

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

FORM 8-K

CURRENT REPORT  
Pursuant to Section 13 or 15(d)  
of the Securities Exchange Act of 1934

Date of Report (date of earliest event reported): May 18, 2021

JPMorgan Chase & Co.

(Exact name of registrant as specified in its charter)

Delaware (State or other jurisdiction of incorporation or organization)	1-5805 (Commission File Number)	13-2624428 (I.R.S. employer identification no.)
383 Madison Avenue, New York, New York		10179
(Address of principal executive offices)		(Zip Code)

Registrant's telephone number, including area code: (212) 270-6000

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrant under any of the following provisions:

- Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))

Securities registered pursuant to Section 12(b) of the Act:

<u>Title of each class</u>	<u>Trading Symbol(s)</u>	<u>Name of each exchange on which registered</u>
Common stock	JPM	The New York Stock Exchange
Depository Shares, each representing a one-four hundredth interest in a share of 6.10% Non-Cumulative Preferred Stock, Series AA	JPM PR G	The New York Stock Exchange
Depository Shares, each representing a one-four hundredth interest in a share of 6.15% Non-Cumulative Preferred Stock, Series BB	JPM PR H	The New York Stock Exchange
Depository Shares, each representing a one-four hundredth interest in a share of 5.75% Non-Cumulative Preferred Stock, Series DD	JPM PR D	The New York Stock Exchange
Depository Shares, each representing a one-four hundredth interest in a share of 6.00% Non-Cumulative Preferred Stock, Series EE	JPM PR C	The New York Stock Exchange
Depository Shares, each representing a one-four hundredth interest in a share of 4.75% Non-Cumulative Preferred Stock, Series GG	JPM PR J	The New York Stock Exchange
Depository Shares, each representing a one-four hundredth interest in a share of 4.55% Non-Cumulative Preferred Stock, Series JJ	JPM PR K	The New York Stock Exchange
Alerian MLP Index ETNs due May 24, 2024	AMJ	NYSE Arca, Inc.
Guarantee of Callable Step-Up Fixed Rate Notes due April 26, 2028 of JPMorgan Chase Financial Company LLC	JPM/28	The New York Stock Exchange

Indicate by check mark whether the registrant is an emerging growth company as defined in Rule 405 of the Securities Act of 1933 (§230.405 of this chapter) or Rule 12b-2 of the Securities Exchange Act of 1934 (§240.12b-2 of this chapter).

Emerging growth company

If an emerging growth company, indicate by check mark if the registrant has elected not to use the extended transition period for complying with any new or revised financial accounting standards provided pursuant to Section 13(a) of the Exchange Act.

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**Item 5.02(c) Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers; Compensatory Arrangements of Certain Officers.**

- (a) On May 18, 2021, JPMorgan Chase & Co. (“JPMorgan Chase” or the “Firm”) announced that Gordon Smith, Co-President and Chief Operating Officer, and Chief Executive Officer of Consumer & Community Banking (CCB), will retire effective December 31, 2021. Mr. Smith will continue to carry on his current responsibilities until December, when Daniel Pinto, Co-President and Chief Operating Officer and Chief Executive Officer of the Corporate & Investment Bank (CIB), will become sole President and Chief Operating Officer of the Firm. In January 2022, Mr. Smith will continue as a senior advisor to JPMorgan Chase.
- (b) In light of Mr. Smith’s retirement, Marianne Lake, CEO of Consumer Lending, and Jennifer Piepszak, Chief Financial Officer of the Firm, will become co-heads of CCB effective immediately, reporting to Mr. Smith. Ms. Lake and Ms. Piepszak will remain members of the Firm’s Operating Committee.
- (c) Jeremy Barnum, 48, will succeed Ms. Piepszak as Chief Financial Officer of the Firm, effective immediately and will become a member of the Firm’s Operating Committee. Mr. Barnum currently serves as head of Global Research for the Firm’s Corporate and Investment Bank (“CIB”), a position he has held since February 2021. From 2013 through January 31, 2021, Mr. Barnum served as Chief Financial Officer of the CIB. Prior to that, Mr. Barnum held various other roles within the CIB including serving as CFO of the Firm’s Markets Division. He also held various chief financial roles and other leadership positions within the CIB’s credit trading group as well as various trading roles in currencies, emerging markets and credit. Mr. Barnum joined JPMorgan Chase in 1994. In November 2004 he left the Firm and rejoined in August 2007.

A copy of the press release related to this announcement is attached hereto as Exhibit 99.1.

