



FINRA®

Employee Resource Group

2022 YEAR IN REVIEW



I am excited to introduce our Employee Resource Group (ERG) Year in Review 2022 report, which, in conjunction with our Diversity, Equity & Inclusion Report, underlines our ongoing commitment to fostering a diverse and inclusive culture at FINRA. This report highlights the activities of our 10 ERGs, including professional development, educational, networking and recruiting, and community outreach programs.

In 2022, each of our executive management committee members became an executive champion for an ERG to which they were not directly affiliated. This provided intentional opportunities to learn, grow and be an advocate for a different group within FINRA.

We are grateful for the commitment of our ERG leaders to implement programs that reflect FINRA's values. In addition to our annual ERG Leadership Summit, in 2022 we introduced our ERG Leadership Curriculum to provide ERG management committee members opportunities to better their leadership skills.

We are incredibly proud of the impact our multi-award winning ERGs provide to FINRA's engagement efforts and our overall DEI strategy.

AUDRIA LEE

**Vice President, Talent Acquisition and
Chief Diversity Officer**

50%

**of employees participated in an
ERG**

\$44,448

**donated to charities by ERG
members**

8,985

**hours volunteered by ERG
members**

At FINRA, the Employee Resource Groups (ERGs) nurture an increasingly inclusive work environment, allowing employees to drive programs and initiatives, providing engagement and ability to influence real change both within the organization and the communities we serve.

In 2022, FINRA's ERGs developed and executed more than 100 professional development, educational, networking and recruiting, and outreach opportunities. Aligning with our Presence with Purpose policy (be in the office when it meaningfully enhances outcomes), many ERGs encouraged their members to attend in-person networking events across different FINRA locations. Participation in which, has allowed employees to learn new skills and gain exposure, presenting them with new opportunities.

A subset of FINRA's Diversity, Equity and Inclusion (DEI) program, the ERGs help build and retain a diverse workforce that supports our mission of investor protection and market integrity.

This report outlines the journey of our ERGs and their impact in 2022.

Executive Champions



In 2022, each of FINRA management committee members were assigned as an executive champion for an ERG. This allows each executive to learn, grow and be an advocate for the ERG to which they are not directly affiliated. The assignments were intentional, and each executive team member has embraced this with interest, excitement, and openness. This has also been a great opportunity for the ERG management committee to gain exposure to and be mentored by a senior leader.



Through the power of diversity, equity, and inclusion, we've written another chapter in our ERGs' story this year at FINRA. Together, we've created a tapestry of belonging and understanding, where every thread, no matter how unique, has woven us closer. Here's to another year of growth, understanding, and unity, and to many more pages filled with the beauty and strength of diversity in the chapters ahead.

Sarah Halwani
HR Program Manager, Diversity, Equity and Inclusion



FINRA Women's Network

Promotes and champions the growth, development, and success of FINRA women, while maximizing their unique talents and contributions to help meet FINRA's goals and objectives.



998 Members

FWN 15th Anniversary Celebration

In 2022, the FINRA Women's Network (FWN) celebrated its 15th Anniversary as FINRA's first, and largest, ERG. In recognition of this milestone, FWN began the fall with weekly celebration emails and trivia in October, followed by a webinar, 15 Years of FWN: Its History and Impact. Held in November 2022, this webinar featured a discussion of FWN's inception, history, and plans and was attended by 126 employees.

FWN also launched a fundraising campaign, selling 15th Anniversary shirts and raising over \$2,500 for the National Domestic Violence Hotline in support of Domestic Violence Awareness Month. FWN produced and distributed to employees a video celebrating FWN and its history. The anniversary celebrations concluded with a hybrid social event in December. These celebrations provided a sense of community for the members and highlighted the impact of the ERG to FINRA's mission and goals.

Financial Capability Initiative with FWN

1

In January 2022, FWN, FLAN, FAAN, and FAPA worked with Investor Education to present a session-A Multi-Cultural Perspective on Financial Capability. The panel discussion engaged the audience in a guided dialogue exploring financial capability and inclusion from their multicultural perspective. They highlighted what we can do as individuals, a collective, an organization to create a more inclusive financial system.

2

In April, the FWN Financial Literacy Initiative hosted an event on Building Generational Wealth with, Sylvia Joseph, associate principal examiner and former Certified financial planner. There was also an open discussion on the mindset needed to build generational wealth, resources available to us to begin our wealth building journey, and how to advocate for yourself and your family to significantly improve your financial position in the present and future.

3

In summer, FWN presented Up Close & Personal Finance with Ritta McLaughlin, director, Investor Education Community Outreach. Ritta discussed her career journey and shared what fuels her passion for financial capability and community outreach, as well as her work at FINRA Investor Education and external pursuits.

