

Due Diligence Questionnaire (Public Markets)

J. Diversity

115. Does your firm have a written diversity and inclusion policy approved by senior leadership? If yes, please provide.
116. Does your firm provide for ways to ensure management accountability for the progress of diversity and inclusion initiatives and policies? If yes, please describe or provide a copy of the applicable policy.
117. Does your firm make proactive efforts to promote a diverse pool of candidates in hiring, recruiting, retention, and promotion, as well as in selection of board members and senior leadership? If yes, please describe or provide a copy of the applicable policy.
118. Does your firm conduct periodic mandatory training for management and staff about diversity and inclusion? If yes, please describe, including frequency of trainings and required participants.
119. Does your firm use quantitative and/or qualitative measurements to assess workforce diversity and inclusion efforts in areas such as applicant tracking, hiring, promotions, separations, career development, and retention? If yes, please describe measures, standards, or analysis used.
120. Does your firm measure or evaluate the business impact, such as improvements to investment performance and risk management, of aspects of your diversity? If yes, please describe measures, standards, or analysis used.
121. In the past five years, has your firm or any of its affiliates been the subject of any actions, complaints, or adverse determinations concerning alleged violations of Federal, State or City equal opportunity or anti-discrimination laws, rules or regulations? If yes, please describe, including any steps taken by your firm to respond.
122. Does your firm use the Joint Standards for Assessing the Diversity Policies and Practices of Entities Regulated by the OCC, Board, FDIC, NCUA, CFPB and SEC issued pursuant to the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010? If yes, please describe.
123. Does your firm have a supplier diversity policy that (a) provides for a fair opportunity for minority-owned and women-owned businesses to compete for the procurement of goods and services, including but not limited to asset management, brokerage services, and consulting services; (b) promotes a diverse supplier pool through outreach; and (c) includes methods and metrics to evaluate its supplier diversity? If yes, please describe.

124. Does your firm conduct or participate in educational or career advancement programs or activities that enhance opportunities for diverse individuals to advance in careers in asset management and finance? If yes, please describe.
125. Please complete the Diversity Profile Worksheet attached as Exhibit 2.