

OMWI LUNCH AND LEARN PROGRAM: SELF-ASSESSMENT OF DIVERSITY POLICIES AND PRACTICES

August 8, 2024



U.S. Securities and
Exchange Commission

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LOGISTICS

1. All participants will be muted
2. The presentation will be recorded and posted on SEC.gov once it is captioned
3. Slides will be made available after the presentation



AGENDA



SEC Leaders Fireside Chat



Diversity Self Assessment Tool (DSAT) Overview and
2022 Diversity Self Assessment Submissions Analysis



Questions



Concluding Remarks

SEC SENIOR LEADERS FIRESIDE CHAT



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SELF-ASSESSMENTS OF DIVERSITY POLICIES AND PRACTICES - OVERVIEW



Shirley Sohrn
Senior Counsel
Office of Minority and Women Inclusion



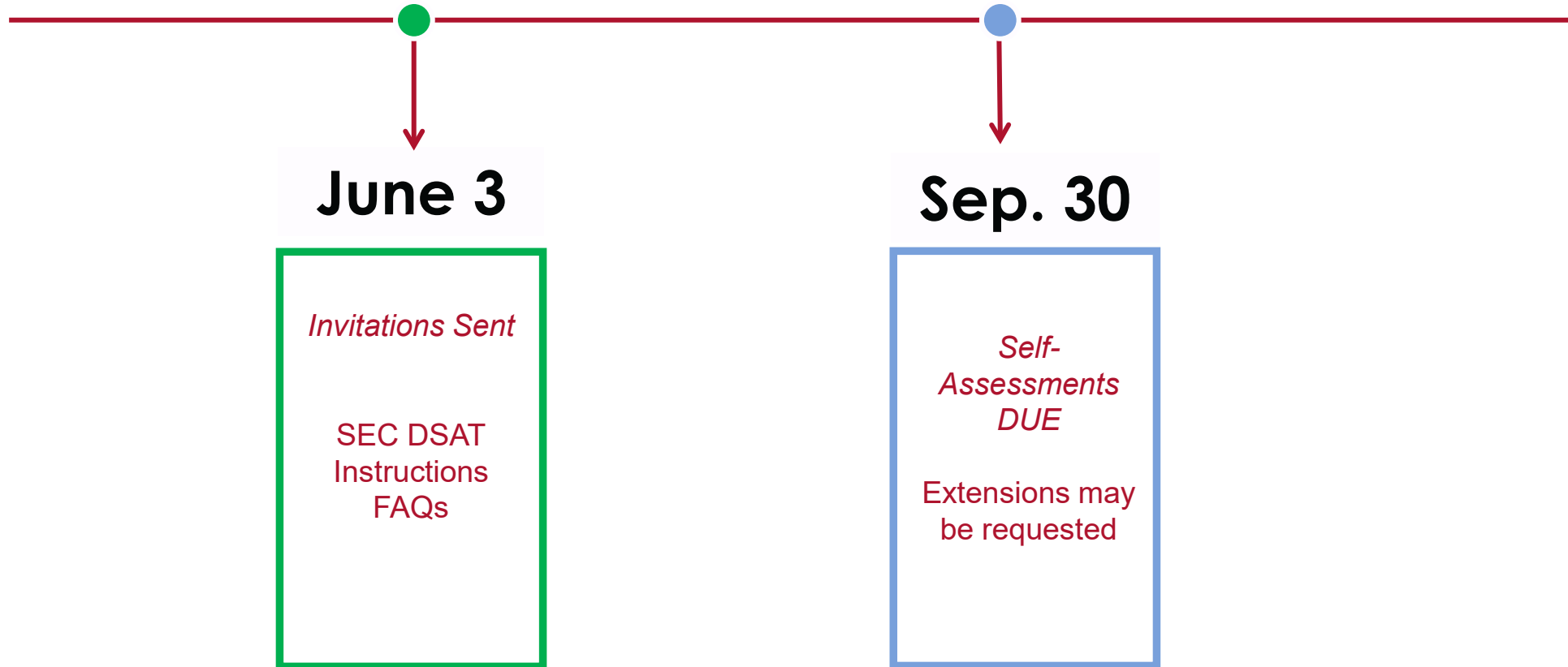
BACKGROUND AND HISTORY



- Section 342 of the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank Act)
- Joint Standards (June 10, 2015)
- OMB Approval for Collection of Information (February 18, 2016)
- 2018 - Collection by SEC OMWI



2024 COLLECTION PERIOD



DIVERSITY SELF- ASSESSMENT TOOL (DSAT)

Purpose

SEC OMWI developed the DSAT to:

- Help guide self-assessments of diversity policies and practices
- Provide a template for submitting diversity assessment information to OMWI

2023 Revision

- Renamed (DAR to DSAT)
- Opt-in for publishing name of firm as having submitted a DSAT*
- Combined and removed some items
- Added clarifying language to some items
- Shortened items for brevity

* Information collected aggregated in a form that does not identify a particular entity or disclose confidential business information



FREQUENTLY ASKED QUESTIONS

Who?

