

National Association of Securities Professionals

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WHO WE ARE

- The National Association of Securities Professionals (NASP) is the **premier trade association for minorities and women in the financial services industry**. The organization serves as a **resource for minority and women professionals** within the financial services industry and the minority community at large.



OUR ROOTS

- NASP was founded in Chicago in 1985 by Maynard H. Jackson, Felicia Flowers-Smith, Travers Bell, Joyce M. Johnson and Donald Davidson.
- From a core group of 44 people in attendance at NASP's first organizational meeting in 1985, NASP now boasts a membership of over 600 plus members across the United States.



MISSION STATEMENT

- NASP serves as a **resource for the minority community** at large and for the **minority professionals within the securities and investments industry** by providing opportunities to share information about the securities markets, including functioning as a repository for information regarding current trends, facilitating fundamental educational seminars, and creating networking opportunities.



PRINCIPLES

- **We uphold** the law that bans racial, ethnic or gender discrimination in employment.
- **We believe** that racial, ethnic or gender discrimination in employment, business contracts and related activities is immoral and an unsound business practice.
- **We support** equal and fair employment practices including, without limitation, the hiring, compensating, training, promoting and retaining of African-Americans, Hispanic Americans, other minority Americans, and women.
- **We support** the development of training programs that will prepare significant numbers of African-Americans, other minority Americans, and women for management, ownership, supervisory, administrative, clerical, sales and technical positions in all business activities.
- **We support** equitable participation and equal opportunity in all business dealings.



NASP OBJECTIVES

To pursue the highest standards of professionalism and excellence among NASP members

To achieve equal opportunity for minorities and women in the securities industry

To foster the growth and development of minorities and women; of minority controlled and women-controlled institutions in the securities industry

To enhance communication among members

To increase public awareness, especially among minorities and women, of public and private finance career opportunities

To pursue progressive and balanced policies affecting public and private finance



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MEMBERSHIP CRITERIA

- NASP connects members to industry leaders and business opportunities; advocates for policies that create equal representation and inclusion; provides educational opportunities; and works to ensure that women and minorities are included in all aspects of the financial services industry.
- Currently over 150 companies support NASP through fiscal sponsorship and general membership which include approximately 45 small and emerging companies.

Members include professionals from the following disciplines:

- Asset Managers
- Public Finance Advisors and Underwriters
- Brokers
- Consultants
- Bond Counsel
- Retail Advisors
- Investment Bankers
- Commercial Bank Underwriters
- Institutional Investors
- Plan Sponsors
- Other Finance Professionals

NASP LOCAL CHAPTER INITIATIVES

NASP's broad base of support is strengthened by its network of **11** local chapters located in major financial centers throughout the United States. Chapters execute the mission of NASP at the local level. Individual chapters coordinate networking functions, seminars, and other events to support local members.

Individual chapters also serve as expert resource regarding legislative issues at the local and state level that have an effect on minority – and women –owned asset management, brokerage and other investment related firms.

Events Include:

