PIP (performance improvement plan) was NOT good intentioned. CL

Comment Continued

As a matter of fact, everything that Vega told me on July 29, 2015 with regards to the "findings" of his 'investigation' were on the PIP that was issued to me on July 30, 2015.

Additional proof that the said PIP on which I was placed was fallacious, pretextual and retaliatory. CL

From:
To: Dubowy, Helen; Vega, John R.
Sent:
Subject: RE: update

My 2015 mid-year performance review was totally pretextual and retaliatory. Even the alleged perpetrators themselves knew it.

CZ

Either way, she will think it's retaliatory. I also think there are pro / cons with the business delivering the mid year and then John speaking with her

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Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Dubowy, Helen
Sent: Thursday, June 18, 2015 4:42 AM
To: Vega, John R.; Vernon, Terri
Subject: RE: update

Terri – do you agree? Should I advise Alex and Fidelia to complete the review in the next 2 days before Alex leaves? Any concern with the perception of retaliation?

From: Vega, John R.
Sent: Thursday, June 18, 2015 7:39 AM
To: Dubowy, Helen; Vernon, Terri
Subject: RE: update
Importance: High

My opposition to the Employment Racially Discriminatory tasks that were solely assigned to me, the only Black analyst in the Counterparty Risk Group, per John Vega's email, "is causing the issue here!" CZ

At this stage yes. I would prefer that she do it, but the employee will clearly say it's retaliatory, which we all know is not the case.

This employee's failure to do her job, or her unwillingness to do, is causing the issue here. She is the catalyst.

From: Dubowy, Helen
Sent: Thursday, June 18, 2015 7:37 AM
To: Vega, John R.; Vernon, Terri
Subject: RE: update

Thanks John. Should I assume that Alex should not deliver the midyear review until the investigation is complete?

From: Vega, John R.
Sent: Thursday, June 18, 2015 7:34 AM
To: Dubowy, Helen; Vernon, Terri
Subject: RE: update

Hi there:

More investigation is needed. I also see that Candice reached out to Terri yesterday and I will be reaching out to her today. Candice will be on vacation starting later today so it's not likely that I will speak with her prior to the start of her vacation. I shared that with Alex and Fidelia. I have spoken with Alex, Fidelia and Kim Dawber and will likely speak with one or two people before I speak with Candice.

Stay tuned.

From: Dubowy, Helen
Sent: Thursday, June 18, 2015 6:57 AM
To: Vega, John R.; Vernon, Terri
Subject: RE: update

John – sorry I missed your call yesterday. It was hard to hear your message, so not sure I have a good update. Let's try and connect today. Or may be easier to send an email since I am in meetings most of the morning. I am anxious to understand if there is an outcome or more investigation needs to happen. Thank you.

From: Vega, John R.
Sent: Tuesday, June 16, 2015 12:27 PM
To: Vernon, Terri; Dubowy, Helen
Subject: update
Importance: High

Hi there:

Just wanted to let you know that I spoke with Alex today on the Lue matter and have a discussion scheduled with Fidelia tomorrow at 3:30. Afterwards, I will speak with Candice.

My meeting with her will be very impromptu, on purpose. Given what I hear, I will then schedule more time.

I'll keep you both posted.

Thx,
John

Impromptu, on purpose.
Defendant Vega was not
conducting an investigation,
he was conducting a
setup
CL

From: Dubowy, Helen
To: Vega, John R.
CC: Vernon, Terri (terri.vernon@jpmchase.com)
Sent: 7/21/2015 11:34:00 AM
Subject: RE: Lue

John – I totally agree. I sent a note to Terri with something similar yesterday. I would like to be able to take action on this. It's not fair to the management team to continue with the way it is.

From: Vega, John R.
Sent: Tuesday, July 21, 2015 6:17 AM
To: Dubowy, Helen
Subject: Lue

Hi there:

I am of the opinion that what this employee is doing is bordering on insubordination and she is on the cusp of a WW. Do you agree?

Because of my stance against the Employment
Racial Discrimination that was being
Perpetrated against me in violation of EEOC
Compliance Manual 15-Race and Color
Discrimination-VII(B)(1)-WORK ASSIGNMENTS,
I was deemed as being 'insubordinate' and
was threatened with tangible employment
action which eventually came to fruition.
CR

From: Dubowy, Helen
To: Vernon, Terri
Sent: 7/20/2015 11:40:40 PM
Subject: Fw: PIP template
Attachments: [Untitled].pdf

We have to figure out what to do here. This kind of behavior is not appropriate. Anyway to get John to expedite the rest of the investigation?

From: Shillingford, Fidelia X
Sent: Monday, July 20, 2015 05:56 PM
To: Vernon, Terri; Dubowy, Helen
Cc: Khavin, Alex G; Vega, John R.; Shillingford, Fidelia X
Subject: RE: PIP template

Helen et al

I wanted to update you on a recent conversation with Candice during our scheduled one-on-one (meeting to discuss workload for the last two weeks, upcoming two weeks and any other tasks/issues).

I asked Candice to include in her tasks for the upcoming two weeks, the responsibility for prepping documents and taking notes for the Governance meeting. She has refused.

Candice also stated and I quote, "last week, you **bullied** me" in regards to "when will I have the exposure report completed." I explained to Candice that this role has deadlines and me asking her for the report is BAU – I am trying to manage management deadlines.

Regards
Fidelia

From: Vernon, Terri
Sent: Friday, July 17, 2015 10:05 AM
To: Shillingford, Fidelia X; Dubowy, Helen
Cc: Khavin, Alex G; Vega, John R.
Subject: RE: PIP template

Much like the PIP, I would hold off on providing any feedback at this time.

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(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Shillingford, Fidelia X
Sent: Friday, July 17, 2015 7:03 AM
To: Vernon, Terri; Dubowy, Helen
Cc: Khavin, Alex G
Subject: RE: PIP template

No, when last I spoke with him he noted that she brought up other issues which he has to investigate. Can I proceed with the mid-year feedback?

Regards
Fidelia

From: Vernon, Terri
Sent: Friday, July 17, 2015 10:01 AM
To: Shillingford, Fidelia X; Dubowy, Helen

Deadlines for Shillingford were based on HER convenience as the second reviewer of my reports, not the CRG's deadline. Because Shillingford "had" Dubowy, Vega, etc. as the "wind beneath her wings", she bullied and went on. (Am Compl. #20). The "tasks that Shillingford" asked "me" to do are tasks she had never asked any of the non-Black analysts/associates or even the White administrative assistant to do.

CL

Cc: Khavin, Alex G
Subject: RE: PIP template

Fidelia,
My apologies, I thought John had reached out to you.
Please hold off at this time with the PIP until further notice.

Terri Vernon
Vice President, Human Resources Advice Direct
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Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Shillingford, Fidelia X
Sent: Friday, July 17, 2015 6:00 AM
To: Vernon, Terri; Dubowy, Helen
Cc: Khavin, Alex G
Subject: RE: PIP template
Importance: High

Hi Terri

Were you able to get in contact with John? Can you please advise how to proceed?
I believe we should at least provide mid-year feedback to Candice and we can proceed with the PIP after the investigations have been completed.

Can you please give me a call to discuss?

Thank in advance

Regards
Fidelia

From: Vernon, Terri
Sent: Wednesday, July 08, 2015 1:11 PM
To: Shillingford, Fidelia X; Dubowy, Helen
Cc: Khavin, Alex G
Subject: RE: PIP template

Hi,
Corp ER is meeting with her now. Please stay tuned for further direction.

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Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Shillingford, Fidelia X
Sent: Monday, July 06, 2015 2:27 PM
To: Dubowy, Helen; Vernon, Terri
Cc: Khavin, Alex G
Subject: RE: PIP template

Thanks Helen

Terri, Helen
Alex is OOO and I am planning to deliver mid-year feedback to Candice once the investigation has been completed (expected to be completed this week). Please find attached a summary of mid-year feedback for your review. This will be delivered by me with Kimberly Dauber present.

Based on the feedback and performance for mid-year, I am strongly considering placing Candice on a PIP. Terri, can you please review the PIP and let me know your thoughts. I intend to deliver the PIP separately, after the mid-year feedback.

Regards
Fidelia

From: Dubowy, Helen
Sent: Monday, July 06, 2015 10:01 AM
To: Shillingford, Fidelia X
Subject: PIP template

As discussed. Thanks.

Defendant Helen Dubowy
Sending the Performance
improvement plan (PIP)
template to my servile
manager, Defendant Fidelia
Shillingford with the
message "As discussed".
With all due respect, enough
said.
CL

Regards
Fidelia

From: Dubowy, Helen
Sent: Thursday, July 30, 2015 9:49 AM
To: Shillingford, Fidelia X
Subject: RE: Tomorrow

In Fidelia Shillingford's email dated July 29, 2015 and time stamped 1:55 PM: MY MANAGER telling Helen Dubowy whom I had never met or as much as had an email communication with "to confirm what should be included in regards to her [Plaintiff, Candice Lue's] responsibilities."

Does it work for me to come by at 11:30 and perhaps do the review at 12?

From: Shillingford, Fidelia X
Sent: Wednesday, July 29, 2015 1:55 PM
To: Dubowy, Helen
Subject: FW: Tomorrow

Note: This was for my July 30, 2015 mid-year performance review when I was issued a performance improvement plan (PIP), (Exhibit C) CL

Hi Helen

Please let me know your availability today to prep for the meeting with Candice and also to confirm what should be included in regards to her responsibilities.

Regards
Fidelia

From: Shillingford, Fidelia X
Sent: Wednesday, July 29, 2015 11:24 AM
To: Vernon, Terri; Dubowy, Helen
Cc: Vega, John R.
Subject: RE: Tomorrow

Ok, I believe it was clarified, particularly during the interviewing process that she would only be doing reporting. I am hesitant to include, in the responsibilities, any task relating to credit particularly the underlined below.

Candice joined the (name of team) team as a reporting analyst on (date) Her main responsibilities include:

- 1) Performing on-going monitoring and periodic reviews of the creditworthiness of approved counterparties
- 2) Working with large volumes of data to conduct adhoc analyses on counterparties and exposure needed
- 3) Updating and distributing daily Counterparty reports
- 4) Contributing to team-wide efforts such as risk assessment methodology enhancements, portfolio wide reviews and preparing management presentations.

Regards
Fidelia

From: Vernon, Terri
Sent: Wednesday, July 29, 2015 11:09 AM
To: Shillingford, Fidelia X; Dubowy, Helen
Cc: Vega, John R.
Subject: RE: Tomorrow

This is taken from the job description that Candice applied to.

Terri Vernon
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(888) 703-5555 / HR.Advice.Direct@jpmchase.com
Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Shillingford, Fidelia X
Sent: Wednesday, July 29, 2015 7:49 AM
To: Vernon, Terri; Dubowy, Helen

Cc: Vega, John R.
Subject: RE: Tomorrow

Thanks Terri

Note, the job responsibilities noted are not accurate. These are the job responsibilities for the credit analysts. Candice role is strictly reporting.

See attached email from Alex detailing her job responsibilities per the posting.

Regards
Fidelia

From: Vernon, Terri
Sent: Wednesday, July 29, 2015 10:44 AM
To: Dubowy, Helen; Shillingford, Fidelia X
Subject: RE: Tomorrow

Helen,
I made some edits to the PIP. John has reviewed and approved the edits.

Terri Vernon
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Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Dubowy, Helen
Sent: Wednesday, July 29, 2015 7:33 AM
To: Shillingford, Fidelia X
Cc: Vernon, Terri
Subject: RE: Tomorrow

Ok, thanks. I will get back to you to confirm later today or tomorrow morning.

From: Shillingford, Fidelia X
Sent: Wednesday, July 29, 2015 9:10 AM
To: Dubowy, Helen
Subject: Tomorrow

Hi

I am free between 11:30-1:30 tomorrow, so any time period between would work for me.

Will you be coming down to the 9th floor? I could reserve Alex's office.

Regards
Fidelia

In email time stamped 7:49 AM Shillingford, Khavin's
servile employee in collaboration with Khavin in
trying to rework my job description to facilitate the
employment racially discriminatory tasks that were
solely assigned to me, the only Black analyst
in the Counterparty Risk Group (CRG). CX
Please see my official job description,
in Exhibit A.

HR legal representative, Terri Vernon whom
I had never worked with making edits to
the performance improvement plan (PIP)
on which I was placed and the
"investigator" of my Employment Racial
Discrimination claim reviewing and
approving Terri Vernon's edits. CX

From: Vernon, Terri
To: Shillingford, Fidelia X; Dubowy, Helen
CC: Vega, John R.
Sent: 7/29/2015 4:08:40 PM
Subject: RE: Tomorrow

This is taken from the job description that Candice applied to.

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Regards
Fidelia

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Sent: Wednesday, July 29, 2015 10:44 AM
To: Dubowy, Helen; Shillingford, Fidelia X
Subject: RE: Tomorrow

Helen,

I made some edits to the PIP. John has reviewed and approved the edits.

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Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Dubowy, Helen
Sent: Wednesday, July 29, 2015 7:33 AM
To: Shillingford, Fidelia X
Cc: Vernon, Terri
Subject: RE: Tomorrow

Ok, thanks. I will get back to you to confirm later today or tomorrow morning.

From: Shillingford, Fidelia X
Sent: Wednesday, July 29, 2015 9:10 AM

In email time stamped 7:49AM,
Shillingford, Khavin's servile
employee in collaboration
with Khavin in trying to
rework my job description to
facilitate the employment
racially discriminatory
tasks that were solely
assigned to me, the only Black
analyst in the Counterparty
Risk Group (CRG) CL
Please see my official job
description in Exhibit H.

From: Khavin, Alex G
To: Vernon, Terri
CC: Shillingford, Fidelia X
Sent: 5/27/2015 7:12:53 PM
Subject: Candice Lue - Reporting Analyst Rec and other details

Khavin reworking my job description in an attempt to cover her act of disparate treatment against me as it relates to "Work Assignment"- EEOC VII(B)(1).

Terri-

My official job description is in Exhibit H. CY

As requested, please see Candice's Reporting Role description below. Also as an FYI, when we were hiring Candice, we did not know if the reporting function would remain with us as there was the potential for the whole function to move out of our group. We communicated to Candice at time of hire that her role may be moved to another group.

