



U.S. Securities and
Exchange Commission

Office of Minority
and Women Inclusion

Annual Report

TO CONGRESS

MARCH 2024

Disclaimer

This is a report of the staff of the U.S. Securities and Exchange Commission. The Commission has expressed no view regarding the analysis, findings, or conclusions contained herein.



CHAIR GENSLER

Message from the Chair

On behalf of the U.S. Securities and Exchange Commission (SEC), I am pleased to present the Office of Minority and Women Inclusion's (OMWI) Annual Report to Congress.

At the SEC, we work every day to protect investors and facilitate capital formation across the spectrum of communities that make America strong, including underserved communities. With respect to the middle part of our mission—to maintain fair, orderly, and efficient markets—fairness literally is embedded in our mission.

The most important asset at the SEC is our remarkable staff. In recent years, we have made important gains to help ensure that the agency is a place where everyone on the staff can bring their whole selves to work, make their mark in public service, and rise in the profession, including into senior leadership.

This year, the SEC launched its Diversity, Equity, Inclusion and Accessibility Strategic Plan for fiscal years 2023-2026. OMWI continues to lead our efforts to develop an inclusive and equitable workplace that reflects the diversity of the public we serve, uses minority- and women-owned businesses in our business operations, and engages our regulated entities.

Thank you for taking the time to read about our important work in this area. I look forward to continuing to partner with OMWI in the coming year.

Sincerely,

A handwritten signature in blue ink, appearing to read "G. Gensler". The signature is stylized and fluid, with a long horizontal stroke at the bottom.

GARY GENSLER
Chair
U.S. Securities and Exchange Commission

Contents

List of Acronyms	v
Executive Summary	1
Introduction	2
Organizational Overview	3
U.S. Securities and Exchange Commission	3
The Office of Minority and Women Inclusion	3
Diversity, Equity, Inclusion, and Accessibility Strategic Plan	
Fiscal Years 2023-2026	4
Development	4
Embedding Diversity, Equity, Inclusion, and Accessibility at the SEC	5
Pillars, Goals, and Priorities	5
People: Building Our Future Through Our People	6
Data-Driven Approach	6
Applicant Data	7
New Hires and Promotions	8
Workforce in Mission-Critical Occupations	9
Senior Officers	11
Outreach	12
Outreach and Recruitment Events	12
Recruitment	13
Collaborative Partnerships	15
Consultations with SEC Divisions/Offices	17
Culture: Fostering a Culture of Inclusivity and Connectedness	18
Inclusion as a Shared Responsibility	18
DEIA Assessment Program	18
Division and Office Action Planning	18
Employee Engagement	20
Professional Development	22
Mentorship	22
Leadership Development	22
Training	23

Mission: Leveraging DEIA for Mission Effectiveness	24
Supplier Diversity	24
Matchmaking and Outreach	25
Performance Metrics	26
Contractor Workforce Inclusion: Good Faith Effort Reviews	29
Embedding Diversity in the SEC's Mission	29
Mission-Related Diversity Activities	29
Promoting the Importance of DEIA in the Financial Services Industry	29
Promoting DEIA with the SEC's Regulated Entities	30
Appendix A: Workforce Demographics	31
Appendix B: Outreach and Recruitment Events	41
Appendix C: Strategic Diversity Job Boards	44
Appendix D: FY 2023 OMWI Engagement Organizations	45
Appendix E: FY 2023 Programs for Special Observances and Other Events Celebrating Affinity Groups	48
Appendix F: Supplier Diversity Conferences and Outreach Events	51

List of Acronyms

AAC	African American Council
AANHPI	Asian American, Native Hawaiian and Pacific Islander
AAPIC	Asian American and Pacific Islander Committee
CAHC	Caribbean American Heritage Committee
CLF	Civilian Labor Force
COVID-19	Coronavirus Disease 2019
DAR	Diversity Assessment Report
DEIA	Diversity, Equity, Inclusion, and Accessibility
DIAC	Disability Interests Advisory Committee
EAG	Employee Affinity Group
EO	Executive Order
FAR	Federal Acquisition Regulation
FHFA	Federal Housing Finance Agency
FPPS	Federal Personnel and Payroll System
FY	Fiscal Year
GFE	Good Faith Effort
HALO	Hispanic and Latino Opportunity, Leadership, and Advocacy Committee
HBCU	Historically Black Colleges and Universities
HSI	Hispanic Serving Institution
LGBT	Lesbian, Gay, Bisexual and Transgender
LGBTQ	Lesbian, Gay, Bisexual, Transgender, and Queer (or Questioning)
MWOB	Minority-Owned and Women-Owned Business
NAICS	North American Industry Classification System
OA	Office of Acquisitions
OHR	Office of Human Resources
OIEA	Office of Investor Education and Advocacy
OIT	Office of Information Technology
OMWI	Office of Minority and Women Inclusion
OPM	Office of Personnel Management
PCAOB	Public Company Accounting Oversight Board
SEC	U.S. Securities and Exchange Commission
SECU	SEC University
VOD	Vendor Outreach Day



Guided by the SEC's new 2023-2026 Diversity Equity Inclusion and Accessibility Strategic Plan, OMWI focused on activities highlighting DEIA across the agency's people, culture, and mission, as integral to successfully meeting the SEC's three-part mission of protecting investors, maintaining fair, orderly, and efficient markets, and facilitating capital formation.



Executive Summary

The U.S. Securities and Exchange Commission's (SEC) Office of Minority and Women Inclusion (OMWI) is pleased to share its Annual Report to Congress which provides highlights of OMWI's work and the SEC's progress in meeting its diversity, equity, inclusion, and accessibility (DEIA) goals in fiscal year 2023. Guided by the SEC's new 2023-2026 *Diversity Equity Inclusion and Accessibility Strategic Plan*, OMWI focused on activities highlighting DEIA across the agency's people, culture, and mission, as integral to successfully meeting the SEC's three-part mission of protecting investors; maintaining fair, orderly, and efficient markets; and facilitating capital formation.

To build the SEC's future through its people, OMWI continued to advance the SEC as an employer of choice and foster DEIA in the SEC's workforce through over 60 targeted outreach and recruitment events and 235 job postings. These outreach events and job postings represent concerted and focused efforts to enhance relationships, reach, and a diverse applicant pool for the SEC's future workforce. OMWI also created tools to support the SEC during its hiring efforts, including two trainings on mitigating bias and promoting DEIA in the hiring process.

Fostering a culture of inclusivity, connectedness, and belonging can impact retention, promotion, and the success of the SEC's mission, OMWI continued to support activities, trainings, and programs promoting employee development, engagement, and inclusion. In addition to presenting 60 celebratory programs, OMWI completed a DEIA Assessment Program pilot. Seven of the SEC's organizations piloted this program which involved establishing teams to engage in exploratory reflection of each organization's unique needs and then creating a plan of action to continue successful practices and make modifications where needed. OMWI also offered our divisions and offices opportunities for individualized comprehensive consultations on DEIA-related matters and completed 10 of these touchpoints this year. Partnering with our divisions and offices to champion DEIA efforts in their own unique spaces optimizes our reach and efforts, and therefore enhances the success of our mission within the SEC.

Outside the SEC, OMWI continues to further the SEC's mission through interactions with the financial services industry, including connecting with underrepresented groups through outreach events and participation in the SEC's Advisory Committees and Task Forces; engaging with diverse suppliers at over 45 Vendor Outreach Days sessions; and encouraging the SEC's regulated entities to engage in self-assessments of their diversity policies and practices.

We look forward to continued integration of DEIA into our workforce, business, and mission activities, as well as furthering DEIA as a shared responsibility.

Introduction

The U.S. Securities and Exchange Commission (SEC, Commission, or agency) Office of Minority and Women Inclusion (OMWI) is pleased to submit its Annual Report to Congress for Fiscal Year (FY) 2023 pursuant to Section 342 of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010 (the Dodd-Frank Act). This Report highlights the progress the SEC has made toward achieving the goals and objectives of the Dodd-Frank Act and the SEC's *Diversity, Equity, Inclusion, and Accessibility Strategic Plan* for Fiscal Years 2023-2026 (DEIA Strategic Plan), both of which collectively guide the SEC's ongoing efforts to promote diversity, equity, inclusion, and accessibility. OMWI focuses its efforts in the areas of workforce diversity and workplace inclusion, supplier diversity and contractor workforce inclusion, and leveraging diversity and inclusion for mission effectiveness. As such, this Report is organized to highlight these areas specifically.

This report covers the period from October 1, 2022, to September 30, 2023, unless otherwise noted.

Organizational Overview

U.S. Securities and Exchange Commission

The SEC is a bipartisan Commission consisting of up to five Commissioners appointed by the President and confirmed by the Senate. The President designates one Commissioner to serve as Chair of the Commission. Gary Gensler was the Chair of the Commission for FY 2023. The SEC's mission is to protect investors; maintain fair, orderly, and efficient markets; and facilitate capital formation. Accordingly, as outlined in the DEIA Strategic Plan, the goals are to focus on the long-term interests of our investors; recognize significant developments and trends in our evolving capital markets and adjust our efforts to ensure we are effectively allocating our resources; and elevate the SEC's performance by enhancing our analytical capabilities and human capital development.

The SEC oversees the nation's securities markets and certain market participants, including broker-dealers, investment companies, investment advisers, clearing agencies, transfer agents, credit rating agencies, and securities exchanges, as well as organizations such as the Financial Industry Regulatory Authority, Municipal Securities Rulemaking Board, and the Public Company Accounting Oversight Board (PCAOB). The SEC's functional responsibilities are carried out through six divisions and 24 offices, each of which is headquartered in Washington, DC. The SEC also has 11 regional offices located throughout the country.

The Office of Minority and Women Inclusion

In accordance with Section 342 of the Dodd-Frank Act, the SEC established OMWI in July 2011 and assigned the office responsibility for all matters related to diversity in its management, employment, and business activities. OMWI works in close collaboration with all SEC divisions and offices to implement the SEC's DEIA Strategic Plan.¹

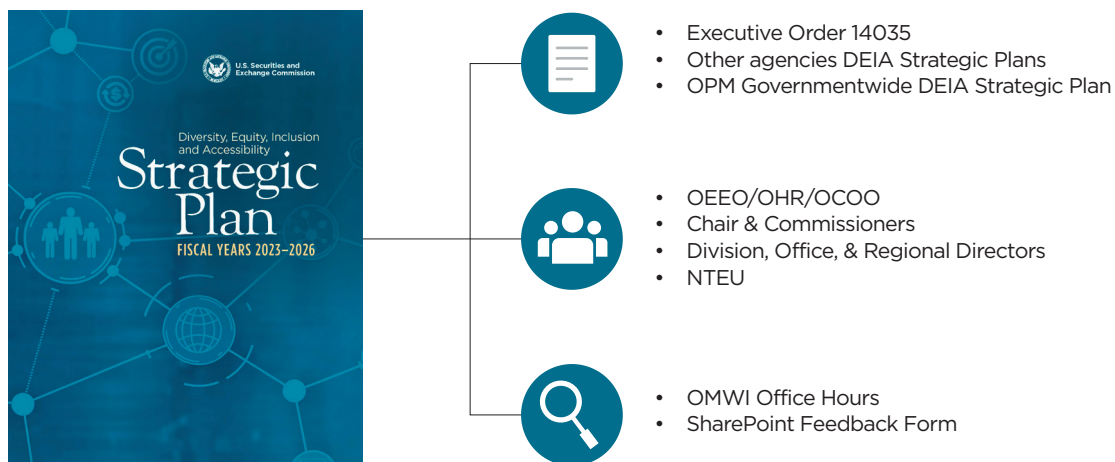
The Director of OMWI is a Senior Officer who reports directly to the Chair. In FY 2023, Pamela Gibbs held this role.² As of the time of the submission of this Report, OMWI consists of 12 additional permanent positions, including a Deputy Director.

Diversity, Equity, Inclusion, and Accessibility Strategic Plan Fiscal Years 2023-2026

OMWI led the development of the new DEIA Strategic Plan, which incorporates a focus on equity and accessibility in addition to diversity and inclusion.

Development

STRATEGIC PLAN DEVELOPMENT



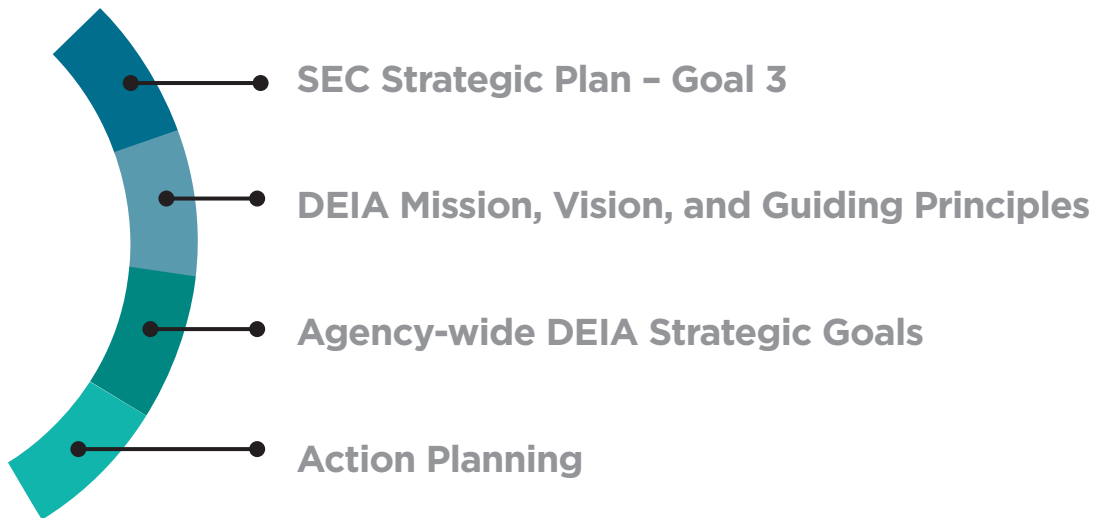
OMWI consulted multiple resources, starting with Executive Order (EO) 14035 - Diversity, Equity, Inclusion, and Accessibility in the Federal Workforce. The DEIA Strategic Plan incorporated the spirit of EO 14035, particularly with its focus on Equity and Accessibility. OMWI also researched and benchmarked other Federal government agency plans for additional guidance, and reviewed the Office of Personnel Management's (OPM) government-wide DEIA Strategic Plan.