4

The final session was held in November 2022 with Let's Talk About It: Economic Uncertainty. This session featured guests from The Office of the Chief Economist (OCE), Senior Vice President and Chief Economist Jonathan Sokobin and Senior Economist Patricia Ledesma Liebana, who shed light on the factors at play around the current economic uncertainty and how to build financial resilience in this climate.





I believe ERGs are part of our culture here at FINRA. They offer leadership and creative opportunities that we might not otherwise have in our day-to-day work. ERGs strengthen the synapses between departments by creating opportunities for new relationships – something that benefits FINRA as a whole.”

Natalie Meyer
FAPA Executive Sponsor

FINRA Asian Professionals Association (FAPA)



480 Members

Educates employees about Asian cultures and their significance to FINRA’s diversity and inclusion goals.

Bystander Intervention with Right to Be (formerly Hollaback)

FAPA worked with Right to Be on a customized Bystander Intervention training for FINRA. The training provided education on the history of anti-Asian hate, xenophobia and recognizing harassment situations, and taught tools and techniques to safely intervene. Attended by 600+ people, it received strong positive feedback with many expressing their appreciation of the resources provided that apply to various situations.

Lunar New Year Celebration

FAPA celebrated the lunar new year, with a virtual event designed in collaboration with Technology and Credentialing, Registration, Education and Disclosure (CRED). Attended by over 220 employees, the event featured staff performances, built understanding of traditions and culture, and included activities and new year wishes from guest speakers.

Fireside Chat

With the aim to provide professional development through leadership narratives, members of FINRA’s Board of Governors, Samir Deshpande and Peggy Ho, shared their unique experiences and insights as Asian American professionals in the financial industry, and as members of the broader AAPI community. This fireside chat was attended by about 200 employees.





“MilCom gives me the opportunity to raise awareness of the many benefits of employing guardsmen, reservists and veterans. To me, it is essential that we not only actively recruit from this group but also welcome and help them find a home at FINRA where their perspectives, abilities and efforts are explicitly valued.”

Fran Tucker
MilCom Member

FINRA Military Community (Milcom)

Raises FINRA employee awareness of potential opportunities to help, support and improve the quality of life of the military community in their areas and assists FINRA’s efforts to recruit and hire qualified military veterans.



470 Members

The Benefits of Hiring Veterans

Attended by over 250 employees, this two-part series highlighted the benefits of hiring veterans, reservists, and military spouses. For Part I, MilCom hosted a discussion featuring Major General John B. Hashem, from the Office of the Secretary of Defense. He covered the benefits of hiring veterans and how their skills make them an asset to all types of work outside the military. Part II comprised a discussion with several FINRA military veterans and hiring managers underlining the leadership skills acquired during military service, personal experiences of hiring and working with this group and tips to help transition them to corporate positions.

Fight for Centerline: Balancing Our Flights Through Life

In this virtual session, Col. (Ret.) Michelle “Mo” Barrett shared her personal experience serving in the military. She spoke about the importance of identifying an ideal state, or centerline, for each role in our life and constantly assessing where we are positioned relative to this centerline. The event was hosted in collaboration with the FINRA Pride Alliance, FINRA Asian Professionals Association, and FINRA Latino Affinity Network.

22 Pushups Challenge / MilCom Month of Giving

MilCom’s Month of Giving and DAWN’s third annual 22 Pushups Challenge were held in conjunction in November 2022. All employees who completed 22 pushups or other form of activity every day for 22 days or donated \$22 to the (National Veterans Foundation (NVF), through Benevity were entered in a drawing for MilCom prizes. FINRA matched all employee donations during the month. The event aims to engage and raise awareness of the average of 22 veteran suicides that occur daily, promote mental and physical wellness, and support NVF.

44,968
pushups

\$4,102
donated by employees +
FINRA

Disability and Wellness Network (DAWN)

Fosters a compassionate culture and community that promotes physical and mental wellbeing in the workplace through education and initiatives that encourage those with visible and invisible disabilities to bring their whole, authentic selves to work.



553 Members

DAWN's Annual Health and Wellness Symposium

Held virtually, the symposium keynote was delivered by Jeff Wissel, chief accessibility officer of Disability:IN, the leading nonprofit resource for business disability inclusion worldwide and DAWN's Benevity Charity of Choice for 2022. Speaker and author Christine Irene spoke about hidden disabilities, revealing her own struggles and successes and touching anecdotes about her friends with invisible physical and mental health disabilities. In another session - a moderated panel discussion - Jennifer Duin, DAWN communications co-chair, interviewed Charley Fogel, HR program manager, Diversity & Worklife, and Wendy Vevante and Avery Maixner, both from FINRA Dispute Resolution Services, regarding their experience with non-apparent disabilities, and tools they've used over the years.