**Item 9.01 Financial Statements and Exhibits**

(d) Exhibits

99.1 [JPMorgan Chase & Co. Press Release dated May 18, 2021.](#)

101 Pursuant to Rule 406 of Regulation S-T, the cover page is formatted in Inline XBRL (Inline eXtensible Business Reporting Language).

104 Cover Page Interactive Data File (embedded within the Inline XBRL document and included in Exhibit 101).

**SIGNATURE**

Pursuant to the requirements of the Securities Exchange Act of 1934, the Registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

JPMORGAN CHASE & CO.  
(Registrant)

By: /s/ John H. Tribolati

Name: John H. Tribolati

Title: Corporate Secretary

Dated: May 18, 2021

JPMorgan Chase & Co.  
383 Madison Avenue, New York, NY 10017-2070  
NYSE symbol: JPM  
[www.jpmorganchase.com](http://www.jpmorganchase.com)

JPMORGAN CHASE & CO.

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News release: IMMEDIATE RELEASE

**New York, May 18, 2021** – JPMorgan Chase & Co. (NYSE: JPM) (“JPMorgan Chase” or the “Firm”) today announced senior management changes to help build upon its success as a leader in global financial services for its customers and communities.

Gordon Smith, Co-President and Chief Operating Officer, and Chief Executive Officer of Consumer & Community Banking (CCB), recently informed Chairman and CEO Jamie Dimon of his decision to retire at the end of this year. Mr. Smith will continue to carry on his current responsibilities until December, when Daniel Pinto, Co-President and Chief Operating Officer and Chief Executive Officer of the Corporate & Investment Bank (CIB), will become sole President and Chief Operating Officer of the firm. In the new year, Mr. Smith will continue as a senior advisor to Jamie Dimon and other executives, with a focus on consumer, digital and payments opportunities.

Marianne Lake, CEO of Consumer Lending, and Jennifer Piepszak, Chief Financial Officer of the firm, will become co-heads of CCB effective immediately, reporting to Mr. Smith. As co-heads of CCB, Marianne and Jenn will be responsible for our home lending, auto finance, small business and U.S. wealth management businesses, as well as our industry leading Chase consumer banking and credit card businesses. The CCB businesses generated revenues of more than \$50 billion last year.

Jeremy Barnum, head of Global Research for the Corporate & Investment Bank, will succeed Ms. Piepszak as Chief Financial Officer, also effective immediately. Jeremy was CFO for the Corporate & Investment Bank from 2013 through the beginning of this year.

Jamie Dimon said: “Gordon Smith has done a simply outstanding job. As one of the best hires I’ve ever made, he has achieved so much, made us a better company through his strategic focus, compassion and commitment to diversity, and has helped mentor so many of our people, including those being promoted today. Professionally, Gordon has been an exceptional business leader and partner for the past 13 years, and I’m so pleased he’ll continue to be a wise resource for me and our senior management team. Personally, I am proud to call Gordon my friend and am immensely grateful for all he has done for our company and our people.”

Gordon Smith said: “I am so proud of our team here at JPMorgan Chase and all that they have achieved. It is personally bittersweet for me to leave this first-class team, but I am happy to support them in any way I can going forward and am excited about the firm’s bright future. I want to thank Jamie for this extraordinary opportunity and throughout the entire journey I have greatly valued his counsel and friendship.”

Mr. Dimon added: “We are fortunate to have two such superb executives in Marianne and Jenn – they both are examples of our extremely talented and deep management bench. Both have proven track records of working successfully across the firm and both are well known and respected within the financial industry for their exceptional character and capabilities.”

We are also lucky to have another extraordinary talent, Jeremy Barnum, become our CFO. His breadth of experience within our complex, global CIB positions him well for this critical firmwide role. In addition, he is recognized within our company and in the financial and regulatory communities for his deep intellect and integrity.

Over the past several years, JPMorgan Chase has produced consistently strong and market-leading results for our customers, communities and shareholders. I'm honored to work with such an exceptional group of people and want to thank the Board for its invaluable contributions to our company."

JPMorgan Chase & Co. (NYSE: JPM) is a leading global financial services firm with assets of \$3.7 trillion and operations worldwide. The Firm is a leader in investment banking, financial services for consumers and small businesses, commercial banking, financial transaction processing, and asset management. A component of the Dow Jones Industrial Average, JPMorgan Chase & Co. serves millions of customers in the United States and many of the world's most prominent corporate, institutional and government clients under its J.P. Morgan and Chase brands. Information about JPMorgan Chase & Co. is available at [www.jpmorganchase.com](http://www.jpmorganchase.com).

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