Atlanta Institutional Investor Education Symposium

Southern California Day of Education in Private Equity

Baltimore/Washington Annual Capital Access and Investment Forum

Chicago Public Finance Forum

New York Wall Street Hall of Fame Gala Dinner and Induction Ceremony

Detroit Encore Impacting Lives Award Banquet

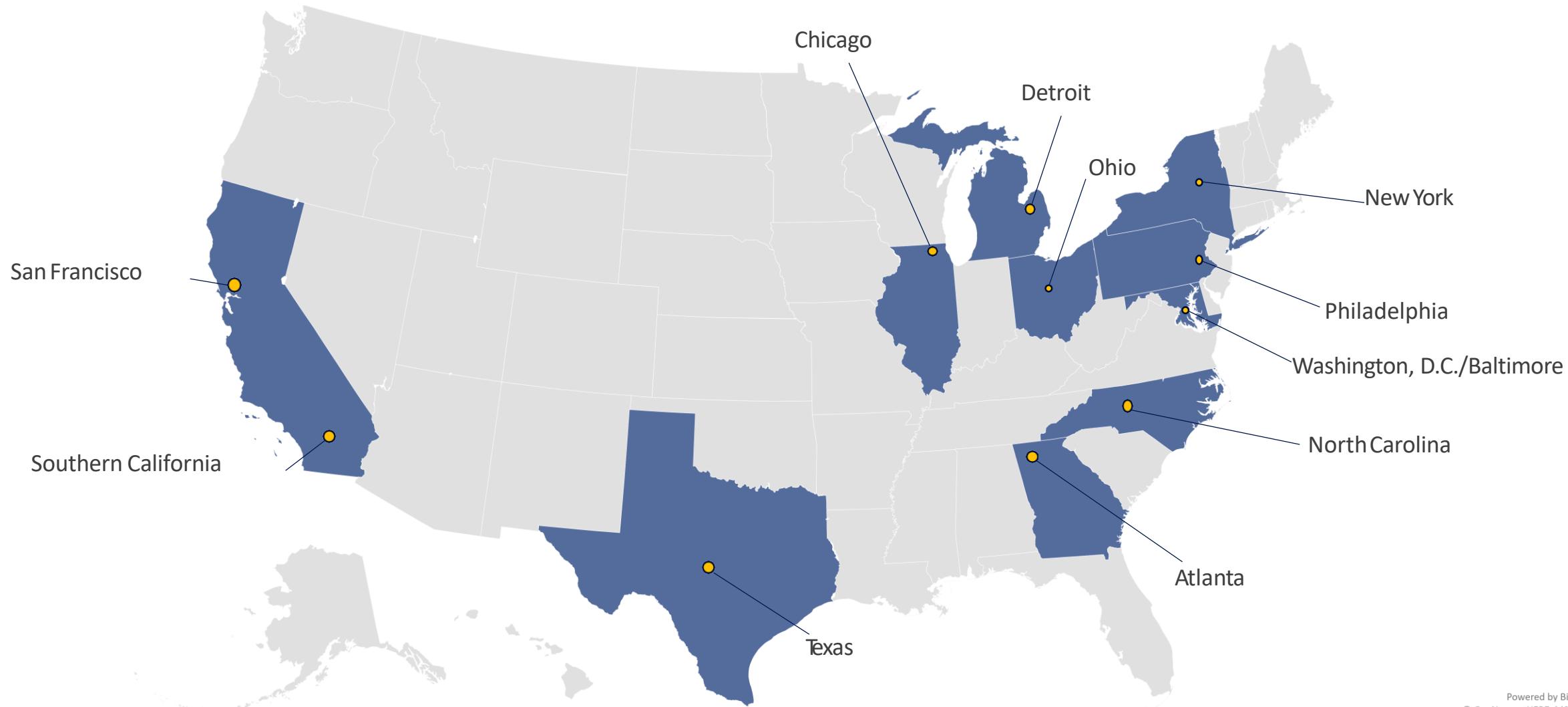
San Francisco Bay Area Financial Professionals Networking Forum

Texas Untapped: Investment Opportunities in Asset Management and Municipal Finance

Philadelphia Investment Consultant Roundtable

CHAPTER LOCATIONS

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DIVERSE & EMERGING MANAGER FORUM

Date: January

- The landscape for diverse and emerging managers is **evolving** and many firms are on the cusp of entering the "graduation" phase while some are in the beginning stages of growth. DEMF allows you to hear from **plan sponsors, industry practitioners, and policymakers** on ways to position your firm to remain **competitive** in a constantly changing landscape.



DIVERSE & EMERGING MANAGER FORUM

The Future of Diverse Manager Programs

- Explore future plans that could affect business models and product lineups.
- Ideas on growing businesses.
- Consultants advice on how to expand and implement emerging managers and investment policies.

The Evolution of MWBE Firms in Public Finance

- We work with municipalities to ensure MWBE firms and people of color are included in public finance.
- We showcase the evolution of MWBE firms and how they can be included in other services
- We review the economic and regulatory landscape and it's effect on MWBE firms

The Next Frontier: Endowments & Foundations

- Exploration for larger endowments and foundations more capable of expanding their pool of investment managers
- Focus on the \$100 million or under institutions

CONSULTANT RETREAT

Date: October

- The Consultant Retreat aims to **increase access to institutional investment consulting firms** for our membership base in order to facilitate an increased number of research meetings and allow consultants to learn about the diverse investment managers that offer products aligned with their asset allocations.
- This event will allow asset managers and consultants to network, dialogue, and gain crucial exposure for diverse



MENTORS LUNCHEON & CAREER SYMPOSIUM

Date: April

As part of the Future Financial Professionals Pipeline initiative to increase diversity in the financial services sector, NASP holds the Mentors Luncheon & Career Symposium for **diverse undergraduate students** interested in **finance, business, and the related fields**. The Symposium provides students with **internship** and **career resources** from corporate recruiting teams as well as **networking opportunities** with NASP professionals to help nurture their growth. **The event has reached over 1,000 students since inception.**

- Exposes students to a variety of roles within the industry from **diverse representation** from large firms, emerging and minority- and women- owned firms, as well as the public sector.
- Provides students an opportunity to hear from professionals who encourage their success through candid **panel discussions**.
- Teaches early **professional development** through workshops and information sessions.
- Provides students with career and internship resources through an **on-site recruitment exhibition**.