For your convenience I am also including below the general description of responsibilities for some of our other analysts who are Credit Analysts (this specific one is for an analyst we hired almost at the same time as Candice).

Also per your request, here are some general overviews of the responsibilities currently performed by other Analysts/Associates on our team on certain initiatives:

Technology Initiatives:

Take notes on follow ups from meetings

Prepare materials for meeting

Gather feedback from other group members, consolidate into a centralized document, make edits/changes as requested by team members, group head. Print and distribute materials at meetings

Investment Risk Process:

Take notes on follow ups during meetings, distribute to meeting participants

Prepare materials for the meeting –gather documentation, print and distribute at meetings

Asset Management Risk Senior Management Meetings:

Gather information from credit officers and all credit analysts on overdue names

Gather information from credit officers and all credit analysts on new names completed

Pull information from reporting team on Limits and trading breaches, follow up with credit officers on reasons and record

Put together information into a centralized package, receive sign off from group manager, circulate to centralized business team

Limits Initiative:

Take notes on follow ups from meetings

Prepare materials for meetings

Gather feedback from group members, consolidate information as necessary, make edits/changes as requested by team members, group head. Print and distribute materials at meetings

Description of Reporting role in Taleo:

AM Counterparty Risk - Analyst/Associate - Risk and Reporting Analyst- New York

Department Description:

AM Risk Management employs people around the world and ensures strong risk management discipline throughout the lines of business within AM. The JPMAM Counterparty Risk Group, with assistance from regional risk personnel, supervises credit risk arising from counterparty activities conducted on behalf of clients. Additionally, the team is responsible for managing Crisis reporting.

Roles and Responsibilities:

The ideal candidate must possess a strong risk and control mindset, be very detail oriented, have excellent analytical and written/verbal communication skills as well as be able to work under pressure and deliver on multiple tight, time sensitive timelines. Additionally, the right candidate must understand and challenge the numbers, and be able to tell the story behind them. Specific responsibilities include:

- Updating and distributing daily Counterparty reports
- Help monitor, report and manage counterparty exposures
- Help maintain credit administration systems and records
- Assist other team members with assignments, cover for associates as needed
- Manage approval and related data within associated systems
- Record and communicate counterparty approvals, rejections, suspensions or other changes and generally support associates with related inquiries

Qualifications:

- Undergraduate degree with 1+ years of relevant work experience - strong academic performance with coursework in economics, statistics, and finance; knowledge of exchange-traded products and derivatives preferred
- Understanding of investment securities, derivatives, trading and settlement, financing and the risks associated therewith
- Understanding of counterparty credit risk and counterparty exposures, a plus
- Strong analytical, quantitative, and investigative problem-solving abilities
- Excellent relationship building skills with the ability to listen well and influence others
- Strong interpersonal skills
- Strong working knowledge of Microsoft suite of applications (especially Excel and PowerPoint)
- A self-starter who is organized and consistently meets deliverables
- Comfortable leading an initiative or playing a support role on the broader team

Description of Credit Analyst (1st year) role in Taleo:

J.P. Morgan Asset Management is a leading asset manager for individuals, advisors and institutions. Our investment professionals are located around the world, providing strategies that span the full spectrum of asset classes.

As one of the largest asset and wealth managers in the world, with assets under supervision of \$2.1 trillion and assets under management of \$1.4 trillion (as of December 31, 2012), we provide global market insights and a range of investment capabilities that few other firms can match.

J.P.Morgan Asset Management Risk Management is committed to being a world-class leader in risk management, maintaining a system of strong controls, providing guidance and clear direction on key risk principles, proactively managing risks and achieving a consistent balance between our business goals and deployment of capital. AM Risk Management employs people around the world and ensures strong risk management discipline throughout the lines of business within AM. The JPMAM Counterparty Risk Group, with assistance from regional risk personnel, supervises credit risk arising from counterparty activities conducted on behalf of clients.

Job Responsibilities:

The ideal candidate must possess a strong risk and control mindset, be very detailed oriented, have excellent analytical and written/verbal communication skills as well as be able to work under pressure and able to deliver on multiple tight, time sensitive timelines. Specific responsibilities will include:

- Performing on-going monitoring and periodic reviews of the creditworthiness of approved counterparties

- Working with large volumes of data to conduct adhoc analyses on counterparties and exposures as needed

- Updating and distributing daily Counterparty reports

- Contributing to team-wide efforts such as risk assessment methodology enhancements, portfolio-wide reviews and preparing management presentations

Qualifications and Skills:

- Undergraduate degree with 1+ years of relevant work experience - strong academic performance with coursework in economics, statistics, and finance; knowledge of exchange-traded products and derivatives preferred

- Demonstrated fundamental credit analysis skills

- Exceptional analytical skills (naturally inquisitive/intellectually curious)

- Superior attention to detail

- Demonstrated interest in/ knowledge of global financial markets and current regulatory/legislative agendas

- Self-starter with strong project management skills - be able to independently manage multiple tasks and priorities under tight deadlines

- Excellent team player

- Strong PowerPoint/ Excel /MS Office skills

Alex Khavin

Executive Director

J.P. Morgan Asset Management

alex.g.khavin@jpmorgan.com

270 Park Avenue, floor 9

Phone: 212-648-0172

Fax: 917-463-0245

Mobile: 917-414-2776

From: Vega, John R.
To: Dubowy, Helen; Vernon, Terri; Padilla, Linda
Sent: 8/3/2015 10:02:55 PM
Subject: RE: Mid-Year Review - PIP

I mentioned it to her today. I will forward this to her as well.

I think we are still in the same place. The onus is on the employee to do her job and I would suggest that Fidelia continue to manage this and follow the progressive corrective action process if she is non-compliant.

Linda – your thoughts on the attached? This is what we discussed this afternoon.

Thx
John

From: Dubowy, Helen
Sent: Monday, August 03, 2015 5:00 PM
To: Vega, John R.; Vernon, Terri
Subject: FW: Mid-Year Review - PIP

John – did you speak to Linda about this? What is our next step?

From: Lue, Candice
Sent: Monday, August 03, 2015 8:53 AM
To: Shillingford, Fidelia X
Cc: Dubowy, Helen; Khavin, Alex G; Vega, John R.; Vernon, Terri; Donnelly, John L
Subject: RE: Mid-Year Review - PIP

Fidelia:

Since I was raised in a household where TRUTH matters, I will not compromise my dignity to fully respond to or to sign off on the malicious and mendacious comments you have made about me and my work in your PDF attachment. These are fabricated comments made about me in retaliation for me speaking up and complaining about racial discrimination against me to HR.

With that said, I am a bit perturbed as to why I am denied the use of the company's Performance Management Central (PMC) portal for my mid-year performance review where my permanent work record would be electronically stored and where I would have the opportunity to tell the TRUTH instead of me "responding via email with any comments to you" where the said email response will be stored in your work/computer file versus this companywide proprietary platform provided for this use.

Which other team members are doing duties assigned to me? Would that be the "half a person" designated to help out due to the recognized fact that there is a lack of human resources on the Reporting side? Wasn't this the said reason for two of my predecessors leaving the job? So, I am being blamed for the lack of human resources now? The "half a person" is stressed because he wants to move on from doing reporting work and may I respectfully say, working with you. His new position is now or should be that of a credit risk analyst on the Credit Analysis side. I would have been stressed too if I were him. In how many meetings and one on ones have I raised the obvious issue of the need for additional human resources to you? In how many of these meetings did you agree with what I had to say (whether or not you were being disingenuous) until you were told that you will not be provided with any additional resource and then you ultimately got "half a person"?

Would the previous analysts you talked about being more favorable than I am in terms of executing their work on time, etc, include the one who is the team's running joke? The said one you imitated on Tuesday, July 28, 2015 where you put your hands in the air and said as he complained, yes complained, "I can only do one thing at a time"? Or, would it be the one who resigned after two months on the job due to being overwhelmed with work and not having a work/life balance? You, yourself are well over your head with work. To that, I will just say that when I go home, I want to feel as if I am at home, not at work.

The "job" that Defendant/"neutral investigator" John Vega is referencing is the Employment Racially Discriminatory tasks that were solely assigned to me, the only Black analyst in the Counterparty Risk Group (CRG). Vega's email proves that for not being "compliant" with the Employment Racial Discrimination that was perpetrated against me, tangible employment action in violation of EEOC Compliance Manual Section 15-Race and Color Discrimination-VII(c)-RETALIATION was taken against me. CZ

"Improve my communication style specifically in regards to tone and professionalism." - If you are referencing the emails in which I complained about being treated as the help (and I bet you are), I think my standing up has been misconstrued. In those emails I do write rhetorical questions such as "Am I the help? Is this 1910?" because of the demeaning treatment being meted out to me. Putting what you don't want to see in an email, the TRUTH, does not make the email unprofessional. Even though I've been discouraged by you time and again not to put things in email, it is the means I use to protect myself from these vicious mendacities. Sadly, not even this means is teflon enough to do so. As long as what I write in these emails can be said under penalty of perjury, they should not be deemed unprofessional.

"She has not taken on all tasks assigned to her." The ONLY tasks I have refused to take on are the tasks I noted when I reported racial discrimination against me to HR.

The foregoing speaks volume as to why I am denied the use of the companywide Performance Management Central (PMC) portal. Your comments are disingenuous and can be easily refuted. But, so no one will see the TRUTH, my performance review has been relegated to a one page PDF to be filed away in "Employee Records" and any comments I have must be sent to you, not to be inputted in an electronic format where I have the opportunity to respond for everyone to see. Now it has become clearer to me why on the afternoon of Tuesday, January 13, 2015 you unsuccessfully ordered me to remove my comments from PMC refuting the malicious and mendacious comments (a trait which I now realize is the trend) my previous manager made on my 2014 year-end review.

With you using these said comments as an albatross around my neck, I being treated as the help and for the most part working under duress, it's amazing that with fairness respected it would show that under the circumstances, I have done a pretty good job.

Having a manager who will fabricate things to make me seem incompetent (and I had sent you a three page email on this prior of which HR is aware) is a blight on any career success I could or would have had at JP Morgan. I had made a request to HR to have you removed as my manager as I have a lack of trust and confidence in you. I consider you to be the enabler, the facilitator and the coordinator of the second class treatment from Alex Khavin that has been meted out to me.

I had so much hope for this position. It's amazing how bad managers can turn good employees into bad employees. (Shake my head).

A PRINTED COPY OF THIS EMAIL AND THE ATTACHMENT HAVE BEEN SENT TO EMPLOYEE RECORDS – MAILBOX DE3-2280 FOR THEIR RECORDS

Best regards,
Candice

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

From: Shillingford, Fidelia X
Sent: Thursday, July 30, 2015 4:43 PM
To: Lue, Candice
Cc: Dubowy, Helen; Shillingford, Fidelia X
Subject: Mid-Year Review - PIP

Candice

Attached is the Performance Improvement Plan we discussed. We will meet on a regular basis to discuss your progress on these areas.

Additionally, can I ask that you please confirm in PMC that we had the mid-year discussion.

Regards
Fidelia

From: Vernon, Terri
To: Dubowy, Helen
Sent: 9/23/2015 7:45:41 PM
Subject: RE: Follow up

Why didn't she give her the WW???

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (714) 997-4377

-----Original Message-----

From: Dubowy, Helen
Sent: Wednesday, September 23, 2015 11:23 AM
To: Shillingford, Fidelia X; Vernon, Terri; Poz, Thomas I
Subject: RE: Follow up

Terri - I just spoke to Fidelia, she now has a 2nd examples of something Candace refused to do. I asked Fidelia to include the 2nd example in the written warning and then send to you for approval. She never delivered the 1st warning, so once you approve this, Fidelia and tom will communicate this to her. They are hoping to do it tomorrow. If your schedule would permit you to review and approve once you get it, that would be great.

Thanks.

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Wednesday, September 23, 2015 2:05 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up
Importance: High

All following up on the below; given we have another scenario (see attached email).

Regards
Fidelia

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Wednesday, September 02, 2015 10:21 AM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

All
Note, the next schedule monthly meeting is 9/25.
I would want to give Candice this warning a few days before this meeting (preferably by the week of Sept 14-18) so that she can pick up the task.

Regards
Fidelia

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Tuesday, September 01, 2015 5:07 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

All
Please find initial draft for your review.

HR legal representatives
desperately looking for "Red
Meat" to justify their
pretextual and retaliatory
employment action of giving
me a written warning.
I respectfully refer the
Court to my email response
to this said written warning
which is in Exhibit F. CZ

Proof that I was punished for
opposing the Employment Racially
Discriminatory tasks that were
solely assigned to me, the only Black
analyst in the Counterparty Risk Group
in violation of EEOC Compliance Manual
Section 15- Race and Color Discrimination

VI(c)-RETALIATION
CZ

Regards
Fidelia

-----Original Message-----

From: Vernon, Terri
Sent: Monday, August 31, 2015 4:52 PM
To: Shillingford, Fidelia X; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

Per our conversation, attached is the WW form.
Please fill out the best you can and send to Helen and me to review.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Monday, August 31, 2015 1:33 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: Follow up

Hi All
I am on the line.

Sent: Wednesday, September 23, 2015 2:05 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up
Importance: High

All following up on the below; given we have another scenario (see attached email).

Regards
Fidelia

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Wednesday, September 02, 2015 10:21 AM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

All

Note, the next schedule monthly meeting is 9/25.

I would want to give Candice this warning a few days before this meeting (preferably by the week of Sept 14-18) so that she can pick up the task.

Regards
Fidelia

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Tuesday, September 01, 2015 5:07 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

All

Please find initial draft for your review.

Regards
Fidelia

-----Original Message-----

From: Vernon, Terri
Sent: Monday, August 31, 2015 4:52 PM
To: Shillingford, Fidelia X; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

Per our conversation, attached is the WW form.
Please fill out the best you can and send to Helen and me to review.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Monday, August 31, 2015 1:33 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: Follow up

Hi All
I am on the line.