Internally, OMWI gathered feedback from SEC stakeholders. OMWI met with Division, Office, and Regional Office Directors to discuss the SEC's strengths and opportunities for improvement in the DEIA space. OMWI relied on stakeholder feedback to identify DEIA priorities over the next four years. Lastly, OMWI held open office hours and gathered input from staff across the Commission, including from many of the Employee Affinity Group (EAG) leaders.

Embedding Diversity, Equity, Inclusion, and Accessibility at the SEC

In underscoring the interconnection between achieving the SEC’s mission and the importance of DEIA, the DEIA Strategic Plan aligns with the SEC’s Strategic Plan’s Goal of “Support[ing] a skilled workforce that is diverse, equitable, and inclusive and is fully equipped to advance agency objectives.”

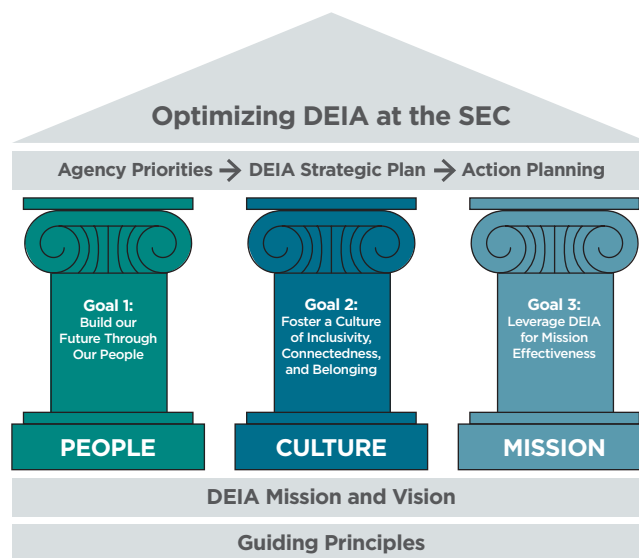
EMBEDDING DEIA AT THE SEC



Pillars, Goals, and Priorities

The DEIA Strategic Plan is structured around the three pillars of *People, Culture, and Mission*. Each pillar includes an associated “Goal” supported by “Priorities” with specified associated actions across the elements of *Diversity, Equity, Inclusion, and Accessibility*.

DEIA PILLARS AND GOALS




People: Building Our Future Through Our People

The SEC is committed to leveraging a diverse workforce with the necessary skills to fulfill our mission. We recognize that we have an opportunity to support DEIA initiatives with the appropriate resources, recruit staff with the right mix of skills and expertise to contribute to the agency's mission, identify and mitigate barriers to equitable career advancement and outcomes, and continue to innovate and include technology and processes that provide accessibility to career opportunities.

Data-Driven Approach

A key driver of the SEC's workforce diversity and workplace inclusion efforts is information learned from collecting, analyzing, and reporting data. The SEC takes a data-driven approach to advancing policies that promote workforce diversity and workplace inclusion.



The SEC maintains an interactive dashboard (Diversity Dashboard) to increase transparency, provide access to current workforce data at the SEC, and show the progress and challenges of building and sustaining a diverse workforce at the SEC. The Diversity Dashboard provides on-demand analytics for each of the SEC's divisions and offices by gender, race, ethnicity, occupations, and generations. OMWI regularly monitors the Diversity Dashboard and conducts data analytics to enhance its work with senior management as they continue to develop strategies to enhance the participation of minorities and women in mission-critical occupations.

APPLICANT DATA

Though not a precise measure of the impact of the SEC's outreach and recruitment efforts, an analysis of applicant demographic data provides OMWI with some measure of the effectiveness of diversity outreach and recruitment initiatives and insight for future areas of strategic outreach.

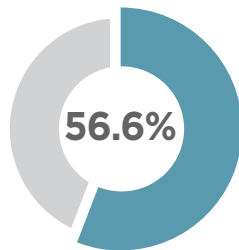
APPLICANT DATA HIGHLIGHTS



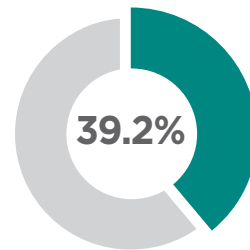
OMWI reviewed available applicant data for **mission critical occupations**

13,500+

applications reviewed for **FY 2023***



of those applicants were **Minorities**



of those applicants were **Women**

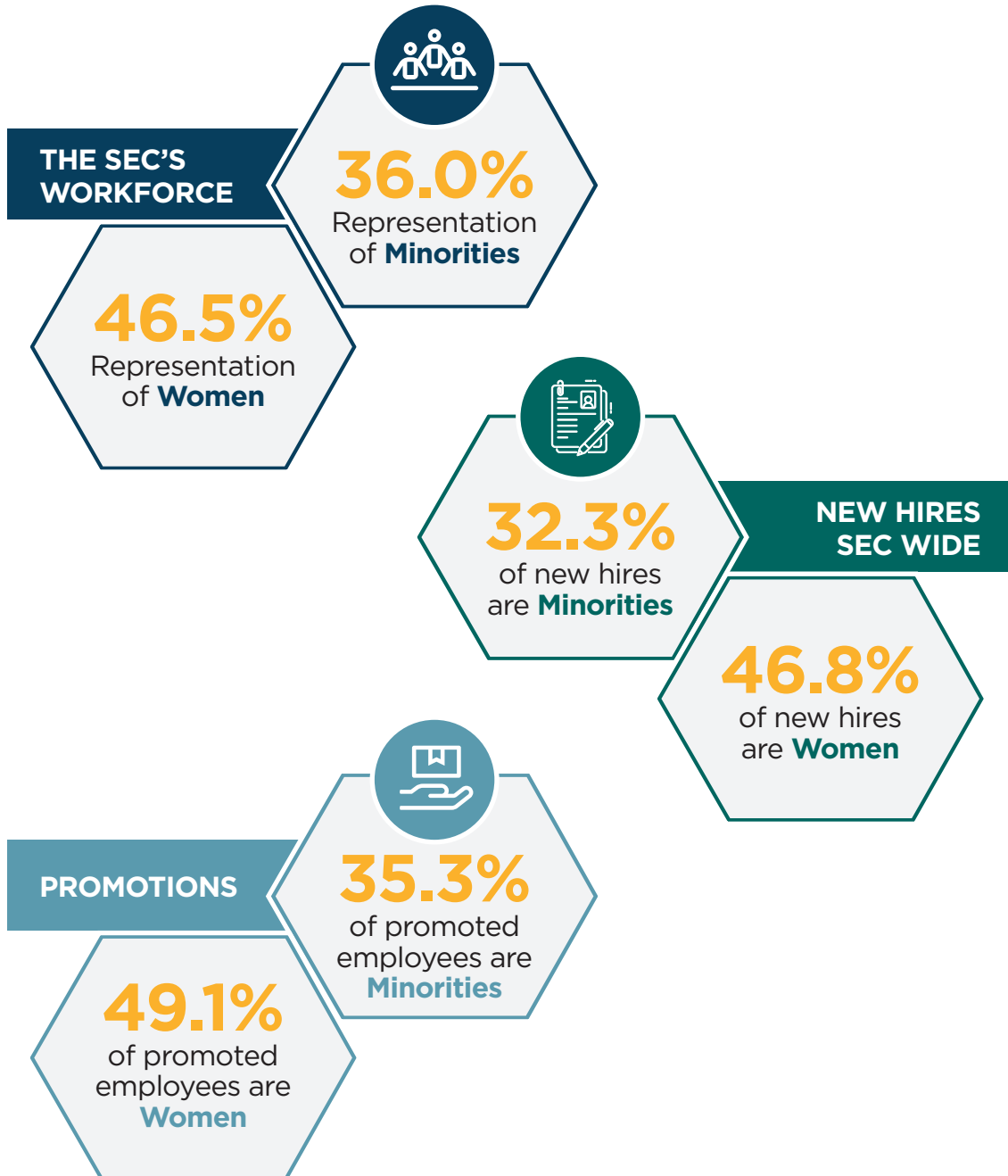
*OMWI obtained the demographic data from the Office of Personnel Management USA Staffing Tool.

Because self-identification of demographic information is voluntary, it is not possible to determine whether those who provided information have the same characteristics as those who did not.

NEW HIRES AND PROMOTIONS

While applicant demographic data provides some measure of the effectiveness of diversity outreach and recruitment initiatives, an analysis of new hires, the workforce, and promotions provides some insight into the effectiveness of programs and activities focused on building an inclusive culture.

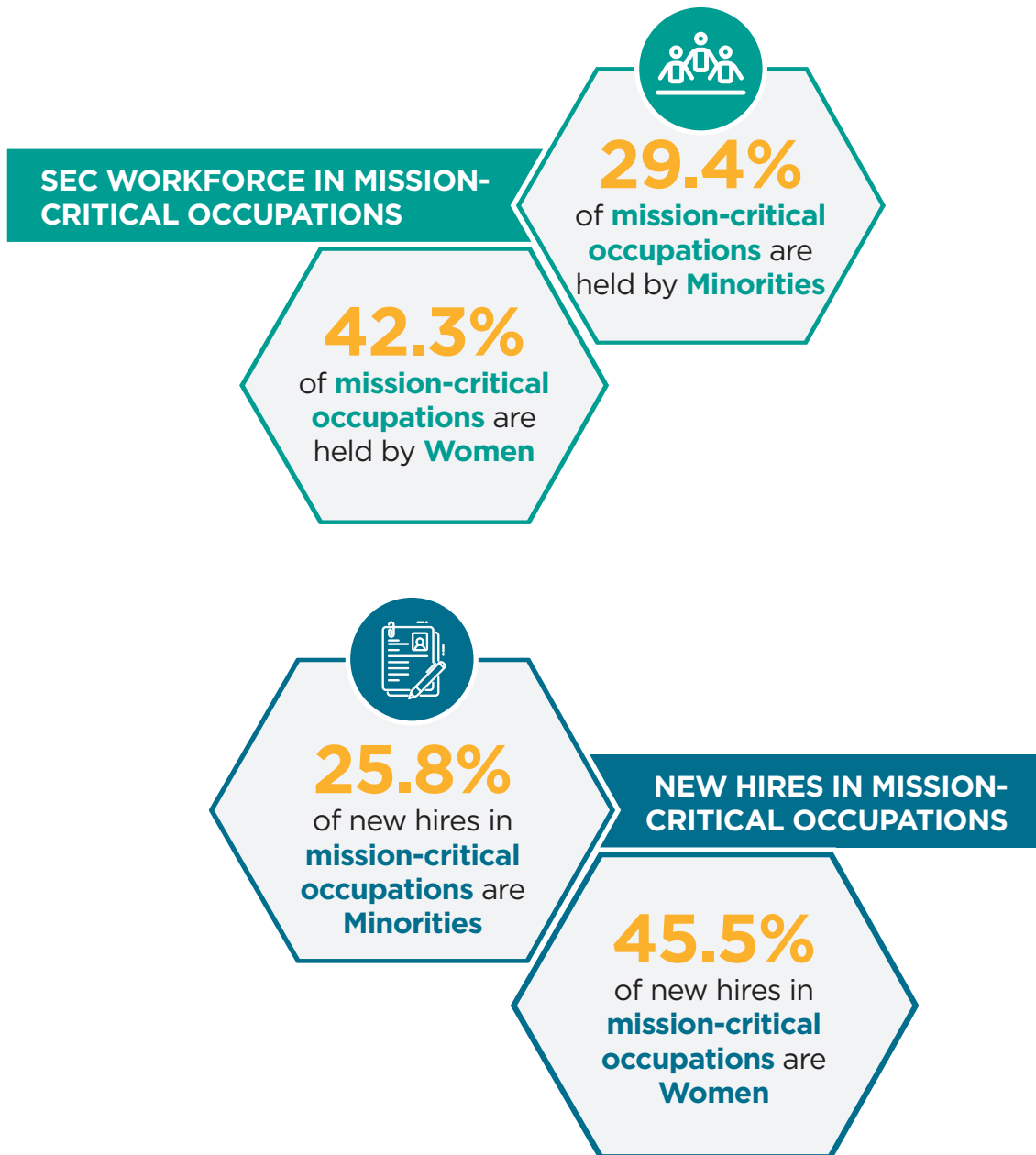
SEC FY23 WORKFORCE



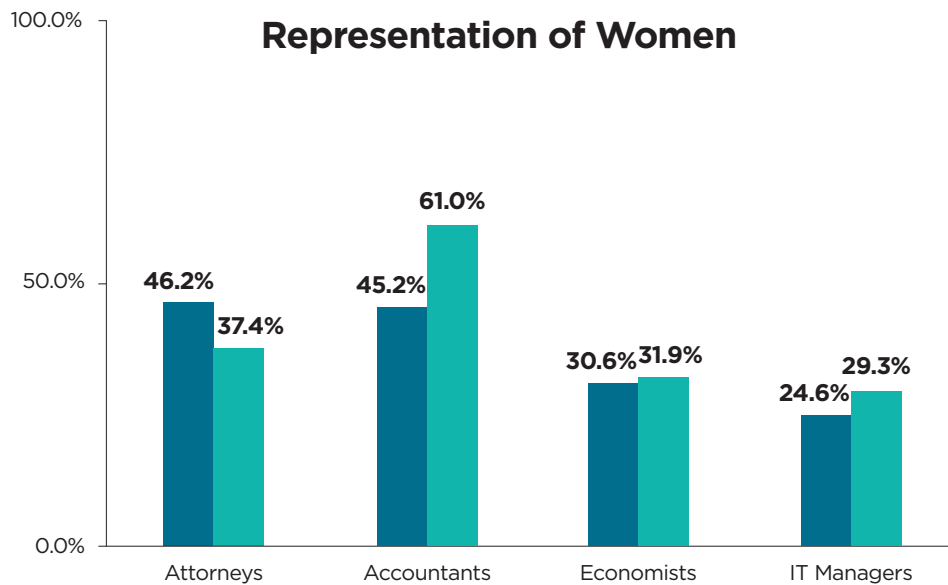
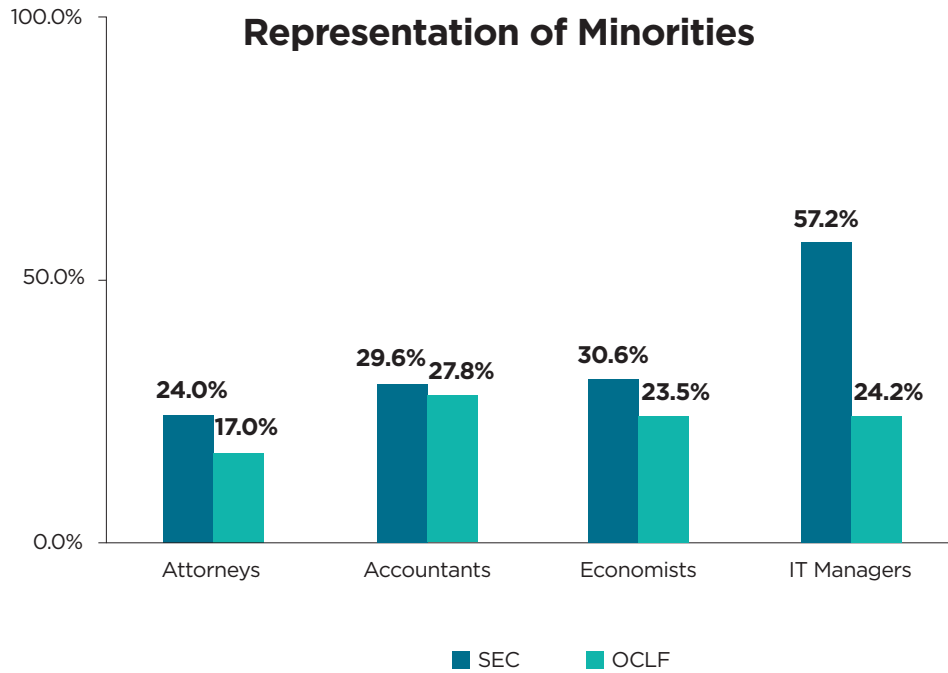
WORKFORCE IN MISSION-CRITICAL OCCUPATIONS

The SEC has largely directed outreach and recruitment efforts toward enhancing diversity in the agency's mission-critical occupations. Looking at demographic data by mission-critical occupations allows the SEC to analyze each category of mission-critical occupation compared to the availability in the Civilian Labor Force as of the end of FY 2023.