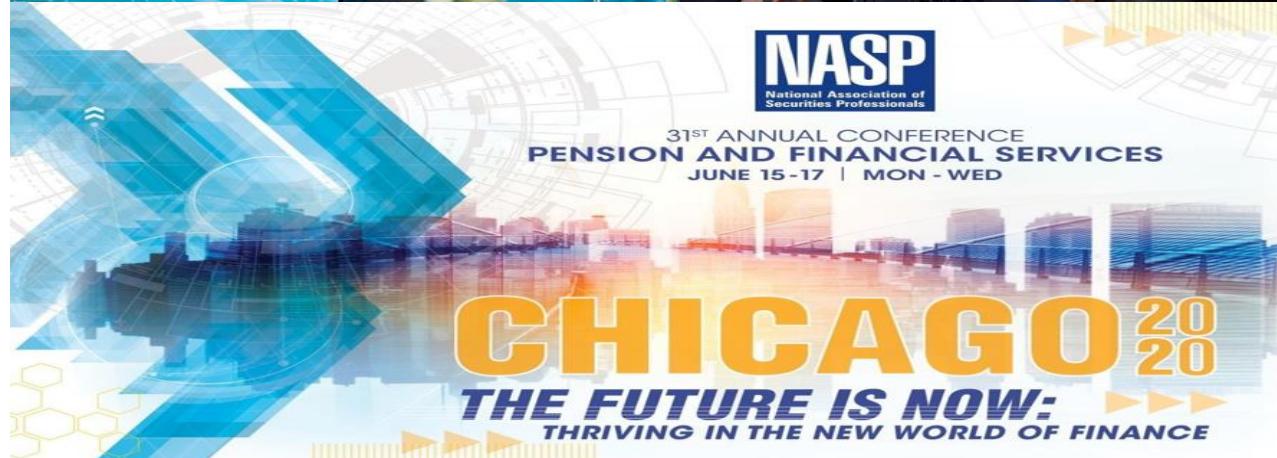


THE ANNUAL PENSION & FINANCIAL SERVICES CONFERENCE

The NASP Conference brings together more than **600 financial services professionals** from across various sectors to learn about the latest concepts, trends and solutions to pressing community issues. It takes place across 3 days with specific tracks for **pension plan professional development, African infrastructure and investment and institutional and municipal investing.**

- The NASP Annual Pension & Financial Services Conference is one of the industry's most respected and influential educational forums. The conference attracts both fiduciaries and investment professionals – from city, state, and national elected officials government professionals and pension fund trustees to investment managers, securities sales and trading professionals and investment bankers.
- NASP Africa Financial Summit (AFS), brings together participants from many Sub-Saharan African Nations, including government, corporate, and community stakeholders.
- One-on-One Career coaching sessions empower professionals by providing feedback on career planning, discussing career – related questions with a neutral professional, providing recruiting support and giving new perspectives on professional decisions

The 31st Annual Conference will take place June 14 – 17 in Chicago, IL



LEGISLATIVE ACTIVITIES

In furthering NASP's goal of **increasing its visibility and reach** on a national level, we have an active legislative agenda.

Initiatives:

- Actively working to establish standards and best practices across federal agencies related to the implementation of Section 342 of the Dodd – Frank Act and Section 1116 of the Housing and Economic Recovery Act of 2008.
- Coordinating with various agencies and departments to increase opportunities and deal flow connected with the Government's efforts to stabilize the economy.
- Issuing Comment letters to strengthen policies in local and state governments.

Ongoing Activities:

- Meetings on Capitol Hill arranged with members and policy staff of the U.S. House of Representatives and the U.S. Senate to advocate for equitable participation and the increase of business competition for federal opportunities, held with both Republicans and Democrats and committees such as the House of Financial Services, Senate Banking, House Health, Employment, Labor and Pensions and House Education and Workforce.