Note Fidelia Shillingford's email dated September 2, 2015 and time stamped 10:21AM. This tangible employment action of giving me a written warning was unlawful retaliation due to my opposition to the Employment Racially Discriminatory tasks that were solely assigned to me, the only Black analyst in the Counterparty Risk Group (CRG).

CL

From: Dubowy, Helen
To: Vernon, Terri
Sent: 9/2/2015 3:17:44 AM
Subject: RE: Follow up
Attachments: Candace Lue WrittenWarning.doc

I made one small modification (I took off a small phrase).

I usually like to see 2 issues before we would go to a WW - but I don't think we can avoid addressing this. I will be interested in what Linda has to say.

Thanks.

-----Original Message-----

From: Vernon, Terri
Sent: Tuesday, September 01, 2015 7:00 PM
To: Dubowy, Helen
Subject: FW: Follow up

Hi,
I'm fine with this as is. Let me know if you are and I will send it all to Linda and cc: you.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Tuesday, September 01, 2015 2:07 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

All
Please find initial draft for your review.

Regards
Fidelia

-----Original Message-----

From: Vernon, Terri
Sent: Monday, August 31, 2015 4:52 PM
To: Shillingford, Fidelia X; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

Per our conversation, attached is the WW form.
Please fill out the best you can and send to Helen and me to review.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Monday, August 31, 2015 1:33 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: Follow up

Hi All
I am on the line.

From: Shillingford, Fidelia X <fidelia.x.shillingford@jpmorgan.com>
To: Vernon, Terri <terri.vernon@jpmchase.com>
Sent: 12/7/2015 8:48:02 PM
Subject: RE: Follow up
Attachments: 15.ms9

Defendant Thomas Poz aided and abetted the Employment Racial Discrimination that was perpetrated against me. As email dated 12/7/2015 from Shillingford shows, he was also present and participated in the issuance of the written warning that was given to me on September 24, 2015. CL

Hi
I presented the WW on 9/24 with Tom present.
See attached email response from her in response to the WW.

Regards
Fidelia

-----Original Message-----

From: Vernon, Terri
Sent: Monday, December 07, 2015 1:49 PM
To: Shillingford, Fidelia X
Subject: RE: Follow up

Hello!

Can you please provide the date that you communicated the WW to Candice and who else was a witness to the conversation? Because she didn't sign the document, we just want to confirm who was there if she disputes.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (714) 997-4377

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Thursday, September 24, 2015 2:34 PM
To: Vernon, Terri; Dubowy, Helen
Cc: Poz, Thomas I
Subject: RE: Follow up

All

Please note that we communicated the written warning to Candice today. She refused to sign it; please find attached a scanned copy with this footnoted.
Note also, Candice expressed that "this stems from the discrimination charge that she has brought against me and that she has no further comments."

We clearly communicated to her that the next step could result in possible termination.

Regards
Fidelia

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Thursday, September 24, 2015 4:59 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up
Importance: High

Terri, Helen
Tom had a question regarding the WW; can you please give us a quick call as soon as possible.

Thanks

Regards
Fidelia

-----Original Message-----

Shillingford, a servile employee and a horizontal racist (and with all due respect, a fool) in service to her 'masters' is taking on the Complaint I made to HR about Khavin, who is a racist, unto herself - "this stems from the discrimination charge that she [Candice Lue] has BROUGHT AGAINST ME".

The HR legal representatives put this Complaint under her, Shillingford's name (JPMORGAN CHASE 003342) because like me, Shillingford is Black, as to discredit my Claim of Employment Racial Discrimination and Shillingford was willing to take it on obviously oblivious to CL

Comment continued

the fact that HER, Shillingford's work record will be showing that such a Complaint was brought against her and NOT Khavin. CL

From: Shillingford, Fidelia X
Sent: Thursday, September 24, 2015 3:39 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

Thanks

-----Original Message-----

From: Vernon, Terri
Sent: Thursday, September 24, 2015 3:34 PM
To: Shillingford, Fidelia X; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

Fidelia,

I think the WW is fine to deliver. Please make sure you change the date on the document to reflect the actual date of delivery and as well for the restriction period dates, 60 days.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (714) 997-4377

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Thursday, September 24, 2015 11:51 AM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up
Importance: High

Hi Terri

I am following up on the below.

Thanks

Regards
Fidelia

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Wednesday, September 23, 2015 2:44 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

All

Please see attached updated warning to include the second incident.
Please review and let me know if you have any comments.

It's my preference to give this to Candice as soon as possible.

Regards
Fidelia

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Wednesday, September 23, 2015 2:24 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

Helen

Tom would like to speak with you - can you pls call us at 212 648 1270.

Regards
Fidelia

-----Original Message-----

From: Shillingford, Fidelia X

Sent: Wednesday, September 23, 2015 2:05 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up
Importance: High

All following up on the below; given we have another scenario (see attached email).

Regards
Fidelia

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Wednesday, September 02, 2015 10:21 AM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

All
Note, the next schedule monthly meeting is 9/25.
I would want to give Candice this warning a few days before this meeting (preferably by the week of Sept 14-18) so that she can pick up the task.

Regards
Fidelia

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Tuesday, September 01, 2015 5:07 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

All
Please find initial draft for your review.

Regards
Fidelia

-----Original Message-----

From: Vernon, Terri
Sent: Monday, August 31, 2015 4:52 PM
To: Shillingford, Fidelia X; Dubowy, Helen; Poz, Thomas I
Subject: RE: Follow up

Per our conversation, attached is the WW form.
Please fill out the best you can and send to Helen and me to review.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Monday, August 31, 2015 1:33 PM
To: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Subject: Follow up

Hi All
I am on the line.

From: Knepper, Kathy
To: Dubowy, Helen
Sent: 12/10/2015 9:33:26 PM
Subject: RE: summary

In this email trail, HR legal representatives NOT my manager, Shillingford are discussing my termination. As Helen Dubowy's email time stamped 4:30 PM shows, Shillingford was not even aware of this communication. Proof that my termination was a LEGAL decision made in JPMC's favor. CL

I think we talked about you discussing the term recommendation with the head of AM Risk.

Please keep me posted. Thanks. Kathy

From: Dubowy, Helen
Sent: Thursday, December 10, 2015 4:30 PM
To: Knepper, Kathy
Subject: RE: summary

I am just sending this to Nelli Childs (Head of HR for Firmwide risk). I want to get her support for term.

Unless you had a concern I likely would share it with the head of AM risk also (but would not go below that level).

Thank you for the updates. They look good.

From: Knepper, Kathy
Sent: Thursday, December 10, 2015 4:27 PM
To: Dubowy, Helen
Subject: RE: summary

Who is this summary being sent to? Please see my corrections/comments in red below.

Note that although there is no 2014 performance rating in Profile, the 2014 performance review had a rating of "Low Meets Expectations" (see attached). My understanding is because the performance review was never finalized (Candice did not sign the review), the rating did not get uploaded into our systems. I think you can say she received a M- for performance year 2014.

From: Dubowy, Helen
Sent: Thursday, December 10, 2015 3:44 PM
To: Knepper, Kathy
Subject: summary

Anything you would add to this summary? Feel free to modify if I don't have it correct. Thanks.

DOH – 8/20/2012

Transferred from CIB to AM 11/16/2014

2012 YE rating – "Too New to Rate"

2013 YE rating – M

No rating entered for 2014 – interview notes state previous manager Michelle Sullivan said "trending towards a M-" (see my comments above)

2015 – Midyear M- (trending)

2015 – M-

PIP issued – July 30th, 2015

EXHIBIT CC-1

(Evidence in Support of Plaintiff's, Candice Lue's Affidavit in Opposition/Response to Declaration of Helen Dubowy and John Vega - Docket #s 96 and 98)

From:
To: Lue, Candice
CC: Vernon, Terri
BCC: Dubowy, Helen; Khavin, Alex G; Shillingford, Fidelia X
Sent:
Subject: RE: Discussion with Management concerns

Unbeknownst to me Defendant/
"neutral investigator," John Vega
was sharing all my
communication with him with
the alleged perpetrators,
Khavin and Shillingford via
blind copy emails (Bcc).

CL

Good Afternoon Candice:

Your matter has been raised to me for investigation. Please let me know your availability next week to discuss.

I look forward to hearing from you.

Thank you,
John

John R. Vega, JD, MS | Executive Director | Corporate Employee Relations | **J.P. Morgan Chase & Co.** | * 1 Chase Manhattan Plaza,
Floor 34, New York, NY 10004 | (T: 212-552-0338 | [8john.r.vega@chase.com](mailto:john.r.vega@chase.com)

From: Vernon, Terri
Sent: Wednesday, June 17, 2015 4:57 PM
To: Lue, Candice
Subject: RE: Discussion with Management concerns

Candice,

Your case has been referred to our Corporate Employee Relations team for further review. I will contact the individual who is now working on this and see if there is an update.

Thank you for your patience as we look to resolve this matter.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Lue, Candice
Sent: Wednesday, June 17, 2015 1:03 PM
To: Vernon, Terri
Subject: RE: Discussion with Management concerns

Hi Terri,

I just wanted to touch base with you regarding the status of our last meeting. I'd also like to know the status of my request for the removal of my current manager from whom I am sensing retaliation.

I will be on vacation starting this Friday, June 19 and will not be back in the office until Monday, June 29.

Best regards,
Candice

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

From: Lue, Candice
Sent: Tuesday, June 02, 2015 9:11 AM
To: Vernon, Terri
Subject: RE: Discussion with Management concerns

Hi Terri,

In pursuance to the below email, please also see attached.

From:
To: Lue, Candice
CC: Vernon, Terri
BCC: Shillingford, Fidelia X Dubowy, Helen
Sent:
Subject: RE: Discussion with Management concerns

I am appalled that Defendant/"neutral investigator," John Vega was blind copying Defendant/alleged perpetrator, Fidelia Shillingford on all the email correspondence I had with him even though I was not privy to email communications he was having with the Defendant/alleged perpetrator. CL

Hello Candice:

I will be at 270 Park the majority of the day on Wednesday, July 8th. I have some availability in the afternoon, between 1-3pm and 4-5pm. Please let me know what works best for you and we can meet that day.

Thank you,
John

John R. Vega, JD, MS | Executive Director | Corporate Employee Relations | **J.P. Morgan Chase & Co.** | * One Chase Manhattan Plaza, Floor 34, New York, NY 10005 | (T: 212-552-0338 | [8john.r.vega@chase.com](mailto:john.r.vega@chase.com)

From: Vega, John R.
Sent: Tuesday, June 30, 2015 11:21 AM
To: Lue, Candice
Cc: Vernon, Terri
Subject: RE: Discussion with Management concerns

Let me check my availability and I will get back to you shortly...

From: Lue, Candice
Sent: Tuesday, June 30, 2015 10:25 AM
To: Vega, John R.
Cc: Vernon, Terri
Subject: RE: Discussion with Management concerns

Hello John,

Just touching base with you in regards to the below. Here is my availability. Please let me know if any of these time slots work for you.

Wednesday, July 1: 10 to 11:30am; 3 to 3:30pm
Thursday, July 2: 10:30am to 12pm; 4 to 5pm
Friday, July 3: 10am to 12:30pm
Tuesday, July 7: 11:30am to 12:30pm; 2 to 3pm

Best regards,
Candice

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

From: Lue, Candice
Sent: Thursday, June 18, 2015 6:59 PM
To: Vega, John R.
Cc: Vernon, Terri
Subject: RE: Discussion with Management concerns

From: Vega, John R.
To: Shillingford, Fidelia X
Sent: 6/30/2015 4:34:02 PM
Subject: RE: Emails

Of course...

From: Shillingford, Fidelia X
Sent: Tuesday, June 30, 2015 11:32 AM
To: Vega, John R.
Subject: RE: Emails

Great; will you keep me updated on the outcome?

Regards
Fidelia

From: Vega, John R.
Sent: Tuesday, June 30, 2015 11:30 AM
To: Shillingford, Fidelia X
Subject: RE: Emails

I expect to complete my investigation prior to my going out on vacation July 9th.

From: Shillingford, Fidelia X
Sent: Tuesday, June 30, 2015 9:58 AM
To: Vega, John R.
Subject: RE: Emails

Hi

Have you schedule time to speak with Candice.

We did not deliver the mid-year because she was out on vacation and when she came back Alex went out. Also, I would prefer to have the investigation completed before I deliver it.

Regards
Fidelia

How can anyone of reasonable mind see fair the "investigation" that Defendant John Vega did into my Employment Racial Discrimination claim against Defendants Alex Khavin and Fidelia Shillingford when behind my back, Vega and Shillingford are nonchalantly communicating about this said "investigation"? CZ

From: Vega, John R.
To: Lue, Candice
BCC: Shillingford, Fidelia X
Sent: 7/8/2015 5:35:03 PM
Subject: RE: Discussion of Employee Concerns

More blind copying of our email
communication by Defendant/
"neutral investigator" John Vega.
DISGRACEFUL and BIAS.
CZ

Please meet me at the elevator bank on the 4th floor at 1pm.

From: Lue, Candice
Sent: Wednesday, July 08, 2015 11:19 AM
To: Vega, John R.
Subject: RE: Discussion of Employee Concerns

Hello John,

Just checking in to see if you were able to confirm a location.

Thanks and regards,
Candice

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

-----Original Appointment-----

From: Vega, John R.
Sent: Sunday, July 05, 2015 2:28 PM
To: Lue, Candice
Subject: Discussion of Employee Concerns
When: Wednesday, July 08, 2015 1:00 PM-2:00 PM (UTC-05:00) Eastern Time (US & Canada).
Where: 270 Park, location - TBD

Candice --

I will let you know where we will be meeting on Wednesday morning.

From: Vega, John R.
Sent: 7/27/2015 3:40:02 AM
To: Vega, John R. ; Vernon, Terri ; Dubowy, Helen
Subject: Candice Lue
Start: Tue 7/28/2015 6:00:00 PM
End: Tue 7/28/2015 6:30:00 PM
Recurrence: (none)
Meeting Status: Accepted

Required Attendees: Vernon, Terri; Dubowy, Helen

Dial in: 1-888-575-5762
Participate Code: 97334454
Host Code: 29640750

Let's regroup on how to proceed going forward. I have spoken with Fidelia and am comfortable moving forward with the prepared mid-year and the PIP.