SEC FY23 WORKFORCE IN MISSION-CRITICAL OCCUPATIONS



SEC MISSION-CRITICAL OCCUPATIONS* COMPARED TO THE OCLF**



*Securities compliance examiner (1831) is a mission-critical occupation unique to the SEC. The closest occupational civilian labor force comparison, other financial specialists, is 46% women and 28% minority.

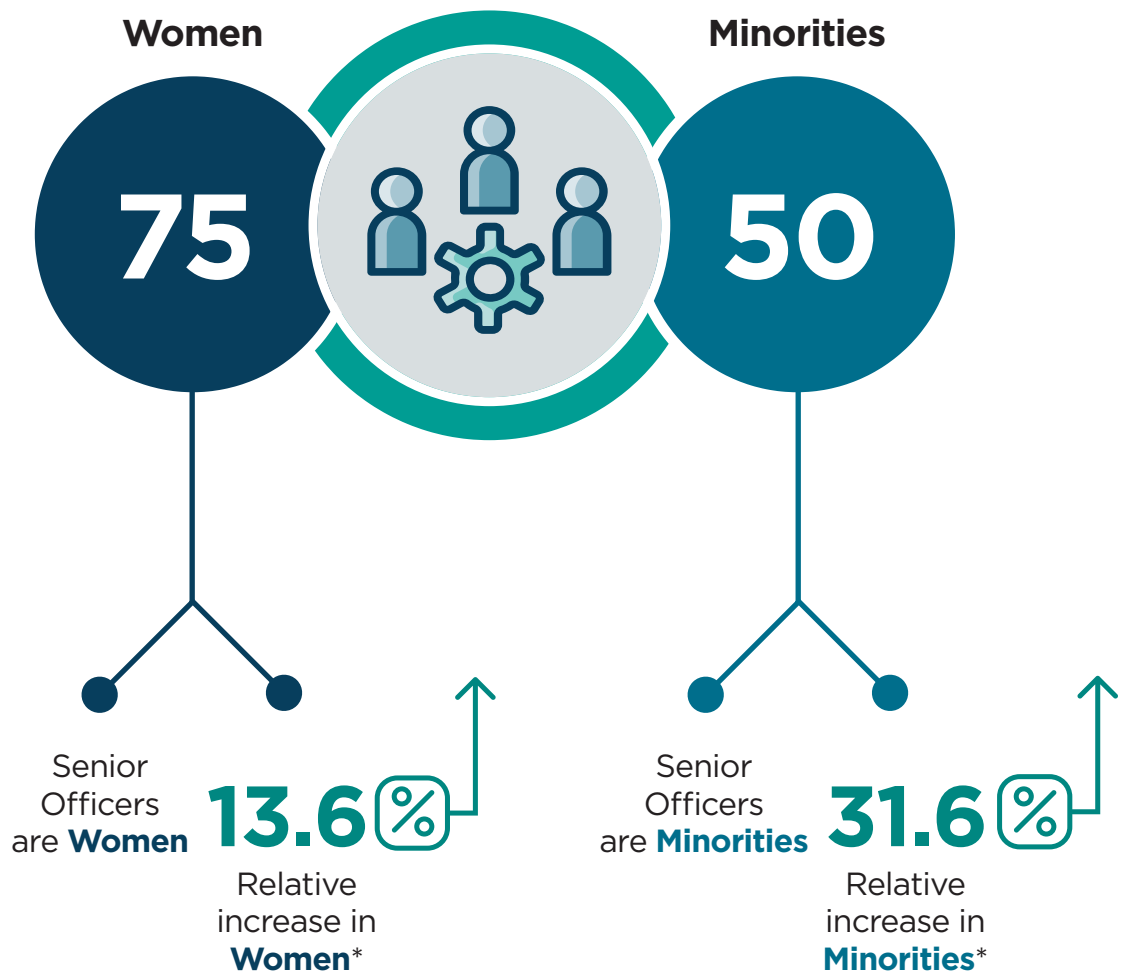
**The Civilian Labor Force includes all persons 16 years of age and over, except those in the armed forces, who are employed or who are unemployed and seeking work. CLF data are defined by the Bureau of the Census and the Bureau of Labor Statistics and are reported in the most recent decennial or mid-decade census, or current population survey, under title 13 of the United States Code or any other reliable statistical study. See 5 CFR 720.202(d). OCLF data shown are from Census 2014-2018 EEO Tabulation, Table EEO2r - Citizen.

Applicant flow data from OPM retrieved using USA Staffing on November 16, 2023. OCLF reflects the occupational CLF from Census 2014-2018 EEO Tabulation using occupational cross-classification provided by the Equal Employment Opportunity Commission.

SENIOR OFFICERS

Analyzing demographic data of the SEC's senior officers provides a snapshot of whether employees can see themselves reflected in leadership positions.

162 - TOTAL SENIOR OFFICERS



*Relative change calculates within-group change observed from FY 2022 to FY 2023

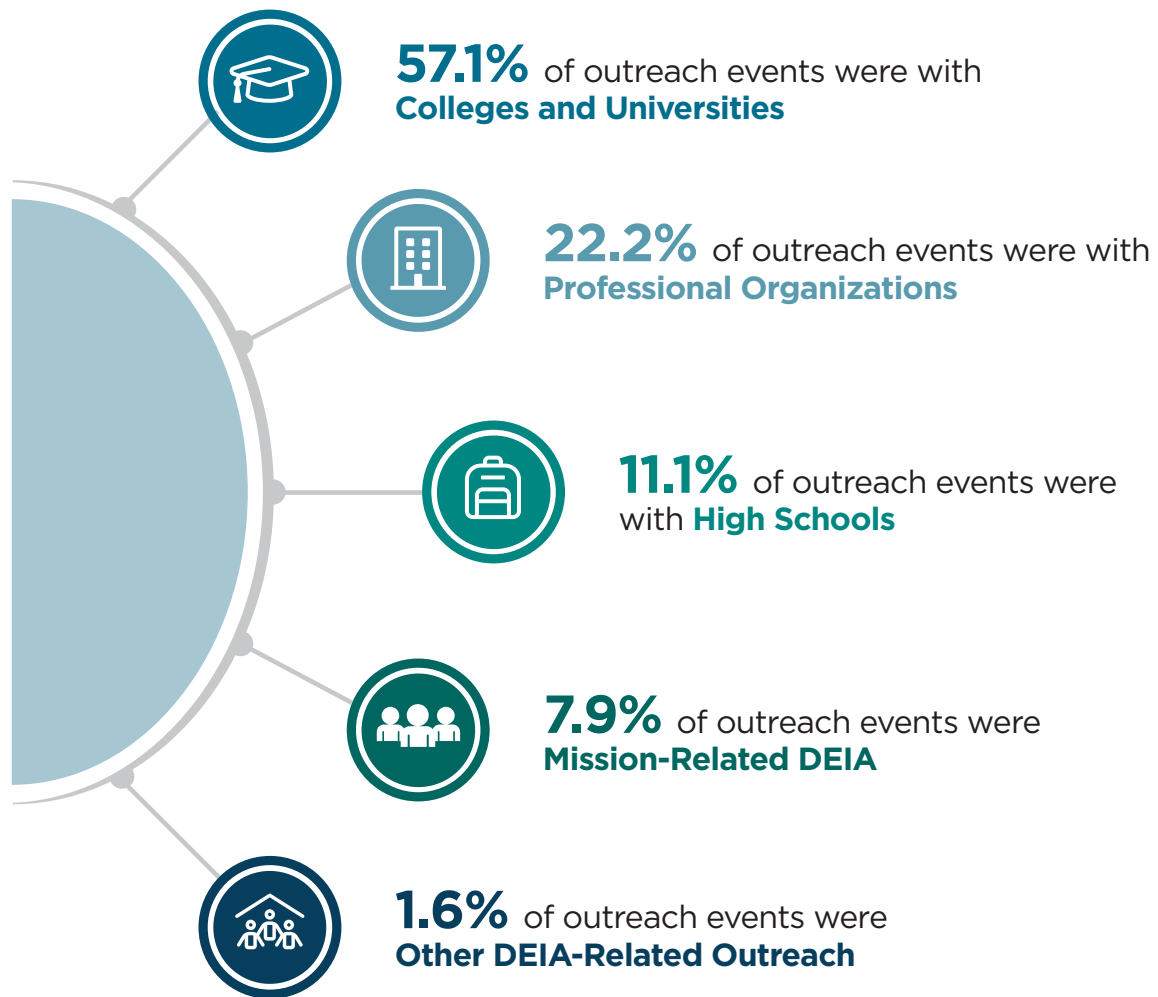
For more detailed information on workforce data, *see* Appendix A.

Outreach

OUTREACH AND RECRUITMENT EVENTS

Strategic outreach and broad recruitment continue to be the cornerstone of the SEC’s strategy for enhancing workforce diversity. As in the previous year, OMWI continued to focus on developing a more diverse applicant pool for future careers at all levels of the SEC - executives, professionals, recent graduates, and students. During FY 2023, OMWI coordinated, participated in, sponsored, or facilitated over 60 diversity outreach and recruitment events. Regional offices engaged in over 40 additional outreach and recruitment events.

OVER 60 OMWI TARGETED OUTREACH EVENTS*



*Percentages of total may not sum to 100 due to rounding.

For a list of many of these outreach and recruitment events, see Appendix B.

As an outgrowth of the relationship OMWI has cultivated with Ms. JD, a nonprofit, nonpartisan organization dedicated to the success of women in law school and the legal profession, SEC staff participated as panelists in two career events, *Creating Your Ideal Legal Career (virtual)* and *The Benefits of Diverse and Inclusive Leadership*, at Pepperdine University and addressed a combined audience of over 100.

OMWI participated in several events at colleges and universities by bringing the SEC into the classroom which provided unique opportunities for hands-on engagement and interaction with students and faculty. For example, at *Delaware State University's DEI and Career Opportunities in Wealth Management Panel Discussion*, OMWI was a panelist discussing careers at the SEC for an audience of about 50 students. Additionally, at *Morehouse College*, OMWI presented to business students on internship opportunities and SEC career information to two economics classes of about 50 students taught by Professor of Economics, Dr. Juliet Elu.

OMWI and the SEC's Office of Investor Education and Advocacy (OIEA) presented an event at Howard Dilworth Woodson High School featuring Commissioners Lizárraga and Peirce who discussed financial literacy and careers in the financial services industry with over 40 students.

Recruitment

Each year, OMWI takes proactive measures to seek diversity in the SEC's workforce at all levels through employment advertisements in written media oriented toward minorities and women, as well as other mass media communications. To further these employment advertising efforts to diverse groups, OMWI, with assistance from the Office of Human Resources (OHR), partners with SEC divisions and offices to advertise vacancy announcements to underrepresented community groups through OMWI's Diversity Network, strategic diversity job boards, and custom talent sourcing.

Recruiting staff with the right mix of skills and expertise, including those from underrecognized groups, in the SEC’s mission-critical occupations will remain a priority. In FY 2024, OMWI will train divisions and offices and provide resources for utilizing and maximizing outreach and recruitment strategies to draw from all segments of society. OMWI will also engage with divisions and offices to conduct self-assessments on their internal efforts to integrate DEIA for mission effectiveness.



For a list of OMWI's Strategic Diversity Job Boards, *see* Appendix C.

To communicate the SEC's DEIA values to job applicants, in FY 2023, OMWI created the following Diversity Statement to be included in vacancy announcements posted in USAJobs:

At the SEC, we are committed to diversity, equity, inclusion and accessibility (DEIA) and value a workforce that reflects the diverse experiences and perspectives of the communities we serve. As such, we welcome applications from qualified individuals of all backgrounds who share our commitment to public service.

A diversity statement in SEC vacancy announcements demonstrates the agency's commitment to DEIA in a manner that will encourage candidates of all backgrounds to apply, further diversifying the applicant pool.

In further support of the SEC's increased hiring efforts, and to promote a more diverse applicant pool, OMWI hosted an inaugural Diversity Career Fair for attorney opportunities at the SEC. The Diversity Career Fair featured an overview of the SEC, information about the SEC's benefits and compensation, and insight into the job duties and functions of attorney positions across five divisions and offices actively hiring attorneys. The Diversity Career Fair also provided candidates an opportunity to engage with hiring managers and staff from the various divisions and offices to network, ask questions, and learn tips for developing applications for current and future SEC attorney job openings.

Collaborative Partnerships

OMWI maintains relationships with minority- and women-focused professional associations and educational organizations to help further the SEC's workforce diversity objectives. These collaborative partnerships provide a touchpoint to help devise an effective strategy for targeted outreach and recruitment, among other benefits.

