

2015 Diversity Summit
“Breaking New Ground – Diversity as a Key Driver for Innovation”

March 18, 2015
Club 101 – 101 Park Avenue
New York, NY
8:30 a.m. – 4:30 p.m.

Agenda

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| 8:30 a.m. – 9:00 a.m. | Registration |
| 9:00 a.m. – 9:15 a.m. | Welcome Remarks & Introduction of Speaker
Rick Ketchum, Chairman and CEO, FINRA |
| 9:15 a.m. – 10:15 a.m. | Breakthroughs in Diversity and Inclusion: Are We Moving?

A conversation with FINRA Chairman and CEO Rick Ketchum and Wells Fargo Advisors President Mary T. Mack discuss the progress of diversity and inclusion efforts in a changing world and the impact it has made on the bottom line. |
| 10:15 a.m. – 10:30 a.m. | Break |
| 10:30 a.m. – 11:45 a.m. | Disruptive Inclusion: An Incubator for Innovation

In this session, diversity leaders from FINRA member firms share their experience and perspectives on fostering an inclusive work environment where creative ideas can surface and grow. Panelists discuss tactical examples of how organizations can encourage innovation and collaborations to help solve complex business challenges.

Panelists:
Wanda Brackins , Head, Wealth Management Global Diversity, RBC Wealth Management
Mark Chamberlain , Director, Diversity & Inclusion, Barclays
Ana Duarte McCarthy , Chief Diversity Officer, Citi
Anilu Vazquez-Ubarri , Chief Diversity Officer and Global Co-head of Talent Development, Goldman, Sachs & Co.

Moderator:
Jonathan Sokobin , Senior Vice President, Office of the Chief Economist, FINRA |
| 11:45 a.m. – 1:00 p.m. | Networking Lunch |

1:00 p.m. – 2:15 p.m.

Brain Trust Session: Roundtables to Share Diversity and Inclusion Best Practices

During this session, participants engage in facilitated roundtable discussions to share best practices, challenges and solutions to drive *innovation* for a diverse and inclusive workplace. Topics include:

- **Building a Corporate Lattice** – breaking silos, utilizing people with different backgrounds and experiences to spur creativity in functional areas, enrich career opportunities.
- **Business Resource Groups as Partners** – leveraging employee resource groups to find innovative solutions to business problems.
- **Deep Dive into Retention** – embracing connectedness and a sense of belonging in an organization through talent retention strategies including employee recognition and incentives, engaging remote and part-time employees and developing social networks across business units.
- **Strengthening Cultural Intelligence** – building awareness of different cultures and perspectives to help lead innovation in the business.

Session Facilitators:

Rosie Allan, Director, Organizational Development, FINRA
Audria Lee, Director, Diversity and Worklife Program, FINRA

2:15 p.m. – 2:30 p.m.

Break

2:30 p.m. – 3:30 p.m.

Accelerating Change through Authentic Leadership

Veronica Villalobos, Director - Office of Diversity and Inclusion, United States Office of Personnel Management, shares her perspectives on how authentic leadership principles can inspire and transform the work of diversity. Ms. Villalobos also discusses strategies for engaging and cultivating a generation of leaders who understand the value of diversity, and can move forward the organization's diversity and inclusion success

Moderator:

Tracy Johnson, Senior Vice President, Human Resources Management, FINRA

3:30 p.m. – 3:35 p.m.

Closing Remarks

3:35 p.m. – 4:30 p.m.

Networking