Nothing about my Claim of employment racial discrimination. All about planning, concocting, regrouping, discussing, etc. on how to get rid of me which is against the law.
CL

From: Poz, Thomas I
To: Shillingford, Fidelia X
Sent: 7/28/2015 8:09:01 PM
Subject: RE: Update

Thanks

From: Shillingford, Fidelia X
Sent: Tuesday, July 28, 2015 3:09 PM
To: Poz, Thomas I
Subject: Fw: Update

FYI

From: Vega, John R.
Sent: Tuesday, July 28, 2015 02:34 PM
To: Dubowy, Helen; Vernon, Terri; Shillingford, Fidelia X
Subject: Update

Hi there:

I just wanted to let all of you know that I have sent an invite to Candice for 2:30-3pm tomorrow to discuss the issues she has raised and the results of my investigation.

I will keep everyone apprised of this.

Thx,
John

The Defendant/"neutral investigator," John Vega should not have been keeping the Defendant/alleged perpetrator, Fidelia Shillingford "apprised".

When I had this conference call with Vega, I had no idea that Shillingford knew that the time I was taking off was to have this call with Vega, as she pretended not to know.

Again, I just learned of what was going on behind my back after I got these emails from the Defendants' attorneys' office.

JPMC HR Representatives cannot be trusted. (Exhibit DDD)

CL

From: Shillingford, Fidelia X
To: Vernon, Terri; Dubowy, Helen
CC: Khavin, Alex G; Vega, John R.
Sent: 7/17/2015 3:06:28 PM
Subject: RE: PIP template

Ok, thanks.
I will await further guidance from you.

Pleasant weekend to all!

Regards
Fidelia

From: Vernon, Terri
Sent: Friday, July 17, 2015 10:05 AM
To: Shillingford, Fidelia X; Dubowy, Helen
Cc: Khavin, Alex G; Vega, John R.
Subject: RE: PIP template

Much like the PIP, I would hold off on providing any feedback at this time.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com
Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Shillingford, Fidelia X
Sent: Friday, July 17, 2015 7:03 AM
To: Vernon, Terri; Dubowy, Helen
Cc: Khavin, Alex G
Subject: RE: PIP template

No, when last I spoke with him he noted that she brought up other issues which he has to investigate.
Can I proceed with the mid-year feedback?

Regards
Fidelia

From: Vernon, Terri
Sent: Friday, July 17, 2015 10:01 AM
To: Shillingford, Fidelia X; Dubowy, Helen
Cc: Khavin, Alex G
Subject: RE: PIP template

Fidelia,
My apologies, I thought John had reached out to you.
Please hold off at this time with the PIP until further notice.

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As promised in email from
Defendant/"neutral investigator"
John Vega to Fidelia Shillingford
dated June 30, 2015 (JPMC 001242),
Fidelia Shillingford's email dated
July 17, 2015 confirms that
unbeknownst to me, Vega had
been keeping Shillingford "updated".

CL

From: Shillingford, Fidelia X
To: Vega, John R.
Sent: 7/31/2015 3:22:26 PM
Subject: RE: Sick Day

I won't be surprise if she takes disability

-----Original Message-----

From: Vega, John R.
Sent: Friday, July 31, 2015 9:24 AM
To: Shillingford, Fidelia X
Subject: RE: Sick Day

I am not surprised.....

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Friday, July 31, 2015 9:15 AM
To: Vega, John R.
Subject: FW: Sick Day

As expected...

-----Original Message-----

From: Lue, Candice
Sent: Friday, July 31, 2015 6:27 AM
To: Shillingford, Fidelia X
Cc: Kulda, Eileen; Poz, Thomas I
Subject: Sick Day

Good morning,

I am very stressed. I'm having a headache, nausea and a sharp pain in my side. I will not be in today.

Best regards,
Candice

Defendant/alleged perpetrator,
Shillingford and Defendant/"neutral
investigator", Vega ridiculing my
illness. The mental, physical and
emotional stress I was going
through the day after my 2015
mid-year performance review where
I was presented with the pretextual,
fallacious and retaliatory performance
improvement plan (PIP). CL

Please note that in 2014
Baruch Horowitz went out
on disability due to stress,
etc. (Am. Compl. # 107). CL

From: Shillingford, Fidelia X
To: Vega, John R.
Sent: 7/31/2015 3:19:51 PM
Subject: RE: Sick Day

I believe 7 out of 12.

-----Original Message-----

From: Vega, John R.
Sent: Friday, July 31, 2015 9:27 AM
To: Shillingford, Fidelia X
Subject: RE: Sick Day

How many days for this year has she taken?

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Friday, July 31, 2015 9:15 AM
To: Vega, John R.
Subject: FW: Sick Day

As expected...

-----Original Message-----

From: Lue, Candice
Sent: Friday, July 31, 2015 6:27 AM
To: Shillingford, Fidelia X
Cc: Kulda, Eileen; Poz, Thomas I
Subject: Sick Day

Good morning,

I am very stressed. I'm having a headache, nausea and a sharp pain in my side. I will not be in today.

Best regards,
Candice

Totally inappropriate and
BIASED. The "investigator"
of my racial discrimination
claims should not be
having this kind of
communication with the
alleged perpetrator. CZ

From: Shillingford, Fidelia X
To: Vega, John R.
Sent: 8/3/2015 6:36:12 PM
Subject: RE: Sick Day
Attachments: RE: Mid-Year Review - PIP

Yes, did you not see her email in response to the PIP (see attached).

-----Original Message-----

From: Vega, John R.
Sent: Monday, August 03, 2015 12:29 PM
To: Shillingford, Fidelia X
Subject: RE: Sick Day

Did she come in today?

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Friday, July 31, 2015 9:15 AM
To: Vega, John R.
Subject: FW: Sick Day

As expected...

-----Original Message-----

From: Lue, Candice
Sent: Friday, July 31, 2015 6:27 AM
To: Shillingford, Fidelia X
Cc: Kulda, Eileen; Poz, Thomas I
Subject: Sick Day

Good morning,

I am very stressed. I'm having a headache, nausea and a sharp pain in my side. I will not be in today.

Best regards,
Candice

From: Vega, John R. <John.R.Vega@chase.com>
To: Shillingford, Fidelia X <fidelia.x.shillingford@jpmorgan.com>
Sent: 8/3/2015 6:41:00 PM
Subject: RE: Sick Day

Act as if she signed it. I don't see any reason why you should not act accordingly.

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Monday, August 03, 2015 1:40 PM
To: Vega, John R.
Subject: RE: Sick Day

Yep, that's what I am doing.
Does she necessarily have to sign off on the PIP?

Regards
Fidelia

-----Original Message-----

From: Vega, John R.
Sent: Monday, August 03, 2015 1:37 PM
To: Shillingford, Fidelia X
Subject: RE: Sick Day

Oh yeah, I saw and I am appalled by it. Just continue to manage the situation.

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Monday, August 03, 2015 1:36 PM
To: Vega, John R.
Subject: RE: Sick Day

Yes, did you not see her email in response to the PIP (see attached).

-----Original Message-----

From: Vega, John R.
Sent: Monday, August 03, 2015 12:29 PM
To: Shillingford, Fidelia X
Subject: RE: Sick Day

Did she come in today?

-----Original Message-----

From: Shillingford, Fidelia X
Sent: Friday, July 31, 2015 9:15 AM
To: Vega, John R.
Subject: FW: Sick Day

As expected...

-----Original Message-----

From: Lue, Candice
Sent: Friday, July 31, 2015 6:27 AM
To: Shillingford, Fidelia X
Cc: Kulda, Eileen; Poz, Thomas I
Subject: Sick Day

Good morning,

I am very stressed. I'm having a headache, nausea and a sharp pain in my side. I will not be in today.

Best regards,

Defendant/"neutral investigator" John Vega's Cozy conversation with alleged perpetrator/Defendant Fidelia Shillingford telling her to "Act as if [Candice Lue] signed [the fallacious, pretextual and retaliatory performance improvement plan (PIP)]" that was issued to me on July 30, 2015 which I did not sign. CL

Candice

From: Vernon, Terri
To: Vega, John R.
CC: Martins, Jack N; Sebastian, Nancy R
Sent: 6/4/2015 3:29:34 PM
Subject: FW: Discussion with Management concerns
Attachments: Lack of Trust and Confidence AND Your Relationship with Michelle Sullivan; RE: Exposure Report; RE: Minutes and Documents for Extended Team Meeting; RE: Monthly CRG Governance Meeting; Re: Not Feeling Well; Re: Sick; RE: Tasks; RE: WFH; Re: WFH; Reporting Analyst Workload

John,

I opened a case for you under the name Fidelia Shillingford (O024978). She is the manager that Candice Liu feels treats her as "The Help" and is racially discriminating. There is a history with Candice filing complaints against a previous manager as well. Nancy Sebastian investigated that case.

I have emails (many) from Candice that I can forward. Please let me know how I can be of assistance.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com
Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

Obvious from Terri Vernon's email, my complaint of Employment Racial Discrimination was dead on arrival. CL

From: Vernon, Terri
Sent: Monday, June 01, 2015 11:00 AM
To: Vega, John R.; Padilla, Linda
Cc: Martins, Jack N
Subject: FW: Discussion with Management concerns

John,

I am forwarding this email to you for you to review. The HRBP asked that I reach out to the employee and schedule a meeting, which I did for tomorrow (Tuesday). I then received this email back from the employee stating that she feels she is a "victim of racial discrimination."

There is a history with this employee. Nancy Sebastian (HRAD) investigated another complaint regarding this employee and a previous manager when the employee was with CIB (2014).

Given this new allegation of racial discrimination, please let me know how you would like to proceed and how I can assist.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com
Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Lue, Candice
Sent: Friday, May 29, 2015 5:51 AM
To: Vernon, Terri
Subject: RE: Discussion with Management concerns

Hi Terri,

I have attached a series of emails for your review. Can you please read through the trails in preparation for the meeting on Tuesday?

Also, please be advised that I consider myself to be a victim of racial discrimination.

Looking forward to speaking with you.

From:
To: Dubowy, Helen; Vega, John R.
Sent:
Subject: RE: update

My 2015 mid-year performance review was totally pretextual and retaliatory. Even the alleged perpetrators themselves knew it.

CL

Either way, she will think it's retaliatory. I also think there are pro / cons with the business delivering the mid year and then John speaking with her

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Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Dubowy, Helen
Sent: Thursday, June 18, 2015 4:42 AM
To: Vega, John R.; Vernon, Terri
Subject: RE: update

Terri – do you agree? Should I advise Alex and Fidelia to complete the review in the next 2 days before Alex leaves? Any concern with the perception of retaliation?

From: Vega, John R.
Sent: Thursday, June 18, 2015 7:39 AM
To: Dubowy, Helen; Vernon, Terri
Subject: RE: update
Importance: High

My opposition to the Employment Racially Discriminatory tasks that were solely assigned to me, the only Black analyst in the Counterparty Risk Group, per John Vega's email, "is causing the issue here!" CL

At this stage yes. I would prefer that she do it, but the employee will clearly say it's retaliatory, which we all know is not the case.

This employee's failure to do her job, or her unwillingness to do, is causing the issue here. She is the catalyst.

From: Dubowy, Helen
Sent: Thursday, June 18, 2015 7:37 AM
To: Vega, John R.; Vernon, Terri
Subject: RE: update

Thanks John. Should I assume that Alex should not deliver the midyear review until the investigation is complete?

From: Vega, John R.
Sent: Thursday, June 18, 2015 7:34 AM
To: Dubowy, Helen; Vernon, Terri
Subject: RE: update

Hi there:

More investigation is needed. I also see that Candice reached out to Terri yesterday and I will be reaching out to her today. Candice will be on vacation starting later today so it's not likely that I will speak with her prior to the start of her vacation. I shared that with Alex and Fidelia. I have spoken with Alex, Fidelia and Kim Dawber and will likely speak with one or two people before I speak with Candice.

Stay tuned.

From: Dubowy, Helen
Sent: Thursday, June 18, 2015 6:57 AM
To: Vega, John R.; Vernon, Terri
Subject: RE: update

John – sorry I missed your call yesterday. It was hard to hear your message, so not sure I have a good update. Let's try and connect today. Or may be easier to send an email since I am in meetings most of the morning. I am anxious to understand if there is an outcome or more investigation needs to happen. Thank you.

From: Vega, John R.
Sent: Tuesday, June 16, 2015 12:27 PM
To: Vernon, Terri; Dubowy, Helen
Subject: update
Importance: High

Hi there:

Just wanted to let you know that I spoke with Alex today on the Lue matter and have a discussion scheduled with Fidelia tomorrow at 3:30. Afterwards, I will speak with Candice.

My meeting with her will be very impromptu, on purpose. Given what I hear, I will then schedule more time.

I'll keep you both posted.

Thx,
John

Impromptu, on purpose.
Defendant Vega was not
conducting an investigation,
he was conducting a
setup
CL

From: Vernon, Terri
To: Shillingford, Fidelia X; Dubowy, Helen
CC: Khavin, Alex G
Sent: 7/8/2015 6:10:33 PM
Subject: RE: PIP template

Hi,
Corp ER is meeting with her now. Please stay tuned for further direction.

Terri Vernon
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Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Shillingford, Fidelia X
Sent: Monday, July 06, 2015 2:27 PM
To: Dubowy, Helen; Vernon, Terri
Cc: Khavin, Alex G
Subject: RE: PIP template

Thanks Helen

Terri, Helen

Alex is OOO and I am planning to deliver mid-year feedback to Candice once the investigation has been completed (expected to be completed this week). Please find attached a summary of mid-year feedback for your review. This will be delivered by me with Kimberly Dauber present.

Based on the feedback and performance for mid-year, I am strongly considering placing Candice on a PIP. Terri, can you please review the PIP and let me know your thoughts. I intend to deliver the PIP separately, after the mid-year feedback.

Regards
Fidelia

From: Dubowy, Helen
Sent: Monday, July 06, 2015 10:01 AM
To: Shillingford, Fidelia X
Subject: PIP template

As discussed. Thanks.