This year, OMWI also hosted its second biannual Diversity Partners Meeting since the COVID-19 pandemic. The Diversity Partners Meeting provides minority- and women-focused professional associations with an opportunity to enhance personal connections, obtain a better understanding of the work of the SEC, gain insights on how to provide input on the SEC’s rule proposals, learn about SEC employment opportunities and policies, as well as further other mutually shared goals, including enhancing the representation and participation of underrecognized groups in the financial services industry.

OMWI ENGAGEMENT ORGANIZATIONS



For a list of minority- and women-focused professional associations and educational organizations with whom OMWI engaged, see Appendix D.

Consultations with SEC Divisions/Offices

OMWI offers analytics consultations to agency, division, and office leadership to ensure the organization has accurate and relevant information on the state of workforce diversity, enabling stakeholders to assess progress on diversity in the workplace and to formulate plans and goals for diversity outreach and workforce development. Consultations often include analysis and review of an organization's diversity metrics with a division or office director and provide opportunities for program evaluation or inquiry. The primary impact of these consultations is generally to move stakeholders to greater clarity on progress and opportunities in the DEIA space using quantitative analysis. Through consultation, OMWI also continues to help educate stakeholders on how diversity is measured and share resources, like the SEC's Diversity Dashboard, which provide high-level diversity statistics.



Culture: Fostering a Culture of Inclusivity and Connectedness

At the SEC, we strive to create an environment where all employees feel respected, safe to speak up, and encouraged to grow. Ultimately, these foundational attributes help to fuel motivation at work, support our customers and communities, and foster a culture of inclusivity, connectedness and belonging.

Inclusion as a Shared Responsibility

The SEC continued to foster a culture of inclusivity and connectedness across the agency. The SEC recognizes that meaningful and sustained progress in furtherance of this goal is an individual and collective responsibility, and that accountability helps propel action. SEC divisions and offices are key stakeholders in setting the tone and creating an environment where all employees feel respected, safe, and encouraged to grow.


DEIA ASSESSMENT PROGRAM

In FY 2023, OMWI continued to increase transparency and accountability for DEIA by further developing its DEIA Assessment Program. Unlike agency-level assessments, the SEC's DEIA Assessment Program evaluates DEIA efforts of divisions/offices, catalyzing DEIA-related action from an organizational level. Throughout the FY 2022 pilot, divisions/offices formed cross-collaborative teams, establishing more connected cultures. As a result of feedback received from the pilot, in FY 2023, OMWI revised the DEIA Assessment Program to include: an assessment tool, a five-level Maturity Model, and actionable and strategic recommendations to advance each participating division's/office's progress in the DEIA space. Additionally, OMWI partnered with the SEC's Office of Information Technology (OIT) and developed a plan to automate certain aspects of the DEIA Assessment Program, which will address time constraint challenges identified by the pilot organizations. OMWI plans to roll out the automated DEIA Assessment Program agency-wide in FY 2024. The intended outcome of the DEIA Assessment Program is an agency-wide understanding of DEIA's shared responsibility, increased engagement, and sustainability of DEIA throughout the SEC.


DIVISION AND OFFICE ACTION PLANNING

The DEIA Strategic Plan requires divisions and offices to “*develop and implement an organizational DEIA Action Plan, in partnership with OMWI, to promote increased diversity in the workforce and inclusionary practices, such as mission-related policies and practices.*” Recognizing that meaningful and sustained progress is an individual and collective responsibility, organizational Action Plans not only demonstrate commitment, shared responsibility, and accountability for DEIA, they also provide a roadmap for the DEIA initiatives divisions and offices will prioritize and how success of those priorities will be measured. In FY 2024, OMWI will begin consulting with divisions and offices to aid in the development, implementation and monitoring of the respective DEIA Action Plans.


DEIA ASSESSMENT PROGRAM PILOT FEEDBACK



The DEIA Assessment Program pilot allowed us the opportunity to interact with and be exposed to the perspectives of others in our organization that we do not typically have the opportunity to work with.



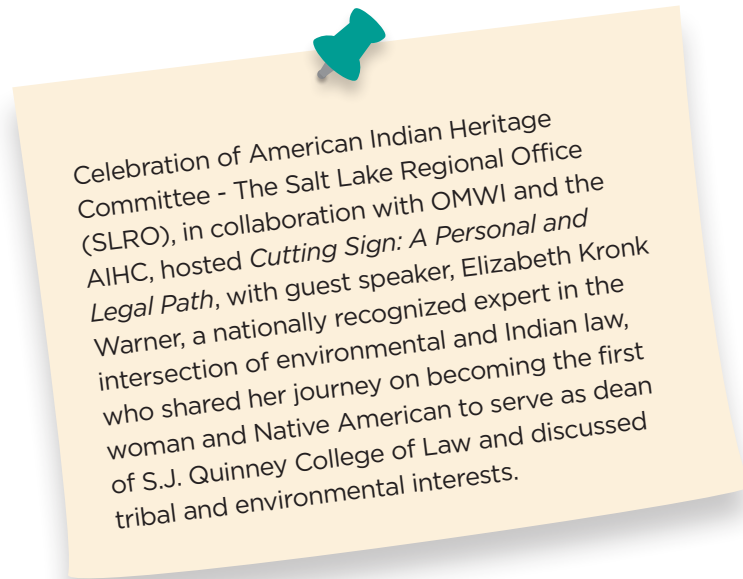
We appreciated the consultative approach of the DEIA Assessment Program pilot.



Our knowledge and understanding of DEIA have been broadened as a result of our involvement in the DEIA Assessment Program pilot.

Employee Engagement

SEC EAGs have been instrumental in helping to cultivate a workplace culture that attracts diverse talent and encourages employee engagement and retention. In FY 2023, nine EAGs were active at the SEC: African American Council (AAC); American Indian Heritage Committee (AIHC); Asian American and Pacific Islander Committee (AAPIC); Caribbean American Heritage Committee (CAHC); Disability Interests Advisory Committee (DIAC); Hispanic and Latino Opportunity, Leadership, and Advocacy Committee (HALO); Pride Alliance³; Veterans Committee; and Women's Committee.⁴ EAGs foster inclusion at the SEC by providing educational, cultural, and networking opportunities to interested SEC employees; sponsoring cultural and educational programs; and supporting DEIA-related efforts. Moreover, the SEC leverages the diversity of the EAG members to support its mission to protect investors, as well as to support its outreach and recruitment efforts.⁵ In FY 2023, EAGs helped to plan, coordinate, and conduct approximately 60 SEC-sponsored programs and activities to commemorate Special Observance heritage or awareness months.



EAG AND REGIONAL SEC-WIDE INCLUSION EVENTS

29



Events were
SPECIAL OBSERVANCES

31



Events were
OTHER DEIA EVENTS

Observances Celebrated
Black History Month
Women's History Month
Asian American and Pacific Islander Heritage Month
Memorial Day
Caribbean American Heritage Month
LGBTQ+ Month
Hispanic Heritage Month
National Disability Employment Awareness Month (NDEAM)
National Coming Out Day
Native American Heritage Month
Veterans Day

HIGHLIGHTED EVENTS

<p>Latinx Venture Capitalists and Entrepreneurs: <i>The State of the Playing Field</i></p>	<p><i>Cutting Sign: A Personal and Legal Path</i> featuring Elizabeth Kronk Warner hosted by SLRO, AIHC, and OMWI</p>	<p><i>Black History Month Signature Event</i> featuring Erica Williams of the PCAOB</p>
<p><i>National Disability Employment Awareness Month Celebration</i> featuring Haley Moss</p>	<p><i>A Conversation with Our Veterans About Service</i> featuring Commissioner Crenshaw</p>	<p><i>Memorial Day Commemoration Event</i> featuring Col. N'Keilba Estelle</p>
<p><i>Caribbean American Heritage Month Signature Event</i> featuring Karen Andre of the Consumer Financial Protection Bureau</p>	<p>National Coming Out Day: <i>Sharing Our Stories With Pride Alliance</i></p>	<p><i>Pride Month Event</i> featuring Judge Beth Robinson hosted by LARO</p>
<p><i>The Importance of Tribal Consultation</i> featuring Joel West Williams of the U.S. Dept. of the Interior</p>	<p><i>A Conversation With Women Who Lead SEC Regional Offices</i> hosted by CHRO</p>	<p><i>AANHPI Signature Event</i> featuring Congressman Andy Kim (3rd Congressional District)</p>

For a list of many of these programs and activities, see Appendix E.

Additionally, OMWI held the EAG Inaugural Summit for leaders and members of the agency's EAGs to examine the valuable role that EAGs play in promoting the agency's mission effectiveness, inspire leaders and EAG members to continue this critical work and discuss ways to encourage the SEC's workforce to engage with EAGs. Chair Gensler provided opening remarks for the event demonstrating SEC leadership's shared belief on the importance of EAGs.



Professional Development

Providing employees with mentorship and professional development opportunities helps foster a sense of belonging which, in turn, may empower employees to feel invested in reaching the agency's mission, increase retention, and cultivate a connected culture.

MENTORSHIP

The SEC Mentoring Program focuses on professional development, collaboration across divisions and offices, expanded employee networks, and leadership opportunities. The SEC Mentoring Program offers valuable professional development and networking opportunities for SEC staff, leveraging the experiences of, and feedback from, past participants. The SEC Mentoring Program is open to all SEC employees who have at least one year of service at the SEC. This year, five slots were reserved for Persons with Disabilities. An additional 12 slots were delegated to the Division of Enforcement's Diversity Council who nominated diverse candidates, including Persons with Disabilities.

LEADERSHIP DEVELOPMENT

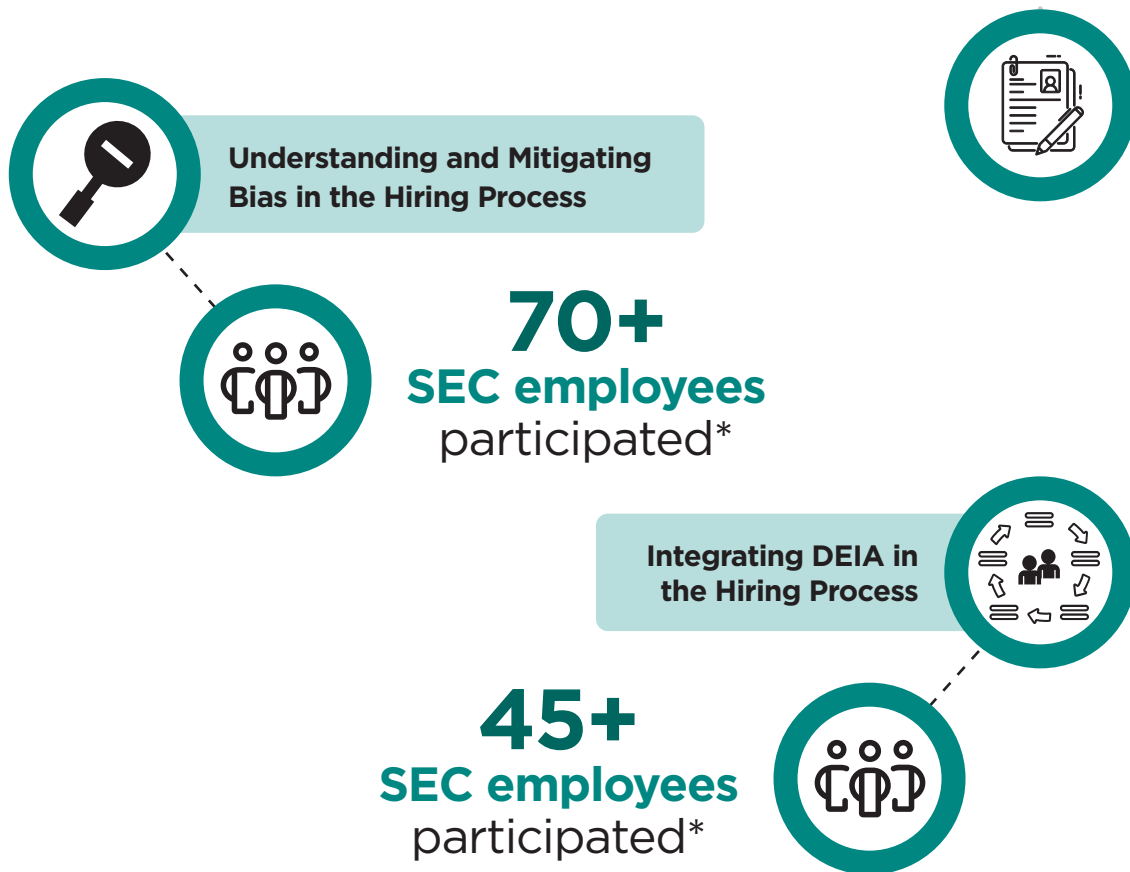
The SEC provides employees with numerous opportunities to acquire the skills and certifications needed to succeed in their positions and progress in their careers. SEC University (SECU) offers classroom-style and e-Learning programs in technical areas. The SEC also supports participation in career and leadership development programs, such as the *Excellence in Government Fellows*, *Aspiring Leaders*, *Upward Mobility*, *Connections Opportunities Relationships Equity*, and the *Leadership Evaluation, Accession & Development (LEAD) Program*.

Training

Making diversity and inclusion training readily available to managers and employees continues to be a key element of OMWI's strategy for building and maintaining a diverse workforce and fostering an inclusive workplace. OMWI works closely with SECU, a component of OHR, to offer on-demand, web-based courses, as well as virtual classroom training, related to diversity and inclusion throughout the year. Diversity and inclusion trainings underscore the SEC's continued commitment to promote equity through education that includes identifying and addressing barriers to equity.

In response to the SEC's anticipated hiring activity, OMWI provided focused training on DEIA in the hiring process. *Understanding and Mitigating Bias in the Hiring Process* was an OMWI-led training that focused on understanding unconscious bias and explored common biases that may arise during the hiring process, as well as strategies to help mitigate such biases. *Integrating DEIA in the Hiring Process* was another OMWI-led training that examined the hiring process and practices, discussed how to leverage outreach tools and hiring resources, and shared inclusive practices for consideration.

NEW TRAININGS CREATED BY OMWI IN ANTICIPATION OF HIRING EFFORTS



*Training focused on the hiring process and was primarily intended for the limited audience of managers and supervisors involved in the hiring process.

Mission: Leveraging DEIA for Mission Effectiveness

Leveraging DEIA is a strategic business priority that enables us to better protect investors, facilitate capital formation, and maintain fair, orderly, and efficient markets. By embedding DEIA into all aspects of the SEC, we are better situated to effectively meet the current and future needs of a changing—and increasingly diverse—world.