Past Successes:

- Testified before Congress and supported the enactment of laws to inclusion of minority – and women – owned professional services firms.
- Advocated for membership base in Texas, Illinois, Michigan, California, and New York by providing expert testimony to legislative hearings and issuing letters of support for enactment of policy and legislation.



NATIONAL INITIATIVES

NASP is **dedicated to building coalition** with like – minded groups to harness a collective voice to **champion inclusion and opportunity**. The following are some of the organizations with whom we have collaborated with.

- **Association of Asian American Investment Managers (AAAIM)**
- **Association of Black Foundation Executives (ABFE)**
- **Association of Black Securities & Investment Professionals (ABSIP)**
- **National Association of Investment Companies (NAIC)**
- **National Association of Minority and Women Owned Law Firm**
- **National Bankers Association**
- **New America Alliance (NAA)**
- **Rainbow PUSH Coalition Wall Street Project**
- **The Executive Leadership Council**

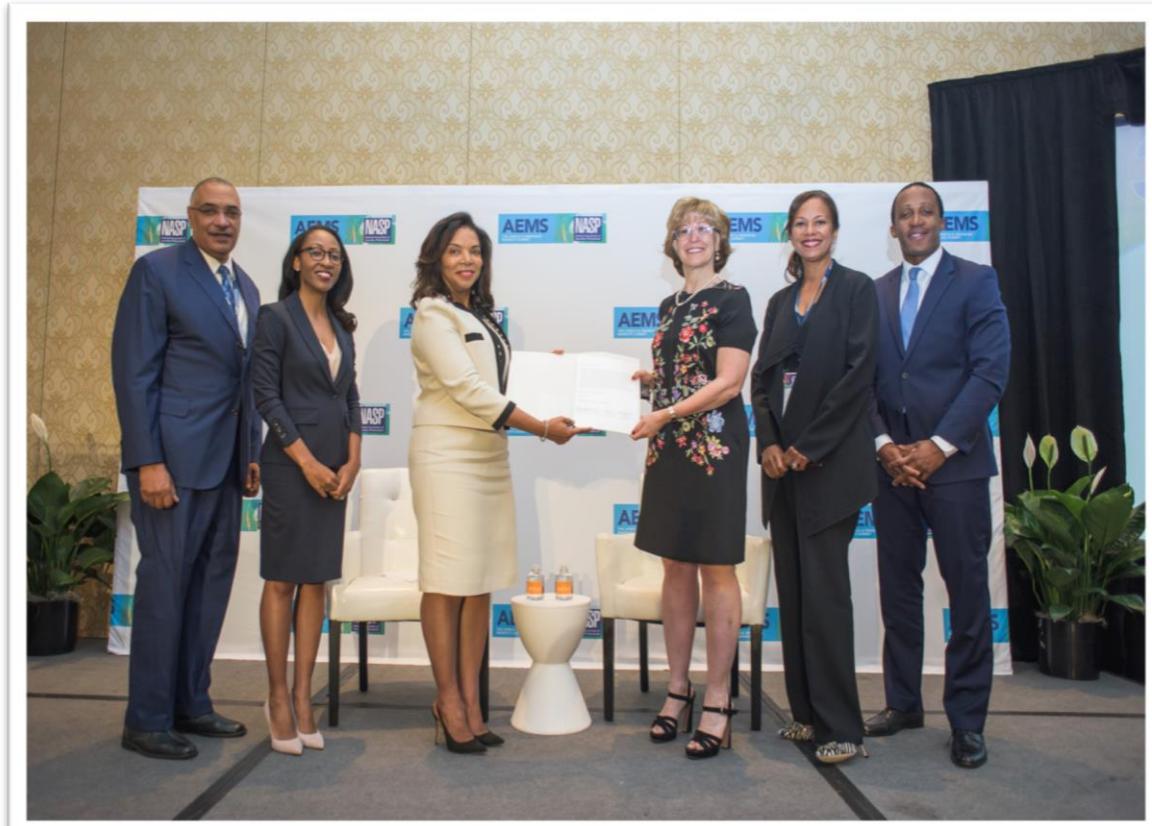
GLOBAL ENGAGEMENT: NASP & MiDA Advisors, LLC

NASP – USAID Partnership

Two years ago, NASP and USAID signed an investment partnership for “**Mobilizing Institutional Investors to Develop Africa’s Infrastructure**” or “**MiDA**”. The initiative seeks to facilitate and expand opportunities for infrastructure investments in Sub-Saharan Africa for investors seeking higher returns, while making an impact on development and advancing U.S. interests in the region. **To date, MiDA members have invested up to \$800 million across Africa and other emerging markets.** The initiative exemplifies the very real and mutually beneficial U.S.-Africa commercial and development opportunities that exist.