The performance improvement plan
'PIP' concoction-telling the "ploy"-
Defendant Helen Dubowy (Am.
Compl. #62) and the two alleged
Perpetrators, Defendants, Alex
Khavin and Fidelia Shillingford
to "stay tuned for further
direction"- "Corp ER is meeting
with her [Plaintiff, Candice
Lue] now".
Note: I was meeting with

Defendant John Vega on
July 8, 2015 but Helen Dubowy
had already sent the PIP
template from July 6, 2015.
CL

My mid-year performance review and my claim
of Employment Racial Discrimination are two
separate and independent matters which
legally should have NO BEARING on each
other.

That is why the performance improvement
plan on which I was placed is not only
fallacious, pretextual and retaliatory but
it is an obstruction of justice.
CL

From: Dubowy, Helen
To: Vega, John R.
CC: Vernon, Terri (terri.vernon@jpmchase.com)
Sent: 7/21/2015 11:34:00 AM
Subject: RE: Lue

John – I totally agree. I sent a note to Terri with something similar yesterday. I would like to be able to take action asap on this. It's not fair to the management team to continue with the way it is.

From: Vega, John R.
Sent: Tuesday, July 21, 2015 6:17 AM
To: Dubowy, Helen
Subject: Lue

Hi there:

I am of the opinion that what this employee is doing is bordering on insubordination and she is on the cusp of a WW. Do you agree?

Taking a stance against disparate treatment
on the basis of my race is not insubordination
and neither was it insubordination when
Rosa Parks refused to move to the back
of the bus.
CL

From: Shillingford, Fidelia X
To: Vernon, Terri; Dubowy, Helen
CC: Khavin, Alex G; Vega, John R.
Sent: 7/17/2015 3:06:28 PM
Subject: RE: PIP template

Ok, thanks.
I will await further guidance from you.

Pleasant weekend to all!

Regards
Fidelia

From: Vernon, Terri
Sent: Friday, July 17, 2015 10:05 AM
To: Shillingford, Fidelia X; Dubowy, Helen
Cc: Khavin, Alex G; Vega, John R.
Subject: RE: PIP template

Much like the PIP, I would hold off on providing any feedback at this time.

Terri Vernon
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Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Shillingford, Fidelia X
Sent: Friday, July 17, 2015 7:03 AM
To: Vernon, Terri; Dubowy, Helen
Cc: Khavin, Alex G
Subject: RE: PIP template

No, when last I spoke with him he noted that she brought up other issues which he has to investigate.
Can I proceed with the mid-year feedback?

Regards
Fidelia

From: Vernon, Terri
Sent: Friday, July 17, 2015 10:01 AM
To: Shillingford, Fidelia X; Dubowy, Helen
Cc: Khavin, Alex G
Subject: RE: PIP template

Fidelia,
My apologies, I thought John had reached out to you.
Please hold off at this time with the PIP until further notice.

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PIP- Performance
Improvement Plan -

Pre-planned, pre-arranged
and premeditated.

CL

From: Shillingford, Fidelia X
Sent: Friday, July 17, 2015 6:00 AM
To: Vernon, Terri; Dubowy, Helen
Cc: Khavin, Alex G
Subject: RE: PIP template
Importance: High

Hi Terri

Were you able to get in contact with John? Can you please advise how to proceed?
I believe we should at least provide mid-year feedback to Candice and we can proceed with the PIP after the investigations have been completed.

Can you please give me a call to discuss?

Thank in advance

Regards
Fidelia

From: Vernon, Terri
Sent: Wednesday, July 08, 2015 1:11 PM
To: Shillingford, Fidelia X; Dubowy, Helen
Cc: Khavin, Alex G
Subject: RE: PIP template

My mid-year performance review and my claim of Employment Racial Discrimination are two separate and independent matters which legally should have NO BEARING on each other. That is why the performance improvement plan on which I was placed is not only fallacious, pretextual and retaliatory but it is an obstruction of justice. CL

Hi,
Corp ER is meeting with her now. Please stay tuned for further direction.

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Vice President, Human Resources Advice Direct
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Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Shillingford, Fidelia X
Sent: Monday, July 06, 2015 2:27 PM
To: Dubowy, Helen; Vernon, Terri
Cc: Khavin, Alex G
Subject: RE: PIP template

Thanks Helen

Terri, Helen
Alex is OOO and I am planning to deliver mid-year feedback to Candice once the investigation has been completed (expected to be completed this week). Please find attached a summary of mid-year feedback for your review. This will be delivered by me with Kimberly Dauber present.
Based on the feedback and performance for mid-year, I am strongly considering placing Candice on a PIP. Terri, can you please review the PIP and let me know your thoughts. I intend to deliver the PIP separately, after the mid-year feedback.

Regards
Fidelia

From: Dubowy, Helen
Sent: Monday, July 06, 2015 10:01 AM
To: Shillingford, Fidelia X
Subject: PIP template

As discussed. Thanks.

From:
To: Vega, John R.; Vernon, Terri
Sent:
Subject: RE: Candice

As articulated in
"Conclusion" in my
Affidavit in Opposition/
Response to Declaration
of Helen Dubowy. CL

Yes!

From: Vega, John R.
Sent: Thursday, July 30, 2015 9:31 AM
To: Dubowy, Helen; Vernon, Terri
Subject: RE: Candice

Yes, Linda is aware of everything.

So that we are clear: Midyear and the PIP will be presented. In the event there are issues moving forward, we will go down the route of corrective action, etc.... Correct?

From: Dubowy, Helen
Sent: Thursday, July 30, 2015 9:25 AM
To: Vega, John R.; Vernon, Terri
Subject: Re: Candice

Thanks. Did you notify Linda also that this was the outcome? I will meet with Fidelia today and deliver Candice's review. Thanks.

From: Vega, John R.
Sent: Thursday, July 30, 2015 09:17 AM
To: Vernon, Terri; Dubowy, Helen
Subject: Candice

Hi there:

I shared my investigation results with Candice. Specifically:

1. Told her that I found no evidence of any discrimination as she is alleging and that anyone, regardless of race, who is doing her job needs to do the job, completely. I told her that her reticence or outright refusal amounts to being insubordinate and that she is derailing her own career.
2. Told her that I have spoken with Fidelia and Alex and that there is a perception that from her peers that she comes across as a bit rude, and not a team player and unapproachable and intractable. She asked for examples and I am sure that can be provided when Fidelia has the discussion with Candice for the midyear.
3. Told her there was no bait and switch when it came to who was the manager. The postings remained the same and the job never changed.
4. Told her that she needs to stop thinking that Michelle Sullivan has any continuing impact on her employment. She made a fuss about an email that Fidelia sent out to Michelle to see how many sick days Candice had taken in 2014. I told her that Fidelia did a good thing to ensure Candice would have everything she was entitled to.

If you have any questions before the midyear review is administered, let's have a quick call.

Thx
John

From: Vega, John R.
To: Vernon, Terri
Sent: 7/28/2015 7:10:50 PM
Subject: RE: Meeting follow up

Read it and I am fine with it. Please feel free to send it to Helen and Fidelia.

From: Vernon, Terri
Sent: Tuesday, July 28, 2015 2:09 PM
To: Vega, John R.
Subject: RE: Meeting follow up

I made some edits. Can you look at the part regarding her attitude, etc.?

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@ipmchase.com
Direct: Terri.Vernon@ipmchase.com / (949) 651-6035

From: Vega, John R.
Sent: Tuesday, July 28, 2015 10:12 AM
To: Dubowy, Helen; Vernon, Terri
Subject: FW: Meeting follow up

FYI....

From: Shillingford, Fidelia X
Sent: Friday, July 24, 2015 12:29 PM
To: Vega, John R.
Subject: Meeting follow up

Follow ups from our meeting

Please find attached:

1. Who was response for taking minutes notes after Baruch left and before Candice's arrival?
The responsibility was not officially re-assigned until Candice arrival. The practice was that Alex would ask for a volunteer or randomly pick someone.
2. My correspondence with Michelle Sullivan?
She attached email, Sick Days. It was confirmed that she had 6 sick days to carry over in 2015.
3. Confirm how her increase in salary was established? Did she negotiate the increase?
I spoke with Kim and she is not aware of any negotiations neither am I.
4. Provide midyear feedback and PIP
See attached Candice Mid Year Review 2015 Feedback and PIP July
5. Confirm how long it took Zeeshan to compile the materials for the Governance meeting.
Less than 1 hour

I will await your invite for follow up discussions with HR next week.

Regards
Fidelia

I have never met Terri Vernon. I honestly did not know that Vernon had played such a big part in my retaliatory mid-year performance review and termination until I received these emails from the Defendants' attorneys' office. When I spoke with Terri via telephone, she pretended to be neutral. That is why she was not initially named as a Defendant.

CL

From: Shillingford, Fidelia X
To: Dubowy, Helen
CC: Vernon, Terri
Sent: 7/30/2015 3:51:35 PM
Subject: RE: Tomorrow
Attachments: C Liu PIP July 2015 v2.doc

Again, Terri Vernon whom I had never met and who pretended to be "neutral" when I spoke to her on the phone "Reviewed and edited a/c's follows" and Defendant Helen Dubowy whom I have never even had an email exchange with is now asked to do the same.

CL

Terri reviewed and edited ad follows:

Candice joined the (name of team) team as a reporting analyst on (date) Her main responsibilities include:

- 1) Performing on-going monitoring and periodic reviews of the creditworthiness of approved counterparties
- 2) Working with large volumes of data to conduct adhoc analyses on counterparties and exposure needed
- 3) Updating and distributing daily Counterparty reports
- 4) Contributing to team-wide efforts such as risk assessment methodology enhancements, portfolio wide reviews and preparing management presentations.

Although Candice has been with the team for over 8 months, she has not taken on all tasks assigned to her and she is unable to deliver in the anticipated timeframe without errors. This is putting additional stress on the team as other team members are performing duties assigned to her. Additionally, per feedback from team members, Candice is not "approachable," "inflexible" and "not open to feedback, defensive."

However, I noted I am hesitant to include any responsibilities pertaining to credit given that she was not hired for credit but for reporting and this was clearly communicated and established during the interview and hiring process. As such, I recommend the following in regards to responsibilities:

Candice joined the (name of team) team as a reporting analyst on (date) Her main responsibilities include:

- 1) Help monitor, report and manage counterparty exposures
- 2) Help maintain credit administration systems and records
- 3) Updating and distributing daily Counterparty reports
- 4) Assist other team members with assignments, cover for associates as needed.

Although Candice has been with the team for over 8 months, she has not taken on all tasks assigned to her and she is unable to deliver in the anticipated timeframe without errors. This is putting additional stress on the team as other team members are performing duties assigned to her. Additionally, per feedback from team members, Candice is not "approachable," "inflexible" and "not open to feedback, defensive."

Please review and advise accordingly.

Regards
Fidelia

From: Dubowy, Helen
Sent: Thursday, July 30, 2015 10:04 AM
To: Shillingford, Fidelia X
Cc: Vernon, Terri
Subject: RE: Tomorrow

Did Terri see your final PIP and comments? If not, please send to her she can give the final sign off /

From: Shillingford, Fidelia X
Sent: Thursday, July 30, 2015 10:00 AM
To: Dubowy, Helen
Subject: RE: Tomorrow

Ok, let me book a room on 9th floor (will let you know shortly)
I will send Candice and invite for 12noon.

From: Dubowy, Helen
To: Vega, John R.; Vernon, Terri
Sent: 7/23/2015 12:04:08 PM
Subject: Re: Chronology of Events of Racial Discrimination

Thank you.

I was maligned by JPMC HR
Representatives for reporting
to JPMC HR that I was being
racially discriminated against.
CZ

From: Vega, John R.
Sent: Thursday, July 23, 2015 06:54 AM
To: Dubowy, Helen; Vernon, Terri
Subject: RE: Chronology of Events of Racial Discrimination

We already have a meeting scheduled for 5pm today which you and Terri have accepted on Tuesday.

I agree, this has gone on too long with respect to how this employee acts. And I am going to tell her that she is getting in the way of her own career. I've already discussed this with Linda yesterday.

From: Dubowy, Helen
Sent: Thursday, July 23, 2015 6:51 AM
To: Vega, John R.; Vernon, Terri
Subject: Re: Chronology of Events of Racial Discrimination

As per what I wrote in my "Conclusion" of
my Affidavit in Opposition/Response to
Declaration of Helen Dubowy. CZ

John - thank you for addressing this. We need to bring this to a close asap. This has been going on for too long and all Terri and I have been able to tell the mgmt is to hold. I am happy to meet later today. Will you schedule time? I will adjust my calendar. Thank you.

From: Vega, John R.
Sent: Thursday, July 23, 2015 06:46 AM
To: Vernon, Terri; Dubowy, Helen
Subject: FW: Chronology of Events of Racial Discrimination

Hi there:

This is the first of three emails that I will be forwarding to you which I received from Candice this week and their respective attachments. The next two will follow shortly.

Let's discuss later today.

Thx
John

From: Lue, Candice
Sent: Tuesday, July 21, 2015 5:46 AM
To: Vega, John R.
Subject: Chronology of Events of Racial Discrimination

Hello John,

As requested, please see below chronology of events relating to the racial discrimination issue raised and discussed.

November 26, 2014

In my first Governance Meeting, as customary, Alex asked, "who wants to take the minutes this time?" then immediately volunteered me to take it.

December 22, 2014

In my second Governance Meeting, Alex did not ask as customary, "who wants to take the minutes this time?" but instead in the

early stages of the meeting looked at me and said "that's a follow up" as if it is my and my alone duty to take the minutes which is contrary to what I was told and what I made sure to confirm in my interview as I was not interested in an analyst/administrative assistant position.

Then in this said meeting, in front of everyone, Alex humiliatingly assigned me the task of printing everyone's presentation materials going forward, an assignment that was never given to an analyst or associate before, an assignment that has no bearing whatsoever on my own required presentation and an assignment that is not even a required task for the administrative assistant on staff to do.

January 2015

In the week of January's Governance Meeting, I started feeling uncomfortable and getting anxiety attacks as I kept thinking, "I hope she doesn't address me as if I am the help in the next Governance meeting. I hope she doesn't address me as if I am the help in the next Governance meeting."