Supplier Diversity

The SEC actively embraces the principle that establishing and maintaining a diverse supplier base maximizes the SEC's ability to procure the best goods and services to meet its contracting needs. Under the Dodd-Frank Act, OMWI helps promote the increased utilization of Minority- and Women-Owned Businesses (MWOBs) in its business activities. OMWI works closely with the Office of Acquisitions (OA), which is responsible for all SEC contracting activities. The SEC follows the Federal Acquisition Regulation (FAR), which provides set-aside requirements for specific categories of small businesses under certain conditions.⁶ This allows the SEC to increase opportunities for MWOBs that are small businesses to compete for contracts through set-asides for 8(a) participants, women-owned small businesses, economically-disadvantaged women-owned small businesses, HUBZone small businesses and service-disabled veteran-owned small businesses. OMWI also focuses on promoting the use of MWOBs through matchmaking and outreach activities.

As discussed in more detail below, the data show:

- » Of \$613.3 million paid to vendors in FY 2023, \$271.4 million or 44 percent was paid to MWOBs.
- » Of the \$701.9 million in SEC contract actions in FY 2023, \$238.6 million or 34 percent of SEC contract dollars were to MWOBs.

MATCHMAKING AND OUTREACH

OMWI participates in external business networking events and procurement matchmaking sessions to increase the interaction between MWOBs and the SEC. In FY 2023, OMWI engaged with hundreds of potential suppliers through its participation in 14 business conferences and outreach events. For a list of FY 2023 Supplier Diversity Conferences and Outreach Events, see Appendix F.

OMWI and OA continued to jointly host monthly Vendor Outreach Day (VOD) sessions. These VOD sessions provided MWOBs and small businesses with an individualized opportunity to learn about the SEC's contracting needs, present their business capabilities to key SEC personnel, and ask questions about the SEC's procurement processes. To better assess the effectiveness of VODs, OA and OMWI coordinated to develop a follow-up questionnaire to companies who participate in VOD sessions. The questionnaire provides an opportunity for companies to share feedback from the VOD sessions to SEC officials to help gauge the VOD sessions' effectiveness. In FY 2024, OMWI and OA will begin collecting and analyzing feedback from companies who participated in VOD sessions for program effectiveness.



47
Businesses
participated in
VOD SESSIONS



24
Businesses
were
MWOBS

PERFORMANCE METRICS

Vendor Payments⁷

Table 1 shows the total number of socioeconomically identifiable⁸ vendors and the number and percentage of those vendors identified as MWOBs receiving payments from FY 2019 to FY 2023. In each fiscal year since FY 2019, over a quarter of firms receiving SEC payments have been classified as MWOBs. Of the 336 firms receiving payments in FY 2023, 92 firms or 27.4 percent were MWOBs. Non-minority women-owned businesses (i.e., women-owned firms without minority designations) represented 7.7 percent of the firms receiving payments in FY 2023.⁹ Hispanic-owned businesses represented 4.8 percent of the firms receiving payments in FY 2023.

Table 1. Vendors Receiving Payments from SEC, FY 2019 – FY 2023

	FY 2019		FY 2020		FY 2021		FY 2022		FY 2023	
SEC Total	398	100.0%	382	100.0%	389	100.0%	364	100.0%	336	100.0%
Total MWOBs	117	29.4%	117	30.6%	121	31.1%	95	26.1%	92	27.4%
American Indian / Alaska Native	7	1.8%	6	1.6%	6	1.5%	5	1.4%	5	1.5%
Asian	34	8.5%	33	8.6%	41	10.5%	28	7.7%	29	8.6%
Black	21	5.3%	25	6.5%	20	5.1%	14	3.8%	12	3.6%
Hispanic	17	4.3%	15	3.9%	15	3.9%	15	4.1%	16	4.8%
Other Minority	5	1.3%	7	1.8%	5	1.3%	4	1.1%	4	1.2%
Non-Minority Women	33	8.3%	31	8.1%	34	8.7%	29	8.0%	26	7.7%
All Other Firms	281	70.6%	265	69.4%	268	68.9%	269	73.9%	244	72.6%

Source: Payment data from Delphi, retrieved on December 5, 2023. Business designation retrieved from Sam.gov award records. Not all entities receiving payments can be linked to a business designation – these payments are excluded from this analysis. Vendor count uses distinct count of Supplier Number. “Non-minority Women” include women-owned businesses without minority designations.

Table 2 shows SEC total vendor payments and the payments made to MWOBs in each fiscal year since FY 2019. Of \$613.3 million paid to vendors in FY 2023, \$271.4 million or 44 percent was paid to MWOBs. The percentage of the SEC total vendor payments to MWOBs increased by nearly 4 percentage points from FY 2022 to FY 2023.

Table 2. Contract Payments by MWOB Category FY 2019 – FY 2023 (Amount in Millions)

	FY 2019		FY 2020		FY 2021		FY 2022		FY 2023	
SEC Total	\$424.8	100.0%	\$470.6	100.0%	\$500.9	100.0%	\$565.9	100.0%	\$613.3	100.0%
Total MWOBs	\$143.0	33.7%	\$146.9	31.2%	\$184.8	36.9%	\$228.7	40.4%	\$271.4	44.3%
American Indian / Alaska Native	\$14.3	3.4%	\$15.3	3.2%	\$36.2	7.2%	\$47.2	8.3%	\$46.9	7.7%
Asian	\$66.1	15.6%	\$66.4	14.1%	\$61.1	12.2%	\$71.0	12.5%	\$91.5	14.9%
Black	\$9.6	2.3%	\$11.7	2.5%	\$8.2	1.6%	\$7.5	1.3%	\$7.2	1.2%
Hispanic	\$19.4	4.6%	\$20.5	4.4%	\$16.6	3.3%	\$24.9	4.4%	\$26.8	4.4%
Other Minority	\$9.8	2.3%	\$8.3	1.8%	\$10.2	2.0%	\$13.8	2.4%	\$23.1	3.8%
Non-Minority Women	\$23.8	5.6%	\$24.7	5.3%	\$52.6	10.5%	\$64.2	11.4%	\$75.8	12.4%
All Other Firms	\$281.8	66.3%	\$323.7	68.8%	\$316.1	63.1%	\$337.2	59.6%	\$341.9	55.7%

Source: Payment data from Delphi, retrieved on December 5, 2023. Business designation retrieved from Sam.gov award records. Not all entities receiving payments can be linked to a business designation – these payments are excluded from this analysis. “Non-minority Women” include women-owned businesses without minority designations.

Contract Actions¹⁰

Table 3 shows the net dollar value of contract actions to MWOBs in each fiscal year since FY 2019, and the percentage of SEC contract dollars to MWOBs by socioeconomic designation. Of the \$701.9 million in SEC contract actions in FY 2023, \$238.6 million or 34 percent of SEC contract dollars were to MWOBs. Contract actions to minority-owned businesses represented 27.7 percent (\$194.3 million) of SEC contract actions and actions to women-owned businesses represented 9.7 percent (\$68.3 million).

Table 3. SEC Contract Actions Net Obligations FY 2019 – FY 2023

	FY 2019		FY 2020		FY 2021		FY 2022		FY 2023	
SEC Total	\$460.6	100.0%	\$521.5	100.0%	\$550.0	100.0%	\$558.6	100.0%	\$701.9	100.0%
Total MWOBs	\$131.1	28.5%	\$172.2	33.0%	\$210.4	38.3%	\$215.4	38.6%	\$238.6	34.0%
Women Owned	\$51.3	11.1%	\$72.5	13.9%	\$70.7	12.8%	\$50.4	9.0%	\$68.3	9.7%
Minority Owned	\$110.5	24.0%	\$125.1	24.0%	\$155.5	28.3%	\$182.6	32.7%	\$194.3	27.7%
American Indian / Alaska Native	\$13.2	2.9%	\$35.5	6.8%	\$42.7	7.8%	\$43.5	7.8%	\$58.5	8.3%
Asian	\$66.6	14.5%	\$65.0	12.5%	\$75.5	13.7%	\$84.8	15.2%	\$89.0	12.7%
Black	\$12.5	2.7%	\$6.1	1.2%	\$4.2	0.8%	\$5.5	1.0%	\$6.1	0.9%
Hispanic	\$15.2	3.3%	\$10.8	2.1%	\$25.4	4.6%	\$27.3	4.9%	\$20.6	2.9%
Other Minority	\$3.0	0.7%	\$7.6	1.5%	\$7.7	1.4%	\$21.5	3.9%	\$20.1	2.9%

Source: Sam.gov retrieved on December 21, 2023. Women-Owned businesses include all firms designated as women-owned irrespective of minority-owned designation. Minority-Owned businesses include all firms designated as minority-owned irrespective of women-owned designation. “Other Minority” category includes minority-owned businesses with more than one race designation and minority-owned businesses with an “other” designation in Sam.gov.

Major Contract Award Categories

Table 4 shows the distribution of SEC contract awards by the top 10 NAICS industry categories by net obligations for FY 2023. The largest percentage of SEC contract dollars was awarded in the NAICS category of Computer Systems Design and Related Services (5415), followed by Management, Scientific, and Technical Consulting Services (5416). MWOBs were awarded 28.5 percent of dollars in Computer Systems Design and Related Services and 64.6 percent in Management, Scientific, and Technical Consulting Services. In the SEC's third largest NAICS Category by obligations, Computing Infrastructure Providers, Data Processing, Web Hosting, and Related Services (5182), MWOBs were awarded \$28.0 million of the \$32.9 million total, or 85.2 percent of award value in the category.

Table 4. SEC and MWOBs Contract Amount by NAICS Category (Amount in Millions)

NAICS Category	Description	Total SEC	All Other Firms	MWOBs	MWOB % of category
5415	Computer Systems Design and Related Services	\$461.3	\$330.0	\$131.3	28.5%
5416	Management, Scientific, and Technical Consulting Services	\$73.8	\$26.1	\$47.7	64.6%
5182	Computing Infrastructure Providers, Data Processing, Web Hosting, and Related Services	\$32.9	\$4.9	\$28.0	85.2%
5171	Wired and Wireless Telecommunications (except Satellite)	\$19.8	\$19.8	\$0.0	0.0%
5191	Other Information Services	\$16.0	\$15.4	\$0.6	3.7%
5419	Other Professional, Scientific, and Technical Services	\$15.6	\$14.5	\$1.1	6.8%
5616	Investigation and Security Services	\$14.7	\$3.2	\$11.5	78.2%
5192	Web Search Portals, Libraries, Archives, and Other Information Services	\$9.3	\$9.2	\$0.0	0.5%
5241	Insurance Carriers	\$9.0	\$9.0	\$0.0	0.0%
3341	Computer and Peripheral Equipment Manufacturing	\$7.9	\$0.0	\$7.9	100.0%
All Other Categories	All Other Categories	\$41.7	\$31.1	\$10.6	25.3%

Source: sam.gov retrieved on December 21, 2023.

Next year, OMWI will continue to work with OA to increase the utilization of MWOBs. OMWI and OA have begun providing surveys to vendors who participate in VODs. In FY 2024, OMWI and OA will evaluate survey results for program effectiveness.

CONTRACTOR WORKFORCE INCLUSION: GOOD FAITH EFFORT REVIEWS

To implement the requirements of the Dodd-Frank Act related to the workforce diversity of agency contractors, the SEC includes its Contract Standard for Contractor Workforce Inclusion (Contract Standard) in all eligible solicitations and contracts and subcontracts for services with a dollar value of \$100,000 or more. The Contract Standard requires the service contractor, upon entering into a contract with the SEC, to confirm it will ensure, to the maximum extent possible and consistent with applicable law, the fair inclusion of minorities and women in its workforce. OMWI conducts post-award reviews, referred to as “Good Faith Effort Reviews” (GFE Reviews), to determine whether contractors have complied with the requirements of the Contract Standard to make good faith efforts to ensure workforce inclusion of minorities and women. In FY 2023, OMWI conducted GFE Reviews on a total of 18 contractors. Of the GFE Reviews conducted, OMWI identified EEO job categories for focus areas of diversity efforts in 6 of the reviews. The identified focus areas for diversity efforts were shared with the contractors to assist in their future diversity-focused efforts.

Embedding Diversity in the SEC’s Mission


MISSION-RELATED DIVERSITY ACTIVITIES

OMWI remained focused on leveraging diversity and inclusion for mission effectiveness. In FY 2023, OMWI collaborated with divisions and offices on programming related to mission work such as SEC in the Classroom programs and programs focused on SEC mission priorities, such as compliance workshops, to discuss the importance of DEIA.

The SEC also prioritized including diverse perspectives in implementing the SEC’s core mission work. In furthering this priority, OMWI facilitated opportunities for underrecognized groups’ perspectives to be considered in rule-making and regulatory policy considerations. This included opportunities for underrecognized groups to serve on SEC Advisory Committees and Task Forces. In FY 2023, OMWI continued to work with the SEC’s independent advisory committees to enhance mission effectiveness by working to ensure diverse representation and perspectives. For example, OMWI assisted with the efforts to fill open committee vacancies on the Small Business Capital Formation Advisory Committee.

PROMOTING THE IMPORTANCE OF DEIA IN THE FINANCIAL SERVICES INDUSTRY

In FY 2023, OMWI continued to connect with stakeholders through outreach focused on the mission-critical nature of the SEC’s work, the importance of including diverse perspectives in its activities, and promoting DEIA in the financial services industry.



To celebrate the SEC's OMWI surpassing its 10-year milestone, the SEC Historical Society and Howard University School of Law hosted a panel featuring OMWI and former SEC Chairs Mary Schapiro, Mary Jo White, and Jay Clayton where they discussed the impact and importance of DEIA in the SEC's mission work.

OMWI participated on a panel discussing the work and recommendations of the SEC's Asset Management Advisory Committee at the National Association of Securities Professionals Diverse Asset Managers Conference.

OMWI participated in an OMWI Directors Panel discussing DEIA issues in the financial services industry at the National Association of Black Accountants Annual Conference.

PROMOTING DEIA WITH THE SEC'S REGULATED ENTITIES

The Dodd-Frank Act requires the OMWI Director to assess the diversity policies and practices of entities regulated by the SEC. In January 2018, the SEC developed a form called the "Diversity Assessment Report for Entities Regulated by the SEC" (SEC DAR Form) to complement the *Joint Standards for Assessing Diversity Policies and Practices of Entities Regulated by the Agencies* (Joint Standards) issued by the SEC and five other financial regulatory agencies¹¹ in June 2015.¹² The SEC DAR Form was designed, in part, to: (1) help guide a regulated entity's self-assessment of its diversity policies and practices using the Joint Standards; and (2) provide the regulated entity with a template for submitting diversity assessment information to the OMWI Director at the SEC. In an effort to increase submissions, OMWI shortened the SEC DAR Form (now the Diversity Self-Assessment Tool). OMWI will be inviting SEC regulated entities to engage in, and submit, voluntary self-assessments of their diversity policies and practices in FY 2024. OMWI will continue efforts to increase the number of self-assessment submissions through enhanced engagements with the SEC's regulated entities.

