

Certain JPMC U.S. Federal Enforcement Resolutions *

Description	Year	Agency (Case No.)
<i>Mortgage-Related</i>		
Residential Mortgage Foreclosure	2011/2012/2013/2015	DOJ/HUD (1:12-cv-00361-RMC); FRB (11-023-B-HC; 11-023-B-DEO); OCC (AA-EC-11-15)
Collateralized Debt Obligations	2011	SEC (1:11-cv-04206-RMB)
Residential Mortgage Backed Securities	2012/2013	SEC (1:12-cv-01862-RLW); FHFA (11 Civ. 6188; 11 Civ. 6193; 11 Civ. 6203; 11 Civ. 7010); NCUAB (11-02341; 13-2012; 13-06707); FDIC (n/a); DOJ (n/a)
FHA Direct Endorsements	2014	DOJ (13 Civ. 0220)
Bankruptcy Payment Change Notices	2015	US Trustee (10-23963-dob); OCC (AA-EC-2015-105)
Fair Lending	2017	DOJ (1:17-cv-00347-AJN)
<i>Non-Mortgage-Related</i>		
Jefferson County Alabama Swap Transactions	2009	SEC (3-13673)
GIC/Municipal Derivatives	2011	DOJ (n/a); OCC (AA-EC-11-63); FRB (11-081-WA/RB-HC); IRS (n/a); SEC (2:11-cv-03877-WJM)
Lehman Customer Segregation	2012	CFTC (12-17)
FERC	2013	FERC (IN11-08; IN13-05)
JPMC Chief Investment Office Trading Losses	2013	OCC (AA-EC-13-01; AA-EC-2013-75); FRB (13-031-CMP-HC; 13-001-B-HC); SEC (3-15507); CFTC (14-01)
AML Consent Order	2013	OCC (AA-EC-13-04); FRB (13-002-B-HC)
Consumer Add-on/Ancillary Products	2013	OCC (AA-EC-2013-45; AA-EC-2013-46); CFPB (2013-CFPB-0007)
Sworn Documents and Collection Practices	2013/2015	OCC (AA-EC-2014-64; AA-EC-13-76); CFPB (2015-CFPB-0013)
Madoff	2014	DOJ (1:14-cr-00007-PKC-1); FINCEN (2014-1); OCC (AA-EC-13-109)
Foreign Exchange	2014/2015	CFTC (15-04); OCC (AA-EC-14-100); DOJ (3:15-cr-00079-SRU); FRB (15-009-B-HC; 15-009-CMP-HC)
Proprietary Products	2015	SEC (3-17008); CFTC (16-05)
Asian Region Hiring Practices	2016	DOJ (n/a); SEC (3-17684); FRB (16-22-B-HC; 16-22-CMP-HC)
ISDAFIX	2018	CFTC (18-15)
Depository Receipts	2018	SEC (3-18963)

* Feb. 2009 to Present; disclosed in the Firm's 10-Qs and 10-Ks