January 20, 2015 (day before Governance Meeting)

Alex sent me an email asking me if I'm collecting and printing out everyone's presentation materials for the Governance Meeting as she had requested. No other analyst or associate was ever sent such an email.

January 21, 2015

I lugged everyone's presentation materials that I had printed, collated and stapled to the meeting.

Then just like in the previous month's Governance meeting, instead of what was customary during the previous two years before me joining the group (Alex asking "who wants to take the minutes this time?"), she just looked at me and asked "are you taking notes?" (the minutes). This was a task that for two years prior was rotated so that it would not seem to be the task of any one analyst or associate.

After this meeting, the disparate treatment became so obvious to me that I became overwhelmed with stress and anxiety which resulted in me developing nausea and exhaustion.

January 22, 2015 and January 23, 2015

The nausea and exhaustion became worse and were compounded with headaches and pain in my trapezius muscle. I had to take these two days off as sick days.

January 26, 2015

Due to protocol whereby I am not allowed to go directly to Alex, I initiated a meeting with Fidelia in which I raised the issue of Alex demeaning me in front of the team by treating me as if I am "the help".

January 30, 2015

In a one on one meeting with Fidelia, since she did not get back to me in regards to the issue I raised in our 1/26/15 meeting, I raised the issue again. According to her, she has to go and confirm with Alex if [the taking minutes, printing, etc.] was my job, meaning that up till then she had not conveyed my concern to Alex.

February 4, 2015

Fidelia sent an email to the credit analysts/associates' supervisor saying that Alex is okay with the continuation of rotating the responsibility of document collection and minutes taking for our Monthly Governance Meeting and asking that she assign two of her analysts to the rotation. Bearing in mind that document collection was never a part of the rotation.

February Governance Meeting

I was away at a mandatory two week Asset Management Training Program and one of the assigned analysts took the minutes. However, he nor anyone else was asked/told to collect and print out everyone's presentation materials for the meeting as if, the "help" is out so you have to print, collate and staple your own presentation materials for yourself.

March Governance Meeting

I stood my ground that I am not "the help" meaning that I did not send out an email to the team telling them to send their presentation materials for me to print etc, so everyone printed, collated, stapled and lugged their own presentation materials to the meeting. Also, per the newly re-installed rotation, one of the other assigned analysts took the minutes.

April 23, 2015

Even though I did not take the minutes for March's Governance Meeting and whoever takes the minutes for the prior month's meeting would have been responsible for sending them out to the team before the current month's meeting, Alex sent me an email the morning of April's Governance Meeting asking me for the minutes. Again, as if taking the minutes is my and my alone job.

During April's Governance Meeting, a team member asked about a presentation material that had absolutely nothing to do with my presentation/reporting tasks and instead of addressing the individuals responsible, Alex immediately asked, "Did Candice send that out last night?" Again, as if I am the team's help.

Soon after, she directed the team that to make things easier for everyone, instead of everyone going through their emails searching for presentation materials sent to the team, going forward, all presentation materials should be sent to me and I should do the searching then open each email sent, pull the attachments, put all the attachments together in one email then send this email to the team. So it is hard enough for everyone to search through their emails for the sent documents but for me, I must not only search through my emails for them, I must open each email sent, pull the attachments and put all those attachments together in one email to make it easier for everyone else. So what will become easier for everyone else would become three times harder for me.

At that point, I became so frustrated, I just sighed and quietly walked out of the meeting. I returned 20 minutes later.

After the Governance Meeting, I requested a meeting with Fidelia to again raise the issue of me being treated as if I am the team's help by Alex.

April 24, 2015

I sent the attached email to Fidelia.

Later that day, I had a meeting with Alex initiated by her as she wanted to know why I walked out of the Governance Meeting the previous day. I proceeded to tell her that with all due respect, I feel as if I am being demeaned by her. I feel as if she has been treating me as if I am the "help". Her response was condescending, unapologetic and unrepentant.

May 27, 2015

Based on Alex's directive at April's Governance Meeting, I received the first presentation material.

Knowing in my heart that this is not right and that I am being treated as if I am the team's help, I sent out the second attached email. Also see Alex's response in the said attachment.

Later that day, I got a meeting invite for 6/2/15 from Terri Vernon in HR to "discuss concerns regarding my manager and job responsibilities."

June Governance Meeting

I was on vacation when this Governance Meeting took place so as usual, in my absence, no other analyst or associate was asked/told to do the printing, etc. of everyone's presentation materials. As again, this will never be their job, just mine. However, my manager, a vice president, the only other Black employee on the team had to take on the role (see her email trail attached). As per the said email, she did enlist the help of the intern who like most other interns is prepared to assist with these types of tasks when needed as they are aware that it comes with the territory. But again, no other analyst or associate was asked/told to do this lower level task.

July 20, 2015

In a one on one meeting with Fidelia, for the first time, she took ownership of assigning the task to me in addition to reiterating what Alex contends that the printing of everyone's presentation materials is my job and she expects me to collect everyone's material and do the printing, etc, for the July Governance Meeting on July 23. After the meeting, she followed up via the email attached and suggested that I enlist the help of the intern as she had done for last month's meeting.

My question for her is this, where was she during the two years prior to me joining the team to assign this demeaning, lower level task that has nothing to do with Reporting or the Reporting related presentation for the Governance Meeting to my three non-Black predecessors? She was not even given the opportunity to be their manager much less the opportunity to dish out this demeaning, lower level task to them. This is one of the reasons why I have said under separate covers that I have a lack of trust and confidence in her as I consider her to be the enabler, the facilitator and the coordinator of the second class treatment that has been meted out to me. And, because she is Black like I am does not make this treatment right. Frankly, I think it makes it even more wrong.

In closing, please be advised that there were other instances of disparate treatment and verbal meetings with Fidelia that are not included in this chronological list as either they are second class treatment of a different nature or I do not remember the dates. Also, it was not until 1/21/15 (the day of January's Governance Meeting) that I felt in good faith that I am being racially discriminated against.

Best regards,
Candice

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

From: Dubowy, Helen
To: Vernon, Terri
Sent: 7/20/2015 11:40:40 PM
Subject: Fw: PIP template
Attachments: [Untitled].pdf

We have to figure out what to do here. This kind of behavior is not appropriate. Anyway to get John to expedite the rest of the investigation?

From: Shillingford, Fidelia X
Sent: Monday, July 20, 2015 05:56 PM
To: Vernon, Terri; Dubowy, Helen
Cc: Khavin, Alex G; Vega, John R.; Shillingford, Fidelia X
Subject: RE: PIP template

Helen et al

I wanted to update you on a recent conversation with Candice during our scheduled one-on-one (meeting to discuss workload for the last two weeks, upcoming two weeks and any other tasks/issues).

I asked Candice to include in her tasks for the upcoming two weeks, the responsibility for prepping documents and taking notes for the Governance meeting. She has refused.

Candice also stated and I quote, "last week, you bullied me" in regards to "when will I have the exposure report completed." I explained to Candice that this role has deadlines and me asking her for the report is BAU – I am trying to manage management deadlines.

Regards
Fidelia

From: Vernon, Terri
Sent: Friday, July 17, 2015 10:05 AM
To: Shillingford, Fidelia X; Dubowy, Helen
Cc: Khavin, Alex G; Vega, John R.
Subject: RE: PIP template

Deadlines for Shillingford were based on HER convenience as the second reviewer of my reports, not the CRG's deadline. Because Shillingford "had" Dubowy, Vega, etc. as the "wind beneath her wings", she bullied and went on. (Am Compl. #20). The "tasks that Shillingford" asked "me" to do are tasks she had never asked any of the non-Black analysts/ associates ~~one~~ even the white administrative assistant to do.

Much like the PIP, I would hold off on providing any feedback at this time.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com
Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Shillingford, Fidelia X
Sent: Friday, July 17, 2015 7:03 AM
To: Vernon, Terri; Dubowy, Helen
Cc: Khavin, Alex G
Subject: RE: PIP template

No, when last I spoke with him he noted that she brought up other issues which he has to investigate. Can I proceed with the mid-year feedback?

Regards
Fidelia

From: Vernon, Terri
Sent: Friday, July 17, 2015 10:01 AM
To: Shillingford, Fidelia X; Dubowy, Helen

Cc: Khavin, Alex G
Subject: RE: PIP template

Fidelia,
My apologies, I thought John had reached out to you.
Please hold off at this time with the PIP until further notice.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com
Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Shillingford, Fidelia X
Sent: Friday, July 17, 2015 6:00 AM
To: Vernon, Terri; Dubowy, Helen
Cc: Khavin, Alex G
Subject: RE: PIP template
Importance: High

Hi Terri

Were you able to get in contact with John? Can you please advise how to proceed?
I believe we should at least provide mid-year feedback to Candice and we can proceed with the PIP after the investigations have been completed.

Can you please give me a call to discuss?

Thank in advance

Regards
Fidelia

From: Vernon, Terri
Sent: Wednesday, July 08, 2015 1:11 PM
To: Shillingford, Fidelia X; Dubowy, Helen
Cc: Khavin, Alex G
Subject: RE: PIP template

Hi,
Corp ER is meeting with her now. Please stay tuned for further direction.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com
Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Shillingford, Fidelia X
Sent: Monday, July 06, 2015 2:27 PM
To: Dubowy, Helen; Vernon, Terri
Cc: Khavin, Alex G
Subject: RE: PIP template

Thanks Helen

Terri, Helen
Alex is OOO and I am planning to deliver mid-year feedback to Candice once the investigation has been completed (expected to be completed this week). Please find attached a summary of mid-year feedback for your review. This will be delivered by me with Kimberly Dauber present.

Based on the feedback and performance for mid-year, I am strongly considering placing Candice on a PIP. Terri, can you please review the PIP and let me know your thoughts. I intend to deliver the PIP separately, after the mid-year feedback.

Regards
Fidelia

From: Dubowy, Helen
Sent: Monday, July 06, 2015 10:01 AM
To: Shillingford, Fidelia X
Subject: PIP template

As discussed. Thanks.

Defendant Helen Dubowy
Sending the Performance
improvement plan (PIP)
template to my servile
manager, Defendant Fidelia
Shillingford with the
message "As discussed".
With all due respect, enough
said.
CL

From: Vernon, Terri
To: Dubowy, Helen; Shillingford, Fidelia X
Sent: 7/29/2015 3:44:08 PM
Subject: RE: Tomorrow
Attachments: C Liu PIP July 2015.doc

JPMC's HR Representatives
Whom I have never met/worked
with REVIEWING/MAKING EDITS/
APPROVING EDITS of the
retaliatory, pretextual and
fallacious performance
improvement plan (PIP) I
was placed on. (Exhibit C).
CL

Helen,
I made some edits to the PIP. John has reviewed and approved the edits.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Dubowy, Helen
Sent: Wednesday, July 29, 2015 7:33 AM
To: Shillingford, Fidelia X
Cc: Vernon, Terri
Subject: RE: Tomorrow

Ok, thanks. I will get back to you to confirm later today or tomorrow morning.

From: Shillingford, Fidelia X
Sent: Wednesday, July 29, 2015 9:10 AM
To: Dubowy, Helen
Subject: Tomorrow

Hi

I am free between 11:30-1:30 tomorrow, so any time period between would work for me.
Will you be coming down to the 9th floor? I could reserve Alex's office.

Regards
Fidelia

From: Dubowy, Helen
To: Shillingford, Fidelia X
CC: Vernon, Terri
Sent: 7/30/2015 7:27:25 PM
Subject: RE: Follow up

Prior to Defendant Helen Dubowy attending my 2015 mid-year performance review, I had never even as much as had an email correspondence with her yet she is making "changes" on the performance improvement plan on which I was placed on July 30, 2015. Further proof that this said PIP was fallacious, Pretextual and retaliatory (Second Cause of Action- Am. Compl.)

See my small changes below on the summary performance review. (I would change the PIP to reflect the same wording). I would add to the PIP form the date of the mid-year and put final review as Sept 30th. You don't need to mention the 60 days since you'll have Sept 30th as the final review date. When you meet with her you can talk about the 60 day time frame for improvement. CL

I would suggest when sending her the PDF PIP you can say:

Attached is the Performance Improvement Plan we discussed. We will meet on a regular basis to discuss your progress on these areas.

Terri – can you please confirm you agree with the above before Fidelia proceeds. Thanks.

From: Shillingford, Fidelia X
Sent: Thursday, July 30, 2015 1:58 PM
To: Dubowy, Helen
Cc: Vernon, Terri
Subject: Follow up

Hi Helen

As discussed, please see below summary comments which I will add to Candice's PMC. Also, we did not communicate to Candice the duration of the PIP. Should I highlight this to her when I email her the soft copy? We agreed it would be a two months PIP after which are overall performance would be re-evaluated.

During our mid-year dialogue, I discussed with Candice her strengths and areas of improvement. The following strengths were highlighted: (i) Candice is adept at following procedures (ii) She proactively follows up on key issues and (iii) Candice is diligent at identifying course work to extend her knowledge. The areas of improvement which were discussed included (i) The need for Candice to perform job responsibilities asked: (ii) Take full responsibility for the tasks assigned, particularly the exposure report and (iii) Candice needs to improve her communication specifically in regards to tone and aggressiveness (attitude/professionalism).

Candice will need to address her development areas in order for her to meet expectations by year end. Candice has been placed on a PIP to address her areas of improvement. We will be meeting regularly to discuss her progress.

Regards
Fidelia

Why would my manager need someone from HR to tell her what to put as the "Summary comments on my performance review?"

CL

From: Vernon, Terri
To: Dubowy, Helen; Shillingford, Fidelia X
Sent: 7/30/2015 7:58:15 PM
Subject: RE: Follow up

I am fine with the wording per your suggestion.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Dubowy, Helen
Sent: Thursday, July 30, 2015 11:27 AM
To: Shillingford, Fidelia X
Cc: Vernon, Terri
Subject: RE: Follow up

See my small changes below on the summary performance review. (I would change the PIP to reflect the same wording). I would add to the PIP form the date of the mid-year and put final review as Sept 30th. You don't need to mention the 60 days since you'll have Sept 30th as the final review date. When you meet with her you can talk about the 60 day time frame for improvement.