Appendix A

Workforce Demographics

DATA SOURCES AND METHODS

OMWI accesses applicant and workforce data directly, performing its own extraction and analysis. Unless noted otherwise, the SEC-specific personnel information in this section was sourced directly from the Office of Personnel Management (OPM) USA Staffing® Applicant Flow Data Warehouse [applicant data] or the Federal Processing and Payroll System (FPPS) via the Interior Business Center (IBC) Datamart, administered by the U.S. Department of the Interior [workforce data]. SEC applicants and employees are asked to voluntarily self-identify their gender, ethnicity and race, and disability status. Other data, including Veteran Status and employment-related information and actions, is maintained by Federal agency personnel. SEC employees may provide or adjust their demographic self-identification using Employee Express at any time while employed.

OMWI reports information on both permanent and temporary employees, excluding student interns and any re-employed annuitants. Comparison information for the U.S. government workforce is obtained from OPM's FedScope and occupational Civilian Labor Force is obtained from the U.S. Census Bureau's 2014-2018 EEO Tabulation, Table EEO2r – Citizen. The Citizen table is employed for comparison because U.S. citizenship is a requirement to be eligible for employment at the SEC.

Reported information for fiscal year 2023 is as of the data obtained on November 16, 2023. Fiscal year 2022 and fiscal year 2021 information are carried forward from prior year OMWI Annual Reports for consistency, though workforce information regularly changes as employees change self-identification or personnel transactions are processed having effective dates within earlier reporting periods.

In the tables/figures that follow, "All Other" includes the Native Hawaiian or Other Pacific Islander, American Indian or Alaskan Native, and Two or More Races categories, as well as individuals who have not self-identified. In some cases, percentages of totals may not sum to 100 due to rounding.

APPLICANT DATA ANALYSIS

Though not a precise measure of the impact of the SEC’s outreach and recruitment efforts, applicant demographic data enables some measure of the effectiveness of diversity outreach and recruitment initiatives and insight for future areas of strategic outreach. OMWI reviewed available applicant data for 13,558 applications submitted for FY 2023 vacancies in the agency’s five mission-critical occupations – attorney, accountant, economist, securities compliance examiner, and IT management; 10,894 (80.4 percent) of those applications were from applicants who voluntarily disclosed race and ethnicity and 11,076 (81.7 percent) voluntarily disclosed gender in their USAJOBS applicant profiles. Self-identification of demographic information is voluntary, so it is not possible to determine whether those who provided information have the same characteristics as those who did not, so caution is warranted when inferring conclusions about the application rates of demographic groups.

Table A1 shows application data from applicants for mission-critical occupations who self-identified their gender, race, and ethnicity. In FY 2023, the representation of Black, Hispanic, and Asian individuals among applicants for each mission-critical occupation was higher than corresponding representation in the same occupations in the Civilian Labor Force (CLF). The representation of women among FY 2023 applications for attorney was higher than corresponding representation in the CLF. The representation of women among FY 2023 applications for accountant, economist, securities compliance examiner, and IT management was lower than their representation in the CLF.

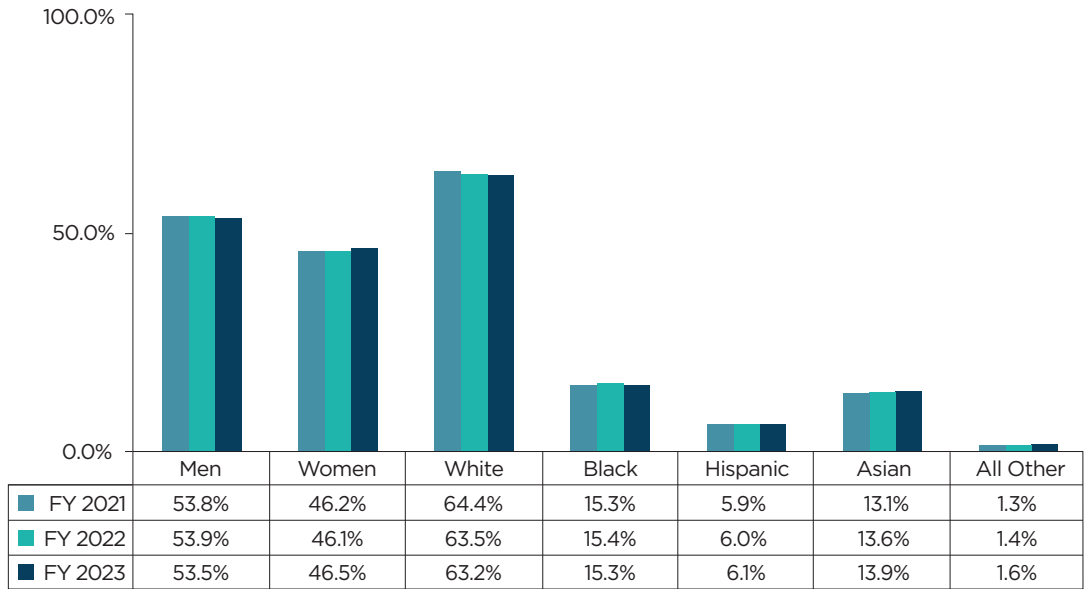
Table A1. FY 2023 Applications for Mission-Critical Occupations Compared to 2018 Occupational CLF

		Men	Women	White	Black	Hispanic	Asian	All Other
0905 General Attorney	Applied	53.9%	46.1%	55.3%	17.4%	12.6%	13.1%	1.7%
	OCLF	62.6%	37.4%	83.0%	5.3%	5.7%	4.1%	1.9%
0510 Accounting	Applied	49.9%	50.1%	32.7%	30.9%	9.6%	25.4%	1.4%
	OCLF	39.0%	61.0%	72.2%	8.6%	8.0%	8.9%	2.2%
1831 Securities Compliance Examining	Applied	65.1%	34.9%	49.1%	17.7%	12.3%	18.8%	2.1%
	OCLF	53.7%	46.3%	76.3%	8.2%	8.7%	4.7%	2.1%
0110 Economist	Applied	69.4%	30.6%	46.1%	20.4%	11.7%	21.0%	0.8%
	OCLF	68.1%	31.9%	76.5%	5.6%	7.3%	8.0%	2.6%
2210 IT Management	Applied	77.6%	22.4%	22.4%	31.0%	8.3%	36.5%	1.8%
	OCLF	70.7%	29.3%	75.8%	6.1%	6.1%	9.6%	2.3%

FY 2023 SEC WORKFORCE PROFILE

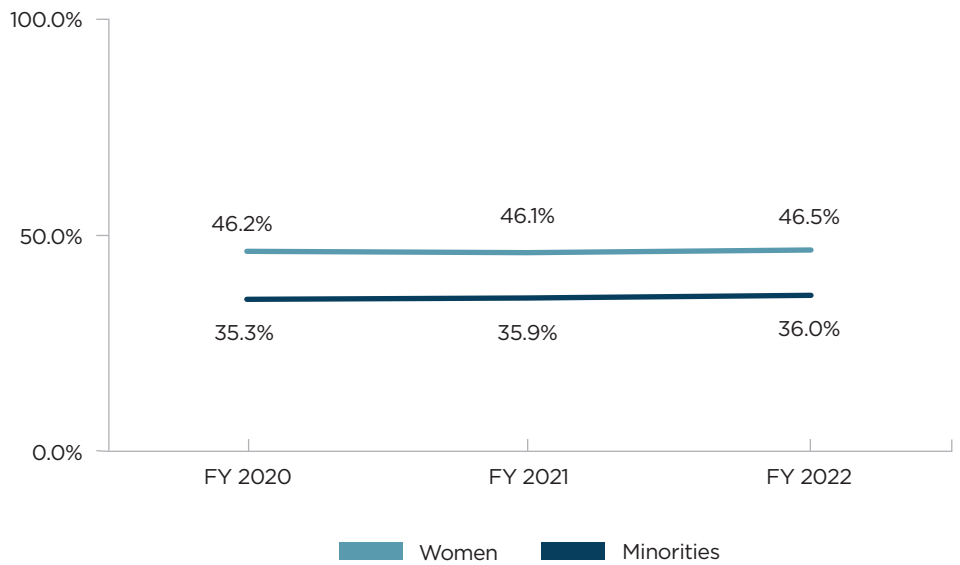
At the end of FY 2023, the SEC workforce included 4,809 employees. Figure A1 shows the SEC workforce representation by gender, race, and ethnicity.

Figure A1. Workforce Composition by Gender, Race, and Ethnicity FY 2021 - FY 2023



The three-year trend in the representation of women and minorities in the SEC workforce is shown in Figure A2.

Figure A2. Women and Minority Representation FY 2021 - FY 2023



SEC WORKFORCE COMPARED TO THE FEDERAL WORKFORCE AND CLF

Table A3 shows the demographic composition (i.e., gender, race, and ethnicity) of the SEC workforce, as of the end of FY 2023, compared to the demographic composition of the Federal workforce and the CLF. These comparisons provide a frame of reference for the present level of diversity in the SEC workforce and the progress made toward cultivating a workforce that draws from the full diversity of the United States. As of the end of FY 2023, at 46.5 percent, the representation of women in the SEC workforce was higher than their representation in the Federal workforce (45.8 percent), but lower than women’s representation in the CLF (48.2 percent).

Minorities collectively represented 36.0 percent of the SEC workforce as of the end of FY 2023, which was lower than minority representation in the Federal workforce (39.7 percent), but higher than minority representation in the 2018 CLF (32.5 percent). The SEC workforce had a lower representation of Black or African American employees (15.3 percent) and Hispanic or Latino employees (6.1 percent) than the FY 2023 Federal workforce, and a lower representation of Hispanic or Latino employees than the CLF. The percentage of Asian employees in the SEC workforce exceeded their representation in both the Federal workforce and the CLF.

Table A3. FY 2023 SEC Workforce Compared to Federal Workforce and CLF

Group	SEC FY 2023 Workforce	FY 2023 Federal Workforce (September 2023*)	2018 Civilian Labor Force
Men	53.5%	54.2%	51.8%
Women	46.5%	45.8%	48.2%
White (Non-Minority)	63.2%	59.5%	67.5%
Minority	36.0%	39.7%	32.5%
Black or African American	15.3%	18.4%	12.3%
Hispanic or Latino	6.1%	10.1%	13.0%
Asian	13.9%	6.8%	4.4%
Native Hawaiian or Other Pacific Islander	<0.1%	0.6%	0.2%
American Indian or Alaska Native	0.3%	1.6%	0.6%
Two or More Races	0.5%	2.2%	2.1%
Remainder / not identified**	0.8%	0.7%	**

*Source: The most current FedScope data release, as recently as February 12, 2024, is data on the Federal workforce as of September 2023.

WORKFORCE ANALYSIS BY OCCUPATION

While the SEC workforce spans more than 50 occupations, 87 percent of SEC’s employees work in just seven occupations – 78 percent in the agency’s five mission-critical occupations, and the remaining 9 percent in two additional occupations: miscellaneous administration and program and management and program analysis.

Table A4 shows the percentage of each demographic group in the 15 most prevalent occupations in the SEC workforce. It also reveals gender and racial differences in employment patterns.

Attorney is the most prevalent occupation in the SEC workforce; 43.2 percent of all SEC employees were in the attorney occupation as of the end of FY 2023. Attorney is the most prevalent occupation for both men and women, as well as for the four largest racial and ethnic groups in the SEC workforce, though differences exist in the degree of prevalence. As of the end of FY 2023, 51.6 percent of White, 20.3 percent of Black, 35.4 percent of Asian, and 34.5 percent of Hispanic or Latino employees were employed as attorneys.

Table A4. FY 2023 Percent of Demographic Group in Top 15 SEC Occupations

Occupational Series	SEC	Men	Women	White	Black	Hispanic	Asian	All Other
General Attorney (0905)	43.2%	43.4%	43.0%	51.6%	20.3%	34.5%	35.4%	32.1%
Accounting (0510)	16.4%	16.8%	16.0%	18.2%	9.7%	16.4%	16.6%	7.7%
Securities Compliance Examining (1831)	8.7%	10.5%	6.6%	8.7%	3.8%	10.6%	11.2%	25.6%
Information Technology Management (2210)	7.1%	10.0%	3.8%	4.7%	9.1%	8.2%	15.1%	7.7%
Miscellaneous Admin & Program	5.2%	2.5%	8.3%	2.6%	18.1%	7.5%	1.8%	5.1%
Management and Program Analysis	3.5%	2.1%	5.0%	2.1%	9.9%	3.8%	2.2%	5.1%
Economist (0110)	2.8%	3.6%	1.8%	3.1%	0.7%	3.4%	3.7%	1.3%
Financial Analysis	1.7%	2.3%	0.9%	1.5%	0.8%	1.4%	3.7%	1.3%
Paralegal Specialist	1.7%	0.7%	2.8%	1.1%	4.2%	2.4%	1.0%	2.6%
Human Resources Management	1.4%	0.5%	2.4%	0.6%	5.6%	1.7%	0.6%	1.3%
Contracting	1.1%	0.8%	1.4%	0.6%	2.6%	2.0%	0.7%	2.6%
Financial Administration and Program	0.9%	0.5%	1.2%	0.4%	3.4%	0.7%	0.4%	0.0%
Program Management	0.8%	0.7%	0.9%	0.8%	1.0%	1.7%	0.1%	1.3%
Auditing	0.5%	0.3%	0.6%	0.4%	0.8%	0.7%	0.6%	0.0%
General Mathematics and Statistics	0.5%	0.8%	0.2%	0.4%	0.0%	0.3%	1.8%	1.3%
All Other Occupations	4.6%	4.2%	5.1%	3.3%	9.9%	4.8%	4.6%	5.1%

The majority of White, Asian, and Hispanic or Latino employees worked in the agency’s mission-critical occupations shown in bold in Table A4. As of the end of FY 2023, 86.3 percent of White employees, 82.0 percent of Asian employees, and 73.1 percent of Hispanic or Latino employees worked in these occupations. In contrast, as of the end of FY 2023, only 43.6 percent of Black or African American employees worked in mission-critical occupations.