MiDA Annual Delegation Trip to Africa

MiDA has organized three delegation trips to Africa to explore investment opportunities on the ground in Africa across various sectors and to develop relationships with African pension funds, asset managers and financial institutions for potential partnerships and co-investments. **Since 2017 MiDA’s delegation has visited Senegal, Kenya and South Africa.** At the recent trip, the U.S. delegation included 17 asset owners - pension funds, insurance companies, endowments and pension fund consultants who are also investors of discretionary funds—as well as 15 fund managers, bankers and industry partners. The total assets under management of members of the delegation represented over \$1 trillion dollars.



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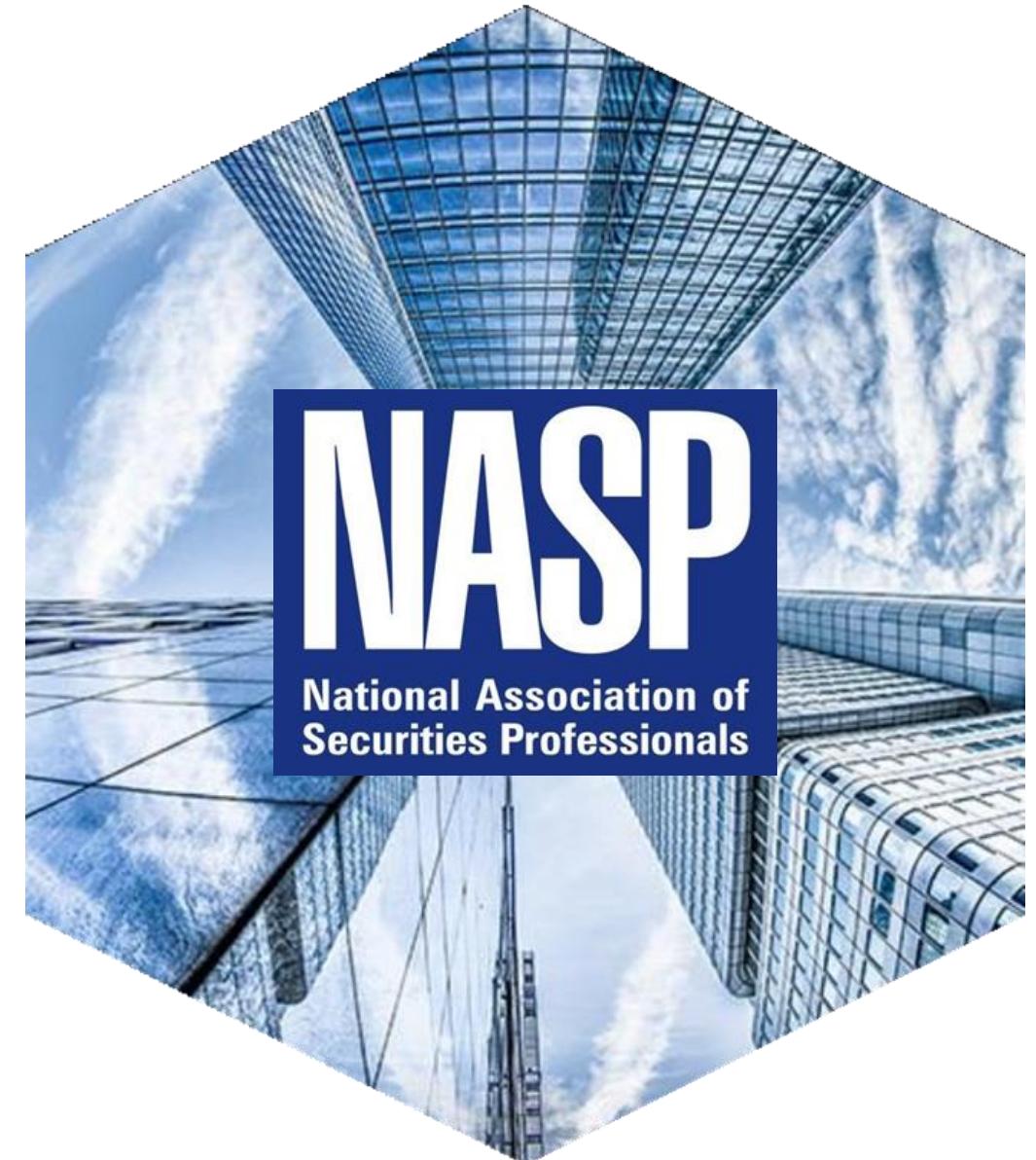
