

# INVESTING in WOMEN and MINORITIES

## Challenges and Opportunities for Investment Advisers

APRIL 26, 2023 • 9 a.m. – 12 p.m. PT

## JOIN THE U.S. SECURITIES AND EXCHANGE COMMISSION FOR A 3-PART VIRTUAL CONVERSATION

WITH A PRIMER ON SEC EXAMINATIONS AND A DISCUSSION OF HOT TOPICS FOR ADVISERS

### CONVERSATION 1

9 – 10:10

#### MODERATED BY

##### Robert Marchman

SEC Senior Policy Advisor  
Office of Minority and  
Women Inclusion

##### Lori Schock

Director  
SEC Office of Investor  
Education and Advocacy

### Investing in Women and Minorities: Challenges and Opportunities for Investment Advisers

A dynamic panel of founders and executives from the financial industry will share their experiences, insights, and successes in launching investment and financial firms. The panel will also discuss their challenges and opportunities, and how the financial services community and the SEC can work together to increase investing and wealth in underrepresented communities.

#### SPEAKERS FOR CONVERSATION 1



**George Madrigal**  
Founder and CEO  
**Penserra Financial  
Ventures, LLC**



**René Nourse**  
Founder and CEO  
**Urban Wealth  
Management**



**Nadine Terman**  
Co-Founder,  
CEO, and CIO  
**Solstein Capital,  
LLC**



**Cynthia Tusan**  
CEO and Senior  
Portfolio Manager  
**Strategic Global  
Advisors**

### CONVERSATION 2

10:15 – 10:45

### Nuts and Bolts of an SEC Examination—A Primer for Registrants

SEC staff will provide an overview of the examination process and offer advice on preparing for an investment adviser examination.

### CONVERSATION 3

10:50 – 11:50

### Hot Topics in Examinations

SEC staff will address the Marketing Rule, Environmental, Social, and Governance (ESG), and Off-Channel Communications.

For additional information, please click [here](#). This link will be updated 24 hours before the event to provide access to the webinar. Please direct any questions about the event to [ComplianceOutreach@sec.gov](mailto:ComplianceOutreach@sec.gov). To submit questions to the panelists in advance, please click [here](#).