MISSION CRITICAL OCCUPATIONS

The SEC has largely directed outreach and recruitment efforts toward enhancing diversity in the agency’s mission-critical occupations. Table A5 shows the workforce representation of minorities and women in each mission-critical occupation at the end of FY 2023 compared to their representation in these occupations in the CLF. The SEC relies on the comparisons with the occupational CLF benchmarks to assess the agency’s progress towards improving diversity in mission-critical occupations and to identify areas of focus for ongoing outreach and recruitment strategies.

Table A5 shows the gender, race, and ethnicity of each of the SEC’s five mission-critical occupations at the end of FY 2023 compared to corresponding occupational CLF representation.

		Men	Women	White	Black	Hispanic	Asian	All Other
0905 General Attorney	Applied	53.9%	46.1%	55.3%	17.4%	12.6%	13.1%	1.7%
	OCLF	62.6%	37.4%	83.0%	5.3%	5.7%	4.1%	1.9%
0510 Accounting	Applied	49.9%	50.1%	32.7%	30.9%	9.6%	25.4%	1.4%
	OCLF	39.0%	61.0%	72.2%	8.6%	8.0%	8.9%	2.2%
1831 Securities Compliance Examining	Applied	65.1%	34.9%	49.1%	17.7%	12.3%	18.8%	2.1%
	OCLF	53.7%	46.3%	76.3%	8.2%	8.7%	4.7%	2.1%
0110 Economist	Applied	69.4%	30.6%	46.1%	20.4%	11.7%	21.0%	0.8%
	OCLF	68.1%	31.9%	76.5%	5.6%	7.3%	8.0%	2.6%
2210 IT Management	Applied	77.6%	22.4%	22.4%	31.0%	8.3%	36.5%	1.8%
	OCLF	70.7%	29.3%	75.8%	6.1%	6.1%	9.6%	2.3%

Table A6 shows all employees in mission-critical occupations by gender, race, and ethnicity from FY 2021 to FY 2023. Relative change percentages indicate the within-group change observed from FY 2021 to FY 2023.

Table A6. Mission-Critical Occupations FY 2021 – FY 2023

	Total	Men	Women	White	Black	Hispanic	Asian	All Other
FY 2021	3526	2042	1484	2489	302	193	505	37
	100.0%	57.9%	42.1%	70.6%	8.6%	5.5%	14.3%	1.0%
FY 2022	3546	2067	1479	2480	305	196	520	45
	100.0%	58.3%	41.7%	69.9%	8.6%	5.5%	14.7%	1.3%
FY 2023	3762	2171	1591	2622	320	214	548	58
	100.0%	57.7%	42.3%	69.7%	8.5%	5.7%	14.6%	1.5%
Relative Change (FY 2021–2023)	6.7%	6.3%	7.2%	5.3%	6.0%	10.9%	8.5%	56.8%

SUPERVISORS AND MANAGERS

Generally, SEC employees at grade levels SK-15 (e.g., branch chiefs), SK-17 (e.g., assistant directors), and Senior Officers (e.g., associate directors, deputy directors, and directors) serve in supervisory and managerial positions. Senior Officers, the highest-ranking employees at the SEC, are equivalent to Senior Executive Service (SES) personnel at other federal agencies. As of the end of FY 2023, the SEC workforce had 967 supervisors and managers, including a small number of supervisors and managers in the SK-11, SK-13, and SK-14 grade levels.

Table A7 shows the number and percentage of SEC supervisors and managers by gender, race, and ethnicity from FY 2021 to FY 2023. Relative change percentages indicate the within-group change observed from FY 2021 to FY 2023.

Table A7. Supervisors and Managers FY 2021 – FY 2023

	Total	Men	Women	White	Black	Hispanic	Asian	All Other
FY 2021	910	551	359	666	89	48	101	6
	100.0%	60.5%	39.5%	73.2%	9.8%	5.3%	11.1%	0.4%
FY 2022	918	551	367	649	94	55	113	7
	100.0%	60.0%	40.0%	70.7%	10.2%	6.0%	12.3%	0.8%
FY 2023	967	572	395	678	104	53	127	5
	100.0%	59.2%	40.8%	70.1%	10.8%	5.5%	13.1%	0.5%
Relative Change (FY 2021–2023)	6.3%	3.8%	10.0%	1.8%	16.9%	10.4%	25.7%	-16.7%

SENIOR OFFICERS

Table A8 shows the gender, race, and ethnicity of Senior Officers from FY 2021 to FY 2023. As of the end of FY 2023, the SEC had 162 Senior Officers, 13 more than at the end of FY 2022. Relative change percentages indicate the within-group change observed from FY 2021 to FY 2023.

Table A8. Senior Officers FY 2021 – FY 2023

	Total	Men	Women	White	Black	Hispanic	Asian	All Other
FY 2021	155	84	71	125	14	8	7	1
	100.0%	54.2%	45.8%	80.6%	9.0%	5.2%	4.5%	0.6%
FY 2022	149	83	66	111	16	11	9	2
	100.0%	55.7%	44.3%	74.5%	10.7%	7.4%	6.0%	1.3%
FY 2023	162	87	75	112	22	11	15	2
	100.0%	53.7%	46.3%	69.1%	13.6%	6.8%	9.3%	1.2%
Relative Change (FY 2021-2023)	4.5%	3.6%	5.6%	-10.4%	57.1%	37.5%	114.3%	100.0%

NEW HIRES

Table A9 shows the gender, race, and ethnicity of SEC new hires from FY 2021 to FY 2023. The SEC onboarded 462 new employees in FY 2023, 156 more than in FY 2022.

Table A9. New Hires Trend by Gender, Race, and Ethnicity FY 2021 - FY 2023

	Total	Men	Women	White	Black	Hispanic	Asian	All Other
FY 2021	291	160	131	159	42	17	48	25
	100.0%	55.0%	45.0%	54.6%	14.4%	5.8%	16.5%	8.6%
FY 2022	306	173	133	185	38	13	45	25
	100.0%	56.5%	43.5%	60.5%	12.4%	4.2%	14.7%	8.2%
FY 2023	462	246	216	288	55	21	70	28
	100.0%	53.2%	46.8%	62.3%	11.9%	4.5%	15.2%	6.1%

Table A10 shows new hires into mission-critical occupations by gender, race, and ethnicity from FY 2021 to FY 2023.

Table A10. New Hires into Mission-Critical Occupations FY 2021 - FY 2023

	Total	Men	Women	White	Black	Hispanic	Asian	All Other
FY 2021	205	119	86	119	20	11	37	18
	100.0%	58.0%	42.0%	58.0%	9.8%	5.4%	18.0%	8.8%
FY 2022	234	146	88	155	18	7	34	20
	100.0%	66.2%	37.6%	66.2%	7.7%	3.0%	14.5%	8.5%
FY 2023	376	205	171	254	26	18	50	28
	100.0%	54.5%	45.5%	67.6%	6.9%	4.8%	13.3%	7.4%

SEPARATIONS

Table A11 shows separations from the SEC by gender, race, and ethnicity since FY 2021. In FY 2023, 212 employees left the SEC, fewer than the 285 who separated in FY 2022 or the 248 who separated in FY 2021.

Table A11. Workforce Separations by Gender, Race, and Ethnicity FY 2021 - FY 2023

	Total	Men	Women	White	Black	Hispanic	Asian	All Other
FY 2021	248	137	111	155	48	11	32	2
	100.0%	55.2%	44.8%	62.5%	19.4%	4.4%	12.9%	0.8%
FY 2022	285	159	126	218	25	12	28	2
	100.0%	55.8%	44.2%	76.5%	8.8%	4.2%	9.8%	0.7%
FY 2023	212	128	84	150	28	4	25	5
	100.0%	60.4%	39.6%	70.8%	13.2%	1.9%	11.8%	2.4%

Table A12 shows Separations from mission-critical occupations by gender, race, and ethnicity from FY 2021 to FY 2023.

Table A12. Separations from Mission-Critical Occupations FY 2021 - FY 2023

	Total	Men	Women	White	Black	Hispanic	Asian	All Other
FY 2021	178	113	65	122	23	9	24	0
	100.0%	63.5%	36.5%	68.5%	12.9%	5.1%	13.5%	0.0%
FY 2022	231	132	99	185	15	8	22	1
	100.0%	57.1%	42.9%	80.1%	6.5%	3.5%	9.5%	0.4%
FY 2023	165	105	60	123	13	2	23	4
	100.0%	63.6%	36.4%	74.5%	7.9%	1.2%	13.9%	2.4%

PROMOTIONS

Table A13 shows promotions by gender, race, and ethnicity from FY 2021 to FY 2023. Reported promotions include all instances where employees are converted to a higher pay grade including career-ladder, competitive, and temporary promotions, as well as any conversions to a higher-graded position.

Table A13. Promotions FY 2021 - FY 2023

	Total	Men	Women	White	Black	Hispanic	Asian	All Other
FY 2021	456	238	218	275	83	36	57	5
	100.0%	52.2%	47.8%	60.3%	18.2%	7.9%	12.5%	1.1%
FY 2022	453	212	241	296	59	32	61	5
	100.0%	46.8%	53.2%	65.3%	13.0%	7.1%	13.5%	1.1%
FY 2023	499	254	245	315	71	29	75	9
	100.0%	50.9%	49.1%	63.1%	14.2%	5.8%	15.0%	1.8%

Appendix B

Outreach and Recruitment Events

Event Date	Title
10/6/2022	Commodities Future Trading Commission and SEC Virtual Joint Career Forum: Explore the Attorney Path
10/8/2022	Hispanic Association of Colleges and Universities' 36th Annual Conference
10/11/2022	Outreach to San Diego City College (Hispanic Serving Institution)
10/26/2022	Bowie State University In-Person Career Fair
11/2/2022	Prospanica Annual Conference 2022
11/3/2022	Historically Black Colleges and Universities Career Marketplace
11/8/2022	Bowie State University Virtual Career Fair
11/8/2022	Historically Black Colleges and Universities & Hispanic Serving Institutions Virtual Career Fair
1/5/2023	Outreach to University of North Texas
1/18/2023	Consumer Financial Protection Bureau Learning Cluster on Youth Use of Financial Technology
2/9/2023	Southern District of New York Federal Bar Association Talking with Trailblazer Program
2/14/2023	Outreach to DuVal High School
2/16/2023	On-Campus Visit to Coppin State University
2/17/2023	Virtual Career Fair at Georgetown University
2/22/2023	Spring 2023 Hispanic-Serving Institutions Virtual Career Expo
2/23/2023	College Diversity Network Virtual Career Fair
2/28/2023	Presentation to South Carolina State University Business Students
2/28/2023	In-Person Outreach to Claflin University
3/1/2023	American Bar Association White Collar Crime Conference
3/1/2023	Norfolk State University Career Fair
3/2/2023	In-Person Outreach to Allen University Accounting Students
3/7/2023	Texas Women's University Career & Internship Expo
3/8/2023	Norfolk State University Virtual Career Fair

Appendix B. *Continued.*

3/22/2023	SEC in Classroom Program
3/29/2023	Office of the Investor Advocate Investor Law School Clinic Summit
3/30/2023	Commissioners Peirce, Lizárraga and John Moses outreach to Howard Dilworth Woodson High School
3/31/2023	HD Woodlawn DC Schools
4/5/2023	Commissioner Peirce Outreach to Shaw High School
4/16/2023	National Native American Bar Association Annual Meeting
4/19/2023	Outreach to Delaware State University
5/3/2023	Joint Presentation (OIEA and OMWI) to Haskell Indian Nations University
5/5/2023	Commissioner Lizárraga's visit to Anne Richard's High School, Austin Texas in conjunction with Anthony McNeal of the Fort Worth Regional Office
5/17/2023	SEC Historical Society - 10th Anniversary of OMWI
5/19/2023	Empowering Males of Color Conference - DC Public Schools
5/30/2023	Outreach Visit to Catholic University of America
5/31/2023	Meeting with Dean Ikem and Jennifer Steele from Jackson State University
6/6/2023	National Association of Black Accountants National Convention and Expo
6/8/2023	Outreach Visit to University of Law Vegas Business School
6/14/2023	Hire Oklahoma Multi-University Alumni Career Fair
6/16/2023	Alliance In-Person Career Fair in Collaboration with Texas Southern University & Prairie View University Alumni Associations & Career Centers & Alumni Associations (HBCU)
7/1/2023	Outreach Visit to North Carolina Central University (HBCU)
7/12/2023	SEC Diversity Career Fair
7/19/2023	National Association of Women Lawyers Annual Meeting
7/20/2023	South Asian Bar Association Annual Conference
7/24/2023	The LGBTQ+ Bar Conference
7/29/2023	National Bar Association Convention & Exhibits
8/1/2023	HBCU Philanthropy Symposium
8/18/2023	SEC and Catholic Law Securities Program
8/20/2023	2023 Association of Latino Professionals Conference
9/6/2023	Hispanic National Bar Association Annual Conference
9/8/2023	Georgetown University Career Fair

Appendix B. *Continued.*

9/10/2023	National Association of Minority and Women Owned Law Firms Annual Conference
9/12/2023	National Black MBA Conference
9/12/2023	Saginaw Valley State University Accounting & Finance Networking and Employment Fair (PWI)
9/13/2023	Association of African American Financial Advisors Annual VISION Conference
9/13/2023	Michigan State University Careers in Business: Accounting/Finance Fair (PWI)
9/16/2023	Toyota HBCU New York Classic Career Expo
9/19/2023	Virginia State University Fall College Career Expo (HBCU)
9/20/2023	Facilitated Meeting between Chair Gary Gensler and Dr. Tony Allen
9/30/2023	National Society of High School Scholars

Appendix C

Strategic Diversity Job Boards

Organization
Association of Latino Professionals for America
Accounting Finance Women's Alliance
African American Attorney Network
Blacks in Technology
Buttermilk Club
Financial Services Professionals
Handshake
Hispanic National Bar Association
Korean American Lawyers Association of Greater New York
Minority Bar Association of Western New York
Minority Corporate Counsel Association
Minority Professional Network
National Asian Pacific American Bar Association
National Association of Black Accountants
National Association of Black Compliance & Risk Management Professionals
National Association of Women Lawyers
National Bar Association
National Black MBA Association
National LGBTQ+ Bar Association
National Society of Black Certified Public Accountants, Inc.
Native American Bar Association
Professional Diversity Network
Prospanica - The Association of Hispanic MBAs & Business Professionals
South Asian Bar Association
Women in Investing
Women's Bar Association, DC

Appendix D

OMWI Engagement Organizations

Organization
100 Women in Finance
Accounting & Financial Women's Alliance
Allen University
Alliance of Black Women Accountants
American Bar Association - White Collar Crime Committee
American Indian Law Center, Inc.
Ascend
Association of Asian American Investment Managers
Association of Latino Professionals for America
Black Ambitions
Black In-House Counsel Network
Bowie State University
Buttermilk Club
California State University, Los Angeles
Center for Black Equity
Clafin University
Council of Urban Professionals
Council on Legal Education (CLEO)
Council on Legal Education and Opportunity, Inc.
Delaware State University Financial Literacy Institute
Diverse Lawyers Network
Financial Services Professionals
Girl Scouts of America, Inc.