I would suggest when sending her the PDF PIP you can say:

Attached is the Performance Improvement Plan we discussed. We will meet on a regular basis to discuss your progress on these areas.

Terri – can you please confirm you agree with the above before Fidelia proceeds. Thanks.

From: Shillingford, Fidelia X
Sent: Thursday, July 30, 2015 1:58 PM
To: Dubowy, Helen
Cc: Vernon, Terri
Subject: Follow up

Hi Helen

As discussed, please see below summary comments which I will add to Candice's PMC. Also, we did not communicate to Candice the duration of the PIP. Should I highlight this to her when I email her the soft copy? We agreed it would be a two months PIP after which her overall performance would be re-evaluated.

During our mid-year dialogue, I discussed with Candice her strengths and areas of improvement. The following strengths were highlighted: (i) Candice is adept at following procedures (ii) She proactively follows up on key issues and (iii) Candice is diligent at identifying course work to extend her knowledge. The areas of improvement which were discussed included (i) The need for Candice to perform job responsibilities asked; (ii) Take full responsibility for the tasks assigned, particularly the exposure report and (iii) Candice needs to improve her communication specifically in regards to tone and aggressiveness (~~attitude~~/professionalism).

Candice will need to address her development areas in order for her to meet expectations by year end. Candice has been placed on a PIP to address her areas of improvement. We will be meeting regularly to discuss her progress.

Regards
Fidelia

From: Shillingford, Fidelia X
To: Dubowy, Helen
CC: Vernon, Terri; Poz, Thomas I
Sent: 8/27/2015 3:48:26 PM
Subject: RE: Monthly CRG Governance Meeting

Retaliating against an
employee for opposing
Employment Racial
Discrimination is against
the law - EEOC Compliance
Manual Section 15 - Race
and Color Discrimination -
VII-C - Retaliation. CZ

Done - scheduled for 8/31 @ 1pm.

Thanks

Regards
Fidelia

From: Dubowy, Helen
Sent: Thursday, August 27, 2015 10:12 AM
To: Shillingford, Fidelia X
Cc: Vernon, Terri; Poz, Thomas I
Subject: Re: Monthly CRG Governance Meeting

Fidelia, I will let Terri advise on next steps. Why don't you schedule time on her calendar as soon as possible. Thank you.

From: Shillingford, Fidelia X
Sent: Thursday, August 27, 2015 10:04 AM
To: Dubowy, Helen
Cc: Vernon, Terri; Poz, Thomas I; Shillingford, Fidelia X
Subject: FW: Monthly CRG Governance Meeting

Hi Helen

Please see below.

Candice has once again refused to perform tasks requested (see yellow highlighted text).

What are the next steps here?

Regards

Fidelia

From: Shillingford, Fidelia X
Sent: Wednesday, August 26, 2015 4:25 PM
To: Poz, Thomas I
Subject: FW: Monthly CRG Governance Meeting

Hi

Please be advised that Candice has once again refused to perform this task.

I had a quick meeting with her on a separate topic but I mentioned to her that I have saved all my documents in the shared folder for the governance meeting and asked if she has reached out to the

other team members for their information.

peaceful defiance CZ
She gave me blank stare with no response; to which my response was, "We had a conversation during your mid-year review where I highlighted certain areas that needs to be improved. This is one of the areas – refusing to perform your duties. This is unacceptable."

She replied, "She has no further comments."

If tomorrow, she has not completed the required ask, I will inform HR and seek guidance on the next steps.

Regards

Fidelia

From: Shillingford, Fidelia X
Sent: Tuesday, August 25, 2015 11:18 AM
To: Lue, Candice
Cc: Poz, Thomas I
Subject: RE: Monthly CRG Governance Meeting

Hi

Defendant Fidelia Shillingford's email dated August 25, 2015 proves that the task of taking the Monthly Governance Meeting minutes was never exclusively assigned to any one of the non-Black analysts and/or associates. CZ

Can you pls remind all members to save their documents in the shared folder so that you can print for the meeting? Note that Asia does not have access to the shared folder so pls save Tim's info and print.

In regards to meeting notes; the responsibility will be divided up among all analysts with each taking turn every month. I will send a schedule in a separate email to all analysts.

Regards

Fidelia

-----Original Appointment-----

From: Kulda, Eileen **On Behalf Of** Khavin, Alex G
Sent: Tuesday, August 25, 2015 10:25 AM
To: Leung, Joyce L; Avetyan, Tatevik; Vroom, Ryan W; Shillingford, Fidelia X; Dauber, Kimberly S; Poz, Thomas I; Zambon, M Sol; Nguyen, Fiona N; Lue, Candice; Gorniak, Hubert; Dang Ngoc, Ali; Dorfman, Jon
Cc: Kishore, Gaurav; Cheung, Timothy KF; Ng, Kenneth T
Subject: Monthly CRG Governance Meeting
When: Thursday, August 27, 2015 8:30 AM-10:00 AM (UTC-05:00) Eastern Time (US & Canada).
Where: Conference room 9B or see below for dial in number

Agenda:

1. Prior Meeting Follow-ups
2. Dashboard & Broker Reconciliation
3. MIS and Credit Trends Discussion
4. Limits Monitoring
5. Counterparty Exposure Report
6. MMF and Liquidity Trigger Breaches and Key Themes

Eileen Kulda is the White administrative assistant who does not even as much as prints the agenda she sends out to the team. I, the Black one, was supposed to make 13 copies of it (one for each team member). CZ

7. Policies, Procedures and Practices Discussion

8. Any other Business

Audio conferencing details:

Name: Alexandra Khavin

International direct: +1 857 318 0900

US Toll free: 1 888 575 5762 (JPMC)

Chairperson passcode: 68517031 then #

Participant passcode: 15204032 then #

From: Shillingford, Fidelia X
Sent: 8/27/2015 3:48:04 PM
To: Vernon, Terri ; Dubowy, Helen ; Poz, Thomas I
Subject: Follow up
Show Time As: Free

Recurrence: (none)
Required Attendees: Vernon, Terri; Dubowy, Helen; Poz, Thomas I
Attachments: Re: Monthly CRG Governance Meeting

When: Monday, August 31, 2015 1:00 PM-1:30 PM (UTC-05:00) Eastern Time (US & Canada).
Where: Dial In: 1 888 575 5762/71491590#

Note: The GMT offset above does not reflect daylight saving time adjustments.

~~*~*~*~*~*~*~*



Re: Monthly CRG Governance Meeting

From: Knepper, Kathy
To: Dubowy, Helen
Sent: 12/10/2015 9:33:26 PM
Subject: RE: summary

This email shows that Defendant Helen Dubowy was not only instrumental in aiding and abetting the fallacious, pretextual and retaliatory performance improvement plan (PIP) that I was placed on on July 30, 2015 but she was VERY instrumental in my unlawful, retaliatory termination. Here Dubowy is seeking additional legal advice from Kathy Knepper of JPM C HR Legal for my said retaliatory termination.
CL

I think we talked about you discussing the term recommendation with the head of AM Risk.

Please keep me posted. Thanks. Kathy

From: Dubowy, Helen
Sent: Thursday, December 10, 2015 4:30 PM
To: Knepper, Kathy
Subject: RE: summary

I am just sending this to Nelli Childs (Head of HR for Firmwide risk). I want to get her support for term.

Unless you had a concern I likely would share it with the head of AM risk also (but would not go below that level).

Thank you for the updates. They look good.

Also proof that Defendant Skillingford's Statement #35 of her Declaration is untrue because as my manager, this information was not even shared with her. (Helen Dubowy's email time stamped 4:30PM).
CL

From: Knepper, Kathy
Sent: Thursday, December 10, 2015 4:27 PM
To: Dubowy, Helen
Subject: RE: summary

Who is this summary being sent to? Please see my corrections/comments in red below.

Note that although there is no 2014 performance rating in Profile, the 2014 performance review had a rating of "Low Meets Expectations" (see attached). My understanding is because the performance review was never finalized (Candice did not sign the review), the rating did not get uploaded into our systems. I think you can say she received a M- for performance year 2014.

From: Dubowy, Helen
Sent: Thursday, December 10, 2015 3:44 PM
To: Knepper, Kathy
Subject: summary

Anything you would add to this summary? Feel free to modify if I don't have it correct. Thanks.

DOH – 8/20/2012

Transferred from CIB to AM 11/16/2014

2012 YE rating – "Too New to Rate"

2013 YE rating – M

No rating entered for 2014 – interview notes state previous manager Michelle Sullivan said "trending towards a M-" (see my comments above)

2015 – Midyear M- (trending)

2015 – M-

PIP issued – July 30th, 2015

EXHIBIT CC-2

(The ultimate decision for my retaliatory termination or the recommendation of my said retaliatory termination by JPMorgan Chase was **not** made by Fidelia Shillingford)

From:
To: Vega, John R.; Vernon, Terri
Sent:
Subject: RE: Candice

The PIP was
totally pretextual.
CL

Yes!

From: Vega, John R.
Sent: Thursday, July 30, 2015 9:31 AM
To: Dubowy, Helen; Vernon, Terri
Subject: RE: Candice

Yes, Linda is aware of everything.

So that we are clear: Midyear and the PIP will be presented. In the event there are issues moving forward, we will go down the route of corrective action, etc.... Correct?

From: Dubowy, Helen
Sent: Thursday, July 30, 2015 9:25 AM
To: Vega, John R.; Vernon, Terri
Subject: Re: Candice

Thanks. Did you notify Linda also that this was the outcome? I will meet with Fidelia today and deliver Candice's review. Thanks.

From: Vega, John R.
Sent: Thursday, July 30, 2015 09:17 AM
To: Vernon, Terri; Dubowy, Helen
Subject: Candice

Hi there:

I shared my investigation results with Candice. Specifically:

1. Told her that I found no evidence of any discrimination as she is alleging and that anyone, regardless of race, who is doing her job needs to do the job, completely. I told her that her reticence or outright refusal amounts to being insubordinate and that she is derailing her own career.
2. Told her that I have spoken with Fidelia and Alex and that there is a perception that from her peers that she comes across as a bit rude, and not a team player and unapproachable and intractable. She asked for examples and I am sure that can be provided when Fidelia has the discussion with Candice for the midyear.
3. Told her there was no bait and switch when it came to who was the manager. The postings remained the same and the job never changed.
4. Told her that she needs to stop thinking that Michelle Sullivan has any continuing impact on her employment. She made a fuss about an email that Fidelia sent out to Michelle to see how many sick days Candice had taken in 2014. I told her that Fidelia did a good thing to ensure Candice would have everything she was entitled to.

If you have any questions before the midyear review is administered, let's have a quick call.

Thx
John

From: Vernon, Terri
Sent: 10/6/2015 6:45:33 PM
To: Vernon, Terri ; Knepper, Kathy ; Padilla, Linda ; Dubowy, Helen
Subject: Candice Lue
Location: (888) 575-5762 PC: 67948733#
Start: Fri 10/9/2015 9:00:00 PM
End: Fri 10/9/2015 10:00:00 PM
Show Time As: Tentative

Recurrence: (none)
Meeting Status: Not yet responded

Required Attendees: Knepper, Kathy; Padilla, Linda; Dubowy, Helen

All,
We might not need the full hour, but I was lucky to find it just in case!
This meeting is to discuss next steps with Candice Lue and pre-planning for a possible termination.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (714) 997-4377

From: Vernon, Terri
Sent: 10/7/2015 3:44:32 AM
To: Knepper, Kathy ; Padilla, Linda ; Dubowy, Helen
Subject: Candice Lue
Show Time As: Free

Recurrence: (none)
Required Attendees: Knepper, Kathy; Padilla, Linda; Dubowy, Helen

When: Friday, October 09, 2015 8:00 AM-8:30 AM (UTC-08:00) Pacific Time (US & Canada).
Where: (888) 575-5762 PC: 67948733#

Note: The GMT offset above does not reflect daylight saving time adjustments.

~~*~*~*~*~*~*~*

All,
Linda wasn't able to make the last appointment I scheduled. Hopefully this will be good for all.
This meeting is to discuss next steps with Candice Lue and pre-planning for a possible termination.

Terri Vernon
Vice President. Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com
Direct: Terri.Vernon@jpmchase.com / (714) 997-4377

Redacted

From: Padilla, Linda
Sent: Friday, October 23, 2015 8:37 AM
To: Vernon, Terri; Knepper, Kathy; Domow, Penny P
Cc: Dubowy, Helen
Subject: RE: Monthly Governance Meeting - Candice Lue case

I honk it's time to move forward.

Sent with Good (www.good.com)

-----Original Message-----

From: Vernon, Terri

Sent: Thursday, October 22, 2015 04:27 PM Eastern Standard Time

To: Knepper, Kathy; Domow, Penny P; Padilla, Linda

Cc: Dubowy, Helen

Subject: FW: Monthly Governance Meeting - Candice Lue case

Kathy, et all...

As Defendant Fidelia Shillingford confirmed, there was NO 'email reply' from me (001789).
CL

Please see the email from Fidelia regarding this month's Governance Meeting and Candice Lue's email reply to her manager (attached).

Again, she failed to follow the direction from her manager and they had to enlist the help from another analyst to have the materials ready for the meeting.

Please let us know if you feel this might be enough to move forward with a termination.

Terri Vernon

Vice President, Human Resources Advice Direct

(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (714) 997-4377

From: Shillingford, Fidelia X

Sent: Thursday, October 22, 2015 12:26 PM

To: Dubowy, Helen; Vernon, Terri

Cc: Poz, Thomas I

Subject: FW: Monthly Governance Meeting

All

I did not receive a response from Candice; however, pls note she did not perform the task assigned.

Candice emailed only her materials for the team meeting. We had to request the help of another analyst to coordinate the materials. This analyst printed all the materials, organized into a packet and brought copies to the meeting.

See also attached a response from Candice in regards to a responsibility which I recently assigned to her.

Please let me know where we now stand on this.

Thanks

Regards

Fidelia

From: Shillingford, Fidelia X
Sent: Wednesday, October 21, 2015 11:51 AM
To: Lue, Candice
Subject: Monthly Governance Meeting

Hi Candice

Friendly reminder that our Monthly Governance meeting is scheduled for tomorrow morning; please ensure all materials are ready to go. Liaise with the Officers and Analyst regarding their materials.