Symposium participants were encouraged to – be mindful of mobility and accessibility issues as were return to the office, improve understanding of the range of disabilities, and be aware of resources offered by FINRA or DAWN to help employees address disabilities.

Mental Health Series – Mindful@FINRA

The program offered 20 to 30 minute virtual meditation sessions every Monday (Mindful Mondays), giving FINRA staff the opportunity to start the week off on a positive and mindful note. The longer hour-long session on the first Monday of each month covers topics of interest, Q&A, and experience sharing. Each session was led by a FINRA employee, and attended by ~20 – 40 employees on average.



Rap Sessions

DAWN held four Rap Sessions where members informally lead authentic and candid conversations around various challenges they faced during and post-pandemic. The events provided a sense of community through guided conversations with the participants, garnering much praise from attendees.



FINRA BRIDGES

Promotes understanding and appreciation of all religious faiths, spiritual beliefs, and traditions, including the values of those who are religiously unaffiliated, agnostics and atheists.



214 Members

Diverse People, Same needs

On March 24, 2022, BRIDGES hosted motivational speaker and author Marolda Cameron who presented on the commonalities and sameness among people despite obvious differences. Attended by over 100 members via Zoom, the session comprised insightful and thought-provoking content.

Eid-al-FITR Event

In May 2022, BRIDGES collaborated with FINRA Asian Professionals Association (FAPA) for a virtual celebration of Eid-al-Fitr. The event sought to highlight the many ways this traditional conclusion to the month of prayer and fasting–Ramadan, is celebrated. It was also a great opportunity to reach members of FAPA and support the BRIDGES mission.

Bring Your Faith Event (“BYF”)

Management committee member Suzanne Bertolett spoke at the July 27, 2022, Bring Your Faith event about her journey from conservative fundamentalist Christianity. The enthusiasm and engagement of participants proved, it reminded that people appreciate the opportunity to share stories of faith and tradition through these monthly themed events.



“ERGs in an organization have the potential to be transformative by enriching work culture and helping staff feel a sense of belonging with their colleagues. To take on a leadership role at ERGs is one of the highest calls of service in an organization, as we drive change in ideologies by valuing perspectives that may be underrepresented in the industry.”

Julio Mathieu
FAAN Member

FINRA African American Network (FAAN)

Provides networking and mentoring opportunities, inspires professional development and leadership, and focuses on enhancing the visibility and highlights of African American achievements and contributions.



569 Members

Focus Group - Uplifting the Black Male Voice

The goal of the focus group was to create a safe space to define community and work life issues, share experiences and to arrive at realistic solutions to the many challenges that black males face in today's current environment. With 6 participants per focus group, the participants were able to develop a sense of community and belonging.

Juneteenth Week of Service

FAAN organized its first-ever Juneteenth Week of Service from June 13 - 17, 2022. FINRA colleagues from across the country took part in a wide variety of volunteer activities, ranging from food and clothing drives to presentations about financial literacy. Spanning 140+ volunteers who enabled individual donations (in person and online), FAAN helped 15 organizations just within the Juneteenth week of service.

Black History Month Events

Let's Eat: The African Culinary Influence

A virtual celebration, it reflected on the influence of African culinary heritage on food in the Americas, while also discussing the foods' societal impact. Joined by 160+ people, the attendees felt that this program helped forge a deeper connection with other cultures.

A Spoken Word Event

This event featured presentations in the tradition of spoken word as it had been reflected throughout our experience in America. The employees shared their perspectives of what Black History Month means to them, while adding word play and rhythm as a means of such expression. Over 222+ people attended this event.

Let's Discuss: Black History Is American History

FAAN's Flagship event witnessed more than 215 participants and featured a moderated fireside chat between Bill St. Louis, FAAN's executive sponsor; and Jim Reynolds, co-founder, charmane, and CEO of a 25-year-old minority owned full-service investment bank, brokerage, and advisory firm. During the session, Reynolds shared his opinions on the rise of financial technology, the importance of allyship, and how to attract and retain diverse talent.



"I joined FLAN to support FINRA's goal of furthering diversity, equity and inclusion. I also wanted to learn, be an ally to my fellow Latinos, and support the wonderful work that ERGs continue to do year-on-year. I know first-hand the dedication and work it takes to create, deliver and maintain ERG programming, and seeing the great work coming out of FLAN really encouraged me to want to join and support these initiatives."

Erick Estrada
FLAN Member



FINRA Latino Affinity Network (FLAN)

Supports and provides programs, events, and initiatives that enhance the visibility of Hispanic/Latino values within FINRA, illustrate the richness and depth of FINRA's multicultural and diversified workforce, and help establish FINRA as an employer of choice.



404 Members

Conversaciones en Español

Hosted bi-weekly on Wednesday afternoons, most sessions began with a song. The discussion topics ranged from mentorship/sponsorship, resolutions and accomplishments, resources used for travel; traditions, culture, food and different Spanish dialects. The session also gave the nearly 200 attendees an opportunity to practice their Spanish and learn new words.