Appendix D. *Continued.*

HBCU Business Deans
HBCU White House Initiatives
Hispanic Association of Colleges and Universities
Hispanic Bar Association of the District of Columbia
Hispanic National Bar Association
International Leadership Foundation
Jackson State University -College of Business
LatinoJustice PRLDEF
Morgan State University
Ms. JD
National Asian Pacific American Bar Association
National Association of Securities Professionals
National Association of Black Accountants
National Association of Black Accountants, Metropolitan D.C. Chapter
National Association of Black Compliance & Risk Management Professionals
National Association of Investment Companies
National Association of Minority & Women Owned Law Firms
National Association of Women Lawyers
National Bar Association
National Bar Association, Greater Washington Area Chapter
National Black MBA Association, Inc.
National Diversity Coalition
National Native American Bar Association
National Urban League
New America Alliance
New York City Bar Association Office of Diversity, Equity, Inclusion and Belonging
OUT in Finance
PROSPANICA
Reaching Out (MBA)

Appendix D. *Continued.*

SAGE
South Asian Bar Association of North America
Southern University Law Center
Take Your Seat
The Institute for Inclusion in the Legal Profession
The LGBTQ+ Bar Association
Thurgood Marshall College Fund
United Negro College Fund
Williams Franklin Foundation
Women's Bar Association of D.C.

Appendix E

Programs for Special Observances and Other Events Celebrating Affinity Groups

Date	Event
10/5/2022	New York Regional Office's HALO Celebration of National Hispanic American Heritage Month - Fireside Chat with Dean David Lopez
10/11/2022	National Coming Out Day: Sharing Our Stories with the Pride Alliance
10/18/2022	Women's Committee Financial Education Series - Ethics of Investing - The Do's and Don'ts of Securities Transactions
10/19/2022	Asian American Pacific Islander Committee Fireside Chat with Commissioner Uyeda
10/25/2022	Second Annual Interagency Hispanic Heritage Month program comprised of representatives from Hispanic employee affinity groups at various Financial Institutions Reform, Recovery, and Enforcement Act agencies, part of AHORA (Amigos and Hispanics of Regulatory Agencies)
10/26/2022	2022 National Disability Employment Awareness (NDEAM) with guest Haley Moss
11/2/2022	Women's Committee Lunch and Learn - College Savings & 529 Plans/Alternatives
11/8/2022	'His Name is George Floyd' - A Conversation About Social Injustice
11/10/2022	Veterans Day 2021 Observation: SEC Memory Book
11/10/2022	Veterans Day 2022: A Conversation with Our Veterans About Service"
11/16/2022	Women's Committee Event: Caring for Aging Parents and Elders
11/16/2022	National Native American Heritage Month with Joel West Williams, Deputy Solicitor for Indian Affairs, U.S. Department of the Interior, discussing the Importance of Tribal Consultation
12/7/2022	OMWI Employee Affinity Group Leadership Summit
12/13/2022	DIAC Membership Meeting
1/31/2023	Hispanic And Latino Opportunity, Leadership and Advocacy Committee Book Club with Commissioner Lizárraga
1/31/2023	Salt Lake Regional Office, Philadelphia Regional Office of the Securities and Exchange Commission, and Hispanic and Latino Opportunity, Leadership and Advocacy Committee event with Judge Luis Felipe Restrepo of the U.S. Court of Appeals for the Third Circuit
2/7/2023	New York Regional Office's Black History Month Celebration with Lisa M. Fairfax, Presidential Professor of Law, University of Pennsylvania Carey Law School
2/9/2023	Enforcement Diversity Dialogue
2/10/2023	Atlanta Regional Office and Salt Lake Regional Office Black history Month - Black Resistance: Insight of an Expert with Dr. Vicki Crawford, the Director of the Office of the Morehouse College Martin Luther King Jr. Collection and Professor of Africana Studies

Appendix E. *Continued.*

2/15/2023	Black History Month Signature Event with Public Company Accounting Oversight Board Chair Erica Y. Williams
2/22/2023	Philadelphia Regional Office Celebration of Black History Month with Peter Harvey, Former New Jersey Attorney General
2/28/2023	Salt Lake Regional Office Diversity Committee, in collaboration with OMWI and the American Indian Heritage Committee, welcomed guest speaker Elizabeth Kronk Warner, dean of S.J. Quinney College of Law at the University of Utah to discuss "Cutting Signs a Personal and Legal Path"
3/1/2023	Women's History Month Event: A Conversation with Women Who Lead SEC Regional Office. The Women's Committee and the Diversity and Inclusion Committee of the Chicago Regional Office co-sponsored this event to bring together the five female leaders of SEC regional offices Regional Directors Antonia Apps (New York Regional Office), Tracy Combs (Salt Lake Regional Office), Nekia Jones (Atlanta Regional Office), Michele Layne (Los Angeles Regional Office) and Monique Winkler (San Francisco Regional Office)
3/8/2023	Hispanic And Latino Opportunity, Leadership and Advocacy Committee Membership Federal Employee Viewpoint Survey Briefing
3/16/2023	New York Regional Office Women's History Month program with Valerie Caproni, judge for the U.S. District Court for the Southern District of New York
3/17/2023	Diversity, Equity, Inclusion, and Accessibility Town Hall with Chair Gensler
3/20/2023	Pride Alliance Fireside Chat with Commissioner Lizárraga
3/22/2023	Signature Women's History Month Event with Michelle Singletary, Personal Finance Columnist for the Washington Post
3/22/2023	Los Angeles Regional Office Celebrates Women's History Month with Broadcast Journalist Beverly White
3/27/2023	Leading Author Series with Carla Harris discussing her book, "Lead to Win: How to be a Powerful, Impactful, Influential Leader in Any Environment" with Nekia Jones, Director of the Atlanta Regional Office
3/28/2023	Women's History Month Event Hosted by Atlanta Regional Office, Boston Regional Office, Miami Regional Office, and New York Regional Office with Princess Jenkins of the organization "Women in the Black"
3/29/2023	Power in Presence: Division of Enforcement and Division of Examinations Diversity and Inclusion Committee Women's History Month Event featuring former Chair Elisse Walter and former Associate Director/Chief of the Foreign Corrupt Practices Act Unit Cheryl Scarboro, moderated by Joy G. Thompson, Associate Regional Director, Division of Examinations, Philadelphia Regional Office
4/12/2023	Financial Empowerment and Career Program with High Schools hosted by the African American Council
4/13/2023	Hispanic And Latino Opportunity, Leadership and Advocacy Committee Book Club discussion: Trust by Hernan Diaz
4/19/2023	Sixth Annual Holocaust Remembrance Event with Author Susannah Heschel, professor of Jewish Studies at Dartmouth College.
4/19/2023	Los Angeles Regional O Diversity Committee Town Hall with Asim Rehman, Commissioner and Chief Administrative Law Judge for New York City's Office of Administrative Trials and Hearings
4/26/2023	Los Angeles Regional Office and San Francisco Regional Office's three-part series Diversity, Equity, and Inclusion and Compliance Outreach Event: Investing in Women and Minorities
5/4/2023	Joint Employee Affinity Group Allyship Event: Allyship, Learning, Leading, and You: Supporting All of Our Communities
5/9/2023	Women's Committee Resiliency Series: Why Mindfulness Matters

Appendix E. *Continued.*

5/9/2023	Los Angeles Regional Office Asian American Native Hawaiians Pacific Islander Heritage Month Speaker Event featuring Gabriel "Jack" Chin, Professor at the University of California Davis School of Law.
5/10/2023	Asian American Native Hawaiians Pacific Islander Month Signature Event featuring a fireside chat between Division of Enforcement Director and co-Executive Sponsor, Gurbir Grewal and Congressman Andy Kim of the Third Congressional District of New Jersey
5/15/2023	Fort Worth Regional Office Presents Fireside Chat with U.S. Attorney Alamdar Hamdani, Southern District of Texas
5/19/2023	Asian American Native Hawaiians Pacific Islander Heritage Month Interagency with SEC, National Credit Union Administration and the Commodities Future Trading Commission Event featuring a panel discussion with SEC Commissioner Mark T. Uyeda, CFTC Commissioners Christy Goldsmith Romero and Caroline D. Pham
5/24/2023	New York Regional Office Asian American Native Hawaiians Pacific Islander Presentation on Asian American legal history and Fireside Chat with Honorable Denny Chin, a U.S. Circuit Judge for the United States Court of Appeals for the Second Circuit
5/25/2023	Memorial Day Event featuring Col. N'Keiba Estelle
6/13/2023	OMWI and Employee Affinity Group table at Chief Enforcement Conference
6/14/2023	African American Council Juneteenth Meeting
6/14/2023	Los Angeles Regional Office's Diversity Committee invites you to join them in a town hall celebrating Pride month with the Honorable Beth Robinson of the United States Court of Appeals for the Second Circuit
6/15/2023	African American Council & Caribbean American Heritage Committee Book Discussion: Black Cake
6/15/2023	Diversity, Equity, Inclusion, and Accessibility Strategic Plan Feedback Session
6/27/2023	New York Regional Office Pride Event fireside chat with Andrew Bruck, who is currently the Chief of Staff and Associate Deputy Attorney General in the office of the Deputy US Attorney General, Lisa Monaco, moderated by Pride Alliance Executive Sponsor, Jorge Tenreiro
6/29/2023	Caribbean American Heritage Month Signature Program with Karen Andre, Associate Director for consumer education and external affairs at the Consumer Financial Protection Bureau.
7/13/2023	Women's Committee Resiliency - signs and symptoms of anxiety and stress
7/19/2023	Division of Enforcement Diversity and Inclusion Committee Fireside Chat with Commissioner Uyeda and Division of Enforcement's Olivia Choe
8/2/2023	Hispanic and Latino Opportunity, Leadership and Advocacy Committee Book Club Discussion: How Not to Drown in a Glass of Water by Angie Cruz
8/7/2023	Women's Committee and Caribbean American Heritage Committee Baby Items Drive
8/16/2023	San Francisco Regional Office - Asian American Pacific Islander Committee Book Club discussion with author Gail Tsukiyama of "The Brightest Star: A Historical Novel Based on the True Story of Anna May Wong"
9/25/2023	Philadelphia Regional Office Hispanic Heritage Month Program with Honorable Jose Almonte, United States Magistrate Judge in the District of New Jersey
9/26/2023	50th Anniversary of the 1973 Rehabilitation Act
9/27/2023	Lunch and Learn on the New Laws Protecting the Rights of Pregnant and Nursing Workers

Appendix F

Supplier Diversity Conferences and Outreach Events

Event Date	Title
10/12/22	National Small Business Federal Contracting Summit - DC Hybrid Fall
11/9/2022	United States Hispanic Chamber of Commerce Small Business Procurement Matchmaking Virtual Event
12/1/2022	Simply Matchmaking: A GovCon Optimization Event - Chamber of Commerce & Ohio PTAC
12/8/2022	U.S. Agency for International Development Women-Owned Business Outreach Event & Matchmaking
2/15/2023	2023 National Small Business Conference - National 8(a) Association
3/23/2023	2023 Women's Business Enterprise National Council National Conference
3/29/2023	U.S. Women's Chamber of Commerce National Small Business Federal Contracting Summit
4/5/2023	U.S. Women's Chamber of Commerce National Small Business Federal Contracting Summit
4/6/2023	2023 Reservation Economic Summit
4/20/2023	Government Procurement Conference
6/8/2023	CelebrAsian Annual Conference
6/8/2023	National Association of Black Accountants Panel and Matchmaking Event
7/19/2023	2023 National Small Business Federal Contracting Summit DC Area - Matchmaking Event
7/26/2023	2023 National Small Business Federal Contracting Summit DC Area - Matchmaking Event

Endnotes

- 1 The SEC's DEIA Strategic Plan is available at [2023-2026 SEC DEIA Strategic Plan](#).
- 2 Currently, Allison Wise is OMWI's Acting Director.
- 3 Formerly known as Lesbian, Gay, Bisexual, and Transgender (LGBT) Committee.
- 4 OMWI provides program support for all EAGs except the Veterans Committee, which receives program support from OHR.
- 5 SEC leaders actively work with, and support, the EAGs. Each EAG is sponsored by both an Executive (Senior Officer) and a SEC Commissioner. All EAGs have a representative who serves on the SEC Diversity Council, which is chaired by Chair Gensler.
- 6 See FAR Subpart 19.5 – Set-Asides for Small Businesses for more information.
- 7 “Vendor payments” are the actual funds the SEC paid to vendors. Contract performance may not occur within the same fiscal year that contracts are awarded, and payments made during the fiscal year in many instances are for goods or services provided under contracts awarded in prior fiscal years. As a result, the dollar amounts for contract payments and contract awards in a given fiscal year are not directly comparable.
- 8 OMWI relies on socioeconomic business designations from award data sourced from Sam.gov to identify vendors in the payment data. SEC makes payments to businesses that are not always identifiable from award data, such as longer-term operating expenses like lease payments on SEC office space. When vendors cannot be socioeconomically identified, they are excluded from analysis and not included in the overall total.
- 9 In the payment data, businesses that are both minority- and women-owned are counted in the designated minority group categories. For example, an Asian women-owned business would be counted as an Asian-owned business. The minority group categories are inclusive of both women- and men-owned firms.
- 10 “Contract actions” are the net amount of funds obligated for all contract actions, which includes new awards and modifications – both additional obligations and deobligations – that the SEC entered into the Federal Data Procurement Systems (FPDS) during the fiscal year.
- 11 The agencies are Office of the Comptroller of the Currency, Board of Governors of the Federal Reserve System, Federal Deposit Insurance Corporation, National Credit Union Administration, and Consumer Financial Protection Bureau.
- 12 See the “Final Interagency Policy Statement Establishing Joint Standards for Assessing the Diversity Policies and Practices of Entities Regulated by the Agencies,” Release No. 34-75050; File No. S7-10-15; 80 FR 33016 (June 10, 2015).



U.S. Securities and Exchange Commission
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