



*Invested in America*



# DIVERSITY RESOURCES:

A Commitment to  
Diversity & Inclusion



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# SIFMA Diversity Resources

SIFMA's members are committed to promoting diversity in the financial services industry. At SIFMA, we strive to provide our members with valuable forums and tools to complement their human resources and diversity practices so that they can recruit and retain the best, diverse talent.

## SIFMA's Diversity & Inclusion Committee

The Diversity & Inclusion Committee organizes SIFMA's efforts to support the industry in meeting the challenges and maximizing the opportunities of an increasingly diverse employment pool and customer base. The Committee's mission is to assist member firms in developing their diversity initiatives to increase inclusion in the workplace and in their efforts to market to diverse customers. The Committee's objective is to help shape an industry that is welcoming to all people; where employees are limited only by their own potential; clients' unique needs are actively served; and shareholders receive value for their investment.

## Diversity Events

SIFMA's Diversity & Inclusion Conference brings together industry leaders who are committed to advancing diversity and inclusion as key ingredients in achieving an organization's priorities.

## Diversity Leadership Awards

Each year, SIFMA's Diversity Committee recognizes member firms that demonstrate outstanding leadership, innovation and results in diversity management within the financial services industry. These awards help member firms to share effective diversity strategies and tactics that are having an impact in the industry; encourage and promote active participation by senior management in diversity efforts across the industry; and acknowledge significant contributions to SIFMA's ever-expanding mission.

Congratulations to the recipients of our 2014 Diversity Leadership Awards:

- **Sustained Diversity Leadership**  
Prudential Financial, Inc. - Prudential's Veterans Initiative
- **Innovative Diversity Leadership**  
Goldman Sachs & Co. - Emerging Leaders Program

## Regulatory Correspondence

The financial industry recognizes that achieving diversity is an evolutionary process that requires a continued renewal of our commitment to our diversity policies and practices, and an ongoing assessment of the effectiveness of those policies and practices. Correspondence with our regulators includes a comment letter to the U.S. Securities and Exchange Commission (SEC) on Establishing Standards for Diversity Policies and Practices for Regulated Entities (December 17, 2013).

## Diversity Recruitment and Retention Practices

SIFMA's Diversity & Inclusion Committee publishes "Diversity Recruitment and Retention Practices" to complement our member firms' internal resources. Recruitment Practices include in-depth best practices for two major issues: outreach and equal and consistent treatment. Retention Practices explore opportunities to build relationships that link people to an organization, and opportunities for professional growth including mentoring, diversity training, succession planning and flexible work arrangements.



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