Hispanic Heritage Month: Salsa Dance Class

This year's Hispanic Heritage Month Salsa Dance Class event was a hybrid interactive event via Zoom and in person in NYC-Brookfield Place, Washington, DC, and Boca Raton. FLAN members joined Joel Salsa-a New York City based salsa dance school, for a fun dance class. The event brought employees together virtually and in person to learn about their culture, music and dance, marking the close of the one-month celebration of Hispanic Heritage Month.

FINRA Families Network (FFN)

Fosters a culture of community for members of all types of families by providing opportunities and resources to balance life's priorities.



793 Members

Kitchen Talk Series-Anxiety in Children

FFN hosted the first session of the Kitchen Table Talk Series with guest speaker, Dawn Huebner, PhD, a psychologist and bestselling author of self-help books for children, who specializes in childhood anxiety. Dr. Huebner addressed the practical aspects of anxiety in children, including what parents and guardians can do to help their children who have recurring anxiety issues that are more serious than everyday stresses. Attended by over 244 employees, the event was organized in collaboration with BRIDGES, DAWN, FAPA, FLAN and FPA.

Take Our Children to Work Day

Take Our Children to Work Day, planned in collaboration with Diversity & Worklife and the Office of Investor Education, offered children an opportunity to get a glimpse into FINRA's workplace, how we operate, and our mission in a fun and interactive way. The event attendees participated in different activities based on their age, including a scavenger hunt, interactive polls; and game show activities. Following the event, which was attended by 118 children, books were sent to them.



Celebrating Diverse Families

FFN changed its name from FINRA Parents Network (FPN) to reflect a more inclusive view of our workforce and represent diverse family structures. To celebrate its new name, FFN hosted a panel discussion titled Celebrating FINRA's Families. Our panelists shared their experiences and addressed common misconceptions about nontraditional families. Our goal for this event was to foster an environment that helps all staff feel more comfortable bringing their authentic selves to work and to celebrate the many families that make up FINRA. The event was attended by almost 290 people.



FINRA Multigenerational ERG Exchange (MERGE)

Creating a welcoming community that gives voice to each generation by showcasing their unique and diverse perspectives and facilitating intergenerational collaboration and communication.



439 Members

MERGE Breakrooms

MERGE Breakrooms is a new initiative to connect with colleagues in today's remote environment. Each Breakroom focuses on a common interest, enabling discussions and networking with others as we would in the office. MERGE members gathered in small groups to connect over books, movies/TV shows, outdoor activities, pets, travel, and products expertise in the first round of MERGE Breakrooms. Given the overwhelming positive feedback from members, this has become an ongoing series.

Generations and Leadership

Held in April 2022, the leadership panel brought together some of FINRA's senior leaders to discuss the generations active at FINRA. Our panelists provided perspectives on career mobility and the importance of generational diversity.

Song for Charlie Charity Campaign

Song for Charlie was selected as the charity for this engagement collaborating with the experts, educators, parents and other influencers to help reach the most vulnerable group: young people between the ages 13-24. The program highlights the emerging dangers of self-medication and casual drug use in the fentanyl era and encourages healthier strategies for coping with stress. FINRA matched the donations made to this charity raising \$9,445 in total, far exceeding the goal of \$2,022 set for the organization. This is the second highest amount raised by an ERG since 2020.



FINRA PRIDE

Contributes to FINRA's diversity and inclusion efforts by providing a safe and welcoming forum that increases awareness, education and visibility; fosters recruitment, retention and professional development; and promotes equitable policies and practices for FINRA's lesbian, gay, bisexual and transgender (LGBT) employees and their allies.

FINRA PRIDE
Alliance

435 Members



Pride Month

For Pride Month, FINRA PRIDE selected Griot Circle—a charity committed to ensuring LGBTQIA+ elders of color experience a just and abundant quality of life—as the charity it would support. . Using this opportunity to give back to the LGBTQ+ community, employees donated almost \$4,000 to GRIOT Circle during the Pride month.

During Pride Month weekly emails were sent to members highlighting a key figure from the LGBTQ+ community to raise awareness of important cultural figures in the LGBTQ+ community. Celebration of the end of pride month 2022 included pride month updates, interactive activities and prizes. It provided members an opportunity to gather informally, and build connections in a safe space celebrating the LGBTQ+ community.

CURED

This event included a 25-minute preview of CURED followed by a panel discussion featuring the film's co-directors, Patrick Sammon and Bennett Singer, and activist and film interviewee, Rev. Magora Kennedy. Attended by more than 50 participants, the educational event recognized National Coming Out Day and provided diversity education for attendees, specifically an opportunity to learn more about history and activism in the LGBTQ+ community.



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