

**Inclusive Investment Practices:
Survey of Investment Consulting Firms**

I. DEMOGRAPHICS

A. What is the racial, ethnic and gender composition of the firm and among its ownership?

	FIRM OWNERSHIP		MANAGEMENT, CONSULTANTS		MARKETING, BUSINESS DEVELOPMENT		RESEARCH		OPERATIONS & ADMINISTRATIVE SUPPORT	
	#	%	#	%	#	%	#	%	#	%
RACE/ETHNICITY										
African American/Black										
Asian/Asian American/Pacific Islander										
Hispanic/Latino										
Native American/Indigenous										
White (Non-Hispanic)										
Other (Bi-/Multi-Racial – Not Hispanic/Latino):										
GENDER										
Female										
Male										
TOTAL										

II. FIRM POLICIES & PRACTICES

A. Does your firm have a statement or policy regarding diversity and inclusion in its hiring practices? If so, please share the statement or policy. How have you honored this statement in your operations, hiring practices or other business and investment functions?

RESPONSE: Yes or No

COMMENT: Enter policy and implementation here.

B. Do you have a plan or strategy for bringing greater diversity to your firm or to develop pipelines to leadership and ownership for people of color and/or women?

RESPONSE: Yes or No

COMMENT: Provide diversity plan here.

C. If you answered No to either question above: Is your firm developing policies and practices that address greater diversity and inclusion?

RESPONSE:

III. MANAGER ENGAGEMENT

A. Does your firm track diversity of ownership among the institutional investment management firms in your database?

RESPONSE: Yes or No

B. If yes, please complete the chart below to indicate the breakdown of firms in your manager universe.

RESPONSE:

Total number of firms in your database:	
MBE (ownership of 51% or more):	
WBE (ownership of 51% or more):	
Both (firms with minority female ownership of 51% or more):	

C. How many of these are firms are you actively tracking?

How many firms did your firm actively engage with during 2014, and how many were MWBE firms?

TOTAL FIRMS:

MWBE FIRMS:

RESPONSE: Enter number

D. As a part of your regular advisory services, how many unduplicated diverse firms has your firm recommended to clients in each of the past three calendar years?

RESPONSE:

	2014		2013		2012	
	# of firms*	# recommended	# of firms	# recommended	# of firms	# recommended
TOTAL FIRMS						
MBE						
WBE						
MWBE						

E. Based on your recommendations, how many diverse firms have your clients hired during the same period? Please indicate the number of hires including single firms hired by multiple clients.

RESPONSE:

	2014	2013	2014
TOTAL FIRMS			
MBE			
WBE			
MWBE			

F. In the past 12 months, has any member of your firm attended or presented at any of the following conferences or events that target women- and minority-owned investment management firms as participants?

RESPONSE: Select all that apply.

- ___ National Association of Securities Professionals (NASP) Annual Pension & Financial Services Conference
- ___ RG & Associates ConsortiumEAST
- ___ RG & Associates ConsortiumWEST
- ___ New America Alliance (NAA) Wall Street Summit
- ___ Association of Asian American Investment Managers Annual Conference (AAAIM)
- ___ GCM Grosvenor Small and Emerging Managers Conference
- ___ SEO Annual Alternative Investments Conference
- ___ National Association of Investment Companies (NAIC) Annual Meeting & Convention
- ___ Women’s Private Equity Summit
- ___ Women’s Alternative Investment Summit
- ___ 100 Women in Hedge Funds
- ___ Other: _____

G. Does your firm have a plan or strategy for increasing the number of diverse managers identified and recommended to your clients? If so, please describe your efforts to increase diversity among the managers you source and recommend.

RESPONSE: Yes or No

COMMENT: Provide diversity plan here.

IV. SELF-ASSESSMENT

Statement	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A
Diversity and inclusive practices are core values of our firm						
The diversity of our firm mirrors that of our nonprofit clients and their beneficiaries						
Our firm is intentional about recruiting a diverse candidate pool for open positions						
Our firm has taken action in the last 12 months to be more inclusive in sourcing and recommending diverse managers						

If you responded “Agree” or “Strongly Agree” that your firm has taken action in the last 12 months to be more inclusive in sourcing and recommending diverse managers, please describe the steps or set of actions your firm has taken to be more inclusive in sourcing investment talent.

RESPONSE: Text box for comment.

If you responded “Disagree” or “Strongly Disagree” to the statement that your firm has taken action in the last 12 months to be more inclusive, please indicate if there is intention to take action in the future to be more inclusive in sourcing and recommending diverse managers.

RESPONSE: Text box for comment.

V. FOLLOW UP

- A. Are you interested in learning more about best practices to support diversity and inclusion within your firm and/or your engagement of diverse managers?

RESPONSE: Yes or No

- B. If you responded yes, what types of resources or engagement would be most helpful:

RESPONSE: Select all that apply.

Reports

Webinars

In-house Training & Technical Assistance

Conferences, Seminars

Assessment Tools (eg. Racial Equity Impact Analysis, Implicit Bias Test, etc.)

Please provide the name and email address for the contact person regarding additional support.