Appendix B – Part I: Diversity Disclosures

**Please provide a response to the following questions.[[1]](#footnote-1) Please also complete the SURS Diversity Disclosure (Exhibit B Part 2 of 2) which is provided as a separate Excel document.**

**Firm Policies and Programs**

1. **Does your firm have a Diversity, Equity and Inclusion (DEI) policy or initiative? If ‘yes’, provide a copy of the policy. If ‘no,’ are you considering the development of such a policy or initiative?**
2. **Does your firm have a DEI Committee within the organization empowered to effect best DEI practices? If ‘yes’, provide details of the committee and their accomplishments over the past three years.**
3. **Does your firm have policies or practices in place to ensure that equal pay is provided for equal performance in equivalent roles regardless of gender and minority categorization? If ‘yes’, provide details of the policies/practices.**
4. **Does your firm have formal mentorship, sponsorship and/or employer affinity programs for minorities, women, and/or persons with a disability? If ‘yes’, provide details of the program(s).**
5. **Does your firm define goals and measure diversity outcomes at all levels of the organization, across all departments, and is compensation tied to the achievement of these goals? If ‘yes’, provide details.**
6. **Does your firm have procedures in place for the anonymous reporting and investigation of harassment, discrimination and/or workplace violence? If ‘yes’, please provide details of the procedures and how they are communicated to employees. If not, are you considering the establishment and communication of such procedures?**
7. **What improvements has the firm made in the hiring of minority-, women -, person with a disability-owned business (MWDB) in the past year?**
8. **If your firm is certified as a minority-, woman-, person with a disability-owned business, please provide a copy of the MWDB certification.**
9. **When selecting service providers, does the firm consider DEI policies or practices in the review process?**
10. **Does your firm require a Code of Conduct from service providers? If ‘no’, are you considering making this a requirement?**
11. **Does the firm utilize MWDBE investment banks for capital markets services, mergers and acquisitions services and/or other advisory services?**

**Employee Conduct and Training**

1. **Does your firm have a Code of Conduct that covers harassment, discrimination and/or workplace violence? If ‘yes’, provide a copy of the Code. If ‘no,’ are you considering the development and implementation of such a code?**
2. **Does your firm provide mandatory anti-harassment and non-discrimination training to all employees? If ‘yes’, please provide details and timing of the training. If ‘no,’ are you considering implementing a training program?**
3. **Have there been any claims of sexual or general harassment, misconduct, or discrimination against any current or former firm employees (while employed by your firm) within the last five years? If applicable, how did the Firm respond to any claims of sexual or general harassment, misconduct, or discriminations against any current or former employees (while employed by the Firm) within the last 5 years?**

**Initiatives**

1. **Does your firm work with organizations that promote the attraction and retention of women, minorities, and persons with a disability within the investment industry? If “yes’, provide a list of these organizations, as well as any additional programs you have embraced.**
2. **Has your firm undertaken any actions to combat racism and sexism in the investment management industry in the last year? If ‘yes’, provide details.**

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| --- | --- | --- | --- |
| **Name of Asset Management Firm:** |  | | |
| **Contact person**  **(Name/**  **Phone Number):** |  | **Data as of:** |  |

1. For purposes of this Questionnaire and the attached SURS Diversity Disclosures, the terms “minority person”, “woman”, “person with a disability”, “minority-owned business”, “women-owned business”, and “business owned by a person with a disability” have the same meaning as those terms have in the Business Enterprise for Minorities, Women, and persons with Disabilities Act (30 ILCS 575), and “person with a disability-owned business” has the same meaning as “business owned by a person with a disability”. [↑](#footnote-ref-1)