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

What?

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

How?

Does it have to be the DSAT?

Confidentiality?

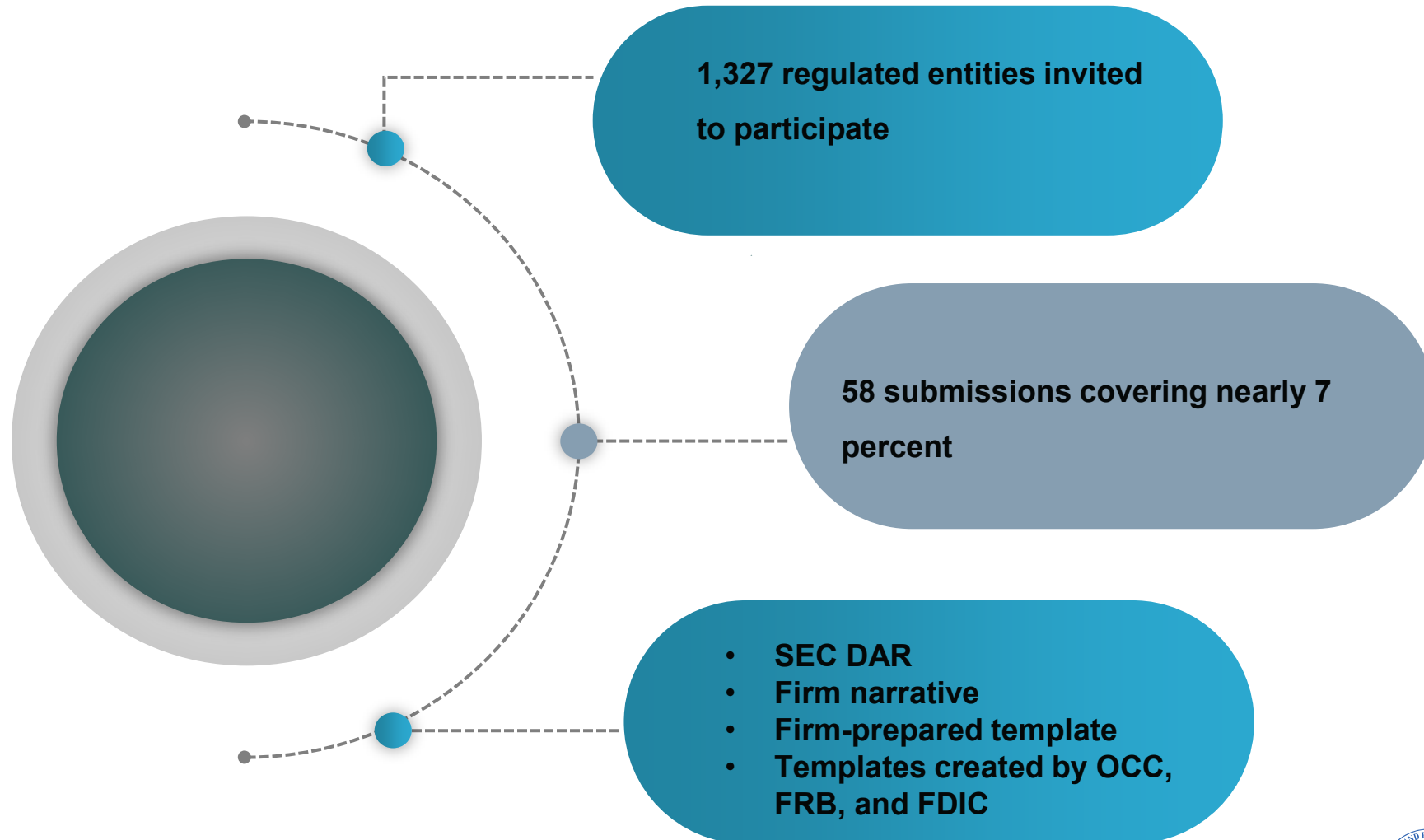
Will the information from submitted self-assessments be made publically available?