Thanks

Regards

Fidelia

From: Knepper, Kathy
To: Dubowy, Helen
Sent: 12/10/2015 9:33:26 PM
Subject: RE: summary

In this email trail, HR legal representatives NOT my manager, Shillingford are discussing my termination. As Helen Dubowy's email time stamped 4:30 PM shows, Shillingford was not even aware of this communication. Proof that my termination was a LEGAL decision made in JPMC's favor. CL

I think we talked about you discussing the term recommendation with the head of AM Risk.

Please keep me posted. Thanks. Kathy

From: Dubowy, Helen
Sent: Thursday, December 10, 2015 4:30 PM
To: Knepper, Kathy
Subject: RE: summary

I am just sending this to Nelli Childs (Head of HR for Firmwide risk). I want to get her support for term.

Unless you had a concern I likely would share it with the head of AM risk also (but would not go below that level).

Thank you for the updates. They look good.

From: Knepper, Kathy
Sent: Thursday, December 10, 2015 4:27 PM
To: Dubowy, Helen
Subject: RE: summary

Who is this summary being sent to? Please see my corrections/comments in red below.

Note that although there is no 2014 performance rating in Profile, the 2014 performance review had a rating of "Low Meets Expectations" (see attached). My understanding is because the performance review was never finalized (Candice did not sign the review), the rating did not get uploaded into our systems. I think you can say she received a M- for performance year 2014.

From: Dubowy, Helen
Sent: Thursday, December 10, 2015 3:44 PM
To: Knepper, Kathy
Subject: summary

Anything you would add to this summary? Feel free to modify if I don't have it correct. Thanks.

DOH – 8/20/2012
Transferred from CIB to AM 11/16/2014
2012 YE rating – "Too New to Rate"
2013 YE rating – M
No rating entered for 2014 – interview notes state previous manager Michelle Sullivan said "trending towards a M-"
(see my comments above)
2015 – Midyear M- (trending)
2015 – M-

PIP issued – July 30th, 2015

From: Vernon, Terri
To: Dubowy, Helen
Sent: 1/5/2016 7:30:55 PM
Subject: RFT - CL
Attachments: RFT - C. Lue.docx

Hi,
Can you read, review and/or revise?

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (714) 997-4377

JPMORGAN CHASE & CO.

RECOMMENDATION FOR TERMINATION

Prepared by: Terri Vernon (D215155) Employee Relations	Date: January 6 th , 2016
Recommendation for Termination of Employment of: Candice Lue (R089235)	
<p>Candice Lue was issued a PIP on July 30th, 2015 and a Written Warning on September 1st, 2015. The themes of both documents issued are a total refusal to perform assigned tasks as assigned by her manager as well as a poor attitude and lack of professionalism towards her direct manager. Despite numerous conversations that the employee has had with the aligned Employee Relations and management, Candice Lue still feels that work asked of her is beneath her or “administrative” and refuses to provide reporting information to monthly governance meetings when her turn or asked for by management.</p> <p>Because of this total disrespect of management and total refusal to perform the work asked of her, it is the recommendation to move forward with termination of employment.</p>	
[Click & type description of employee's actions or inactions, including any applicable date(s) that support the reason for recommendation.]	
[If applicable, click & type date and brief description of prior coaching/counseling or written warning. If not applicable, just click & delete]	
<p><i>(Note to manager: Attach any supporting documentation.)</i></p>	
HR Business Partner's or HR Support Team Member's Signature:	Date:

Copies to: HRBP or HR Support Team and Employee Records (DE3-2280) or
Employee.Records@Chase.com or efax to 302-220-4614

Revised 07/13

Cetoute, Lela

From: Poz, Thomas I
Sent: Wednesday, January 06, 2016 2:13 PM
To: Vernon, Terri; Shillingford, Fidelia X
Cc: Dubowy, Helen
Subject: RE: Information

Terri,

I approve. However, on line four there is an extra "she."

Tom

From: Vernon, Terri
Sent: Wednesday, January 06, 2016 1:56 PM
To: Shillingford, Fidelia X; Poz, Thomas I
Cc: Dubowy, Helen
Subject: Information

Fidelia,

Please review the Request for termination document. There is a section that we need you to complete marked by the XXXXX.

You can also print and hand out the "As you leave guide" and have for her when you communicate.

Please review the RFT form.

Helen, can you please sign?

Tom, can you please review the document and reply with your agreement?

Terri Vernon

Vice President, Human Resources Advice Direct

(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (714) 997-4377

From:
To: Vega, John R.
CC: Martins, Jack N; Sebastian, Nancy R
Sent:
Subject: FW: Discussion with Management concerns
Attachments: Lack of Trust and Confidence AND Your Relationship with Michelle Sullivan; RE: Exposure Report; RE: Minutes and Documents for Extended Team Meeting; RE: Monthly CRG Governance Meeting; Re: Not Feeling Well; Re: Sick; RE: Tasks; RE: WFH; Re: WFH; Reporting Analyst Workload

John,
I opened a case for you under the name Fidela Shillingford (0024978). She is the manager that Candice Liu feels treats her as "The Help" and is racially discriminating.
There is a history with Candice filing complaints against a previous manager as well. Nancy Sebastian investigated that case.

I have emails (many) from Candice that I can forward. Please let me know how I can be of assistance.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Vernon, Terri
Sent: Monday, June 01, 2015 11:00 AM
To: Vega, John R.; Padilla, Linda
Cc: Martins, Jack N
Subject: FW: Discussion with Management concerns

John,
I am forwarding this email to you for you to review. The HRBP asked that I reach out to the employee and schedule a meeting, which I did for tomorrow (Tuesday). I then received this email back from the employee stating that she feels she is a "victim of racial discrimination."

There is a history with this employee. Nancy Sebastian (HRAD) investigated another complaint regarding this employee and a previous manager when the employee was with CIB (2014).

Given this new allegation of racial discrimination, please let me know how you would like to proceed and how I can assist.

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com

Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Lue, Candice
Sent: Friday, May 29, 2015 5:51 AM
To: Vernon, Terri
Subject: RE: Discussion with Management concerns

Hi Terri,

I have attached a series of emails for your review. Can you please read through the trails in preparation for the meeting on Tuesday?

Also, please be advised that I consider myself to be a victim of racial discrimination.

Looking forward to speaking with you.

EXHIBIT CC-3

(It is obvious that the “Postponement” of my 2015 mid year performance review was due to the concoction of the fallacious, pretextual and retaliatory performance improvement plan (PIP) on which I was placed)

From:
To: Dubowy, Helen; Vega, John R.
Sent:
Subject: RE: update

Either way, she will think it's retaliatory. I also think there are pro / cons with the business delivering the mid year and then John speaking with her

Terri Vernon
Vice President, Human Resources Advice Direct
(888) 703-5555 / HR.Advice.Direct@jpmchase.com
Direct: Terri.Vernon@jpmchase.com / (949) 651-6035

From: Dubowy, Helen
Sent: Thursday, June 18, 2015 4:42 AM
To: Vega, John R.; Vernon, Terri
Subject: RE: update

Terri – do you agree? Should I advise Alex and Fidelia to complete the review in the next 2 days before Alex leaves? Any concern with the perception of retaliation ?

From: Vega, John R.
Sent: Thursday, June 18, 2015 7:39 AM
To: Dubowy, Helen; Vernon, Terri
Subject: RE: update
Importance: High

My opposition to the Employment Racially Discriminatory tasks that were solely assigned to me, the only Black analyst in the Counterparty Risk Group, per John Vega's email, "is causing the issue here!" CL

At this stage yes. I would prefer that she do it, but the employee will clearly say it's retaliatory, which we all know is not the case.

This employee's failure to do her job, or her unwillingness to do, is causing the issue here. She is the catalyst.

From: Dubowy, Helen
Sent: Thursday, June 18, 2015 7:37 AM
To: Vega, John R.; Vernon, Terri
Subject: RE: update

Thanks John. Should I assume that Alex should not deliver the midyear review until the investigation is complete?

From: Vega, John R.
Sent: Thursday, June 18, 2015 7:34 AM
To: Dubowy, Helen; Vernon, Terri
Subject: RE: update

Hi there:

More investigation is needed. I also see that Candice reached out to Terri yesterday and I will be reaching out to her today. Candice will be on vacation starting later today so it's not likely that I will speak with her prior to the start of her vacation. I shared that with Alex and Fidelia. I have spoken with Alex, Fidelia and Kim Dawber and will likely speak with one or two people before I speak with Candice.

Stay tuned.

From: Dubowy, Helen
Sent: Thursday, June 18, 2015 6:57 AM
To: Vega, John R.; Vernon, Terri
Subject: RE: update

John – sorry I missed your call yesterday. It was hard to hear your message, so not sure I have a good update. Let's try and connect today. Or may be easier to send an email since I am in meetings most of the morning. I am anxious to understand if there is an outcome or more investigation needs to happen. Thank you.

From: Vega, John R.
Sent: Tuesday, June 16, 2015 12:27 PM
To: Vernon, Terri; Dubowy, Helen
Subject: update
Importance: High

Hi there:

Just wanted to let you know that I spoke with Alex today on the Lue matter and have a discussion scheduled with Fidelia tomorrow at 3:30. Afterwards, I will speak with Candice.

My meeting with her will be very impromptu, on purpose. Given what I hear, I will then schedule more time.

I'll keep you both posted.

Thx,
John

From: Khavin, Alex G
To: Dubowy, Helen
CC: Vernon, Terri
Sent: 6/18/2015 7:49:12 PM
Subject: RE: Candice

OK, Terri, I will send to you in a few minutes. Unfortunately Candice is out tomorrow on vacation so if we can't get it done today, it will have to wait until she gets back.

Best,

Alex

Also see
Paragraphs 62-66 of
my Amended Complaint.
CL

Alex Khavin
Executive Director
J.P. Morgan Asset Management
alex.g.khavin@jpmorgan.com
270 Park Avenue, floor 9
Phone: 212-648-0172
Fax: 917-463-0245
Mobile: 917-414-2776

From: Dubowy, Helen
Sent: Thursday, June 18, 2015 1:44 PM
To: Khavin, Alex G
Cc: Vernon, Terri
Subject: Candice

Hi Alex - I spoke to John and Terri. Although the investigation is going on, we are comfortable with you delivering the mid-year performance review with Fidelia prior to you leaving. As you know lower performers need to have the review documented in PMC. I recognize that may take some time working with Terri to ensure the documentation is correct. Therefore, I am comfortable for you to have a meeting today/tomorrow and then can document it in PMC after that.

You may want to put your bullets together to discuss with her and have specifics (examples) ready on any development areas. I would suggest you share with Terri for a confirmation before your conversation.

I know time is limited until you leave and I am sure Terri will expedite so you can get it done tomorrow.

Thanks.

Defendant Alex Khavin was the HEAD of the Counterparty Risk Group. Why would Khavin need to work with HR legal representative, Terri Vernon to ensure that my PMC documentation is correct?

This email from Defendant Helen Dubowy is proof that the Low Performance Rating of M- that I was given for my 2015 mid-year performance review was fallacious, pretextual and retaliatory which is against the law. CL

From: Shillingford, Fidelia X <fidelia.x.shillingford@jpmorgan.com>
To: Vega, John R. <John.R.Vega@chase.com>
Sent: 6/19/2015 10:54:00 PM
Subject: Re: Emails

No. We were waiting on Terri to review before we did it but she wasn't available.
We will do it after you complete your investigation.

Regards
Fidelia

-----Original Message-----

From: Vega, John R. <John.R.Vega@chase.com>
To: Shillingford, Fidelia X <fidelia.x.shillingford@jpmorgan.com>
Sent: Fri Jun 19 08:33:04 2015
Subject: RE: Emails

Hi there:

Was the mid-year review delivered?

From: Shillingford, Fidelia X
Sent: Friday, June 19, 2015 2:09 PM
To: Vega, John R.
Subject: Emails

Hi John

As discussed, please find email correspondences from Candice.

Regards
Fidelia

Defendant John Vega should have been INVESTIGATING
my claim of Employment Racial Discrimination that was
escalated to him by Terri Vernon.

My claim of Employment Racial Discrimination should not
have anything to do with my mid-year performance review,
two separate matters.

This proves that my 2015 mid-year performance review
was pre-planned, pretextual, retaliatory and an
OBSTRUCTION OF justice.

CK

Lue, Candice

From: Lue, Candice
Sent: Thursday, June 18, 2015 9:33 AM
To: Khavin, Alex G; Shillingford, Fidelia X
Subject: Re: Mid-year Review (Candice)

Okay, thanks.

Best regards,
Candice

----- Original Message -----

From: Khavin, Alex G
Sent: Thursday, June 18, 2015 09:31 AM
To: Lue, Candice; Shillingford, Fidelia X
Subject: RE: Mid-year Review (Candice)

Apologies, Fidelia just communicated that to me as well. We will reschedule for when you are back in the office then.

Best,

Alex

Alex Khavin
Executive Director
J.P. Morgan Asset Management
alex.g.khavin@jpmorgan.com
270 Park Avenue, floor 9
Phone: 212-648-0172
Fax: 917-463-0245
Mobile: 917-414-2776

-----Original Message-----

From: Lue, Candice
Sent: Thursday, June 18, 2015 9:31 AM
To: Khavin, Alex G; Shillingford, Fidelia X
Subject: Re: Mid-year Review (Candice)

Hi Alex,

I will not be available tomorrow. My vacation starts tomorrow and I will be totally out of commission until my return to the office.

-----Original Message-----

From: Alex G Khavin
To: Candice Lue
To: Fidelia X Shillingford
Subject: Mid-year Review (Candice)
Sent: Jun 18, 2015 9:16 AM

When: Friday, June 19, 2015 2:30 PM-3:00 PM (UTC-05:00) Eastern Time (US & Canada).

My 2015 mid-year
performance review was
scheduled for 4:00 PM on
June 18, 2015.
At 9:16 AM, Khavin tried to
reschedule it to June 19, 2015
(Am. Compl. #62-66).

CL

Where: Alex's office

Note: The GMT offset above does not reflect daylight saving time adjustments.

~~*~*~*~*~*~*~*

Best regards,
Candice