LEADING DEI PRACTICES

June 23, 2022
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2022 DIVERSITY ASSESSMENT COLLECTION

June 1
- Invitations Sent
- SEC DAR Form
- Instructions
- FAQs

Sep. 30
- Self-Assessments DUE
- Extensions may be requested
FREQUENTLY ASKED QUESTIONS
WWW.SEC.GOV/OMWI/REGULATED-ENTITIES

Who?
What entities are invited to submit a diversity self-assessment to the SEC?

What?
Is the diversity self-assessment related to the SEC’s regulatory function?

How?
What if a regulated entity has been invited by another federal financial regulator to submit a diversity self-assessment?

Confidentiality?
Will the information pertaining to a diversity self-assessment be made publically available?
ORGANIZATIONAL COMMITMENT TO D&I

98% D&I in strategic plans for hiring, retaining, and promoting employees

88% provide regular progress reports on D&I efforts to the board of directors or other governing bodies

89% have a senior level official with experience in D&I policies and practices oversees and directs the firm’s D&I efforts
94% engage in outreach to minority and women organizations

85% engage in outreach to educational institutions serving minority and women populations

89% participate in conferences, workshops, and other events to attract minorities and women and to inform them of employment and promotion opportunities
CONSIDERATION OF SUPPLIER DIVERSITY IN PROCUREMENT AND BUSINESS PRACTICES

- 62% participate in conferences, workshops, and other events to attract MWOBs and informs them of contracting opportunities
- 54% Conduct outreach to MWOB contractors
- 54% measure amount spent annually for procuring and contracting for goods and services
PRACTICES TO PROMOTE TRANSPARENCY OF ORGANIZATIONAL D&I

- 88% publish information about its D&I efforts on its website
- 81% publishes its policy on its commitment to D&I efforts on its website
- 81% publicize employment and internship opportunities on its website
GUEST SPEAKER

Michelle Gadsden-Williams
Managing Director & Global Head of Diversity, Equity and Inclusion
BlackRock
DEI BEST PRACTICES
HELPFUL CONTACT INFORMATION

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