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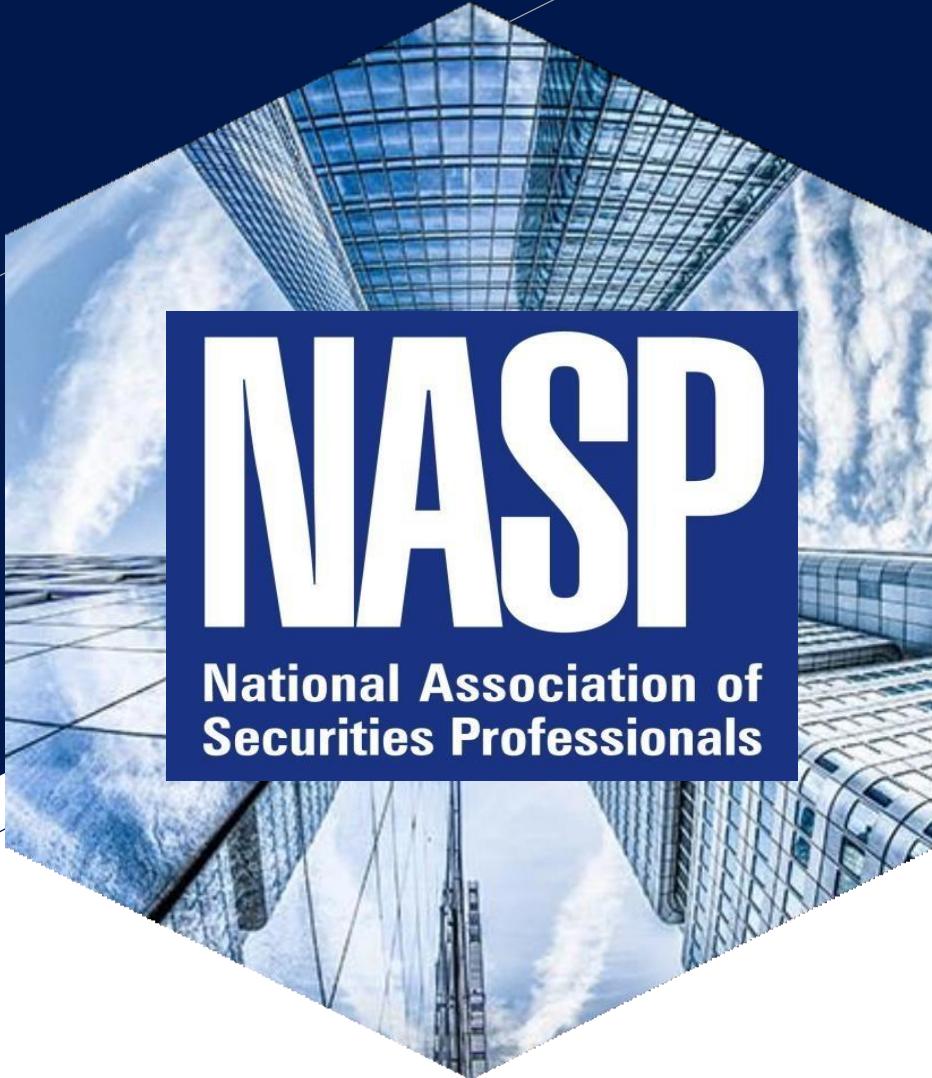
Partner Expo

Fannie Mae

NASP SUMMARY

- An organization committed to fiduciary education and training
- Access to minority and women – owned firms/emerging managers
- An organization that advocates for fair and balanced policies in public and private finance
- Pipeline of talent with variety of backgrounds and expertise
- Board membership consists of strong, active, seasoned professionals
- Growing general membership
- Membership volunteerism and other philanthropic endeavors with the mission to increase financial literacy and college preparation to high school students
- Consistent sponsors and partners





Thank You.

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