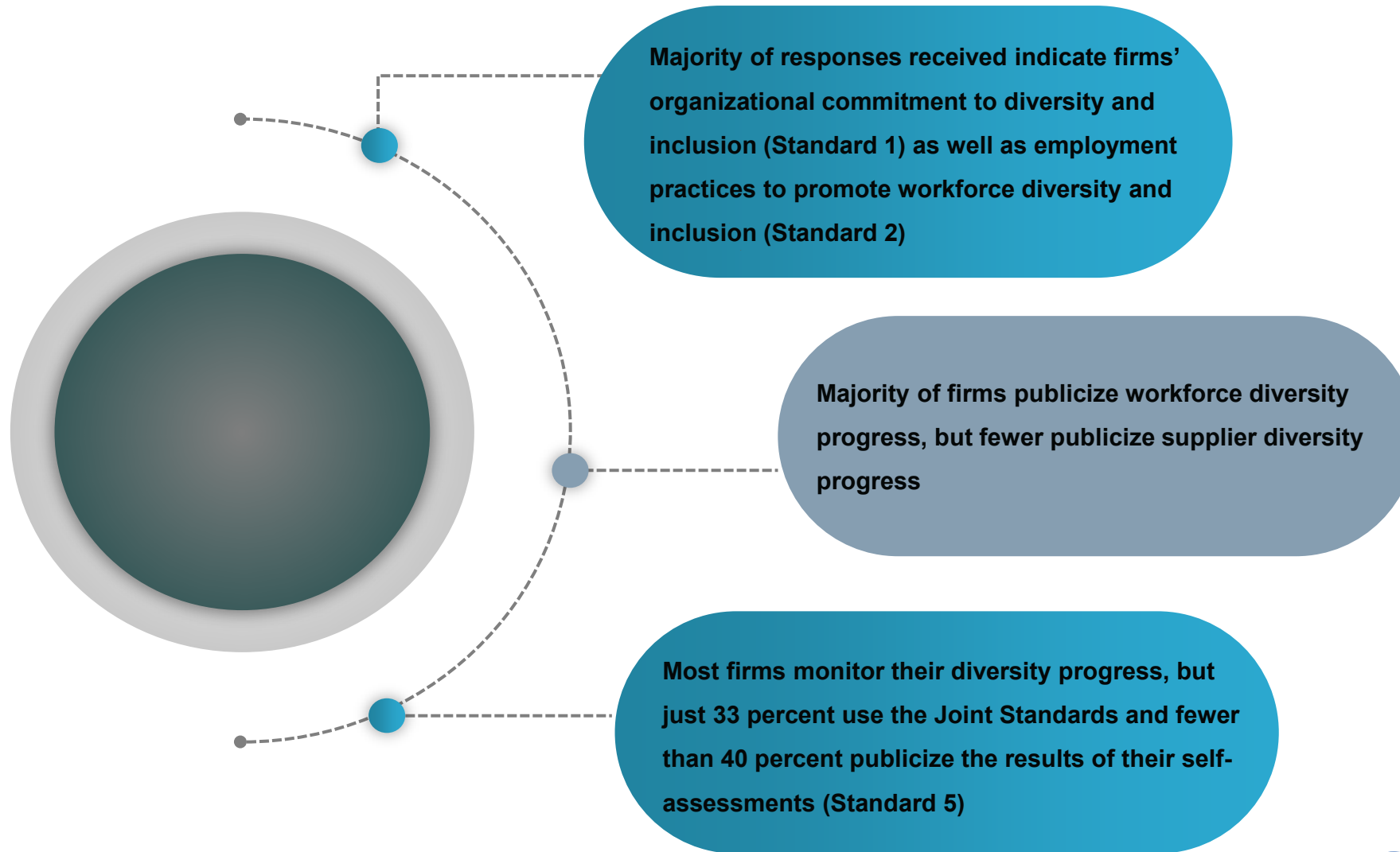
2022 SELF-ASSESSMENT RESULTS



2022 DIVERSITY ASSESSMENT REPORT HIGHLIGHTS



2020 DIVERSITY ASSESSMENT REPORT HIGHLIGHTS





[HTTPS://WWW.SEC.GOV/ABOUT/DIVISIONS-
OFFICES/OFFICE-MINORITY-WOMEN-
INCLUSION/DIVERSITY-INCLUSION-REGULATED-
ENTITIES](https://www.sec.gov/about/divisions-offices/office-minority-women-inclusion/diversity-inclusion-regulated-entities)

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QUESTIONS?



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CONCLUDING REMARKS



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