

The poster features a dark background with a gradient of gold and purple sparkles. The top half is filled with gold square-shaped sparkles, while the bottom half transitions into purple circular sparkles. The text is centered and uses a mix of white and purple colors.

InvestmentNews  
**diversity,**  
**equity**  
**& INCLUSION**  
AWARDS

September 21, 2021

Edison Ballroom | New York, NY

#INdiversity

# SHUNDRAWN THOMAS

President | Northern Trust Asset Management

The year 2020 was a tipping point in multiple ways across cultures, economies and attitudes that drove people toward self-reflection and sometimes vocal and violent expressions of frustration and anger. It will go down in history as the year a global pandemic shut down nearly everything and inadvertently cleared the way for a narrower focus on racial inequities and the system that's accused of perpetuating them.

Against that backdrop, the efforts of Shundrawn Thomas might seem almost subtle, but they are not. In fact, little about Thomas, the president of Northern Trust Asset Management, is subdued, although his demeanor and general presentation suggest otherwise. Without preaching or even getting agitated, Thomas talks about “the unfortunate deaths of people of color not being a new thing” even though it drew a lot of attention in 2020.

“I can track the story of my own life in the years leading up to that point,” he said. “The difference last year is it was occurring in the midst of a pandemic that created an environment where you have everybody’s attention.”

When Thomas was promoted to president of the \$1.2 trillion asset management division in 2017, he became the first person of color elevated to the top tier of management at Northern Trust Corp.

Thomas, 47, has worked in financial services since 1994. He joined the Chicago-based asset manager 18 years ago, and moved up through the ranks by doing exactly what he would suggest to anyone trying to find success at any endeavor.

“You have to really focus on the discipline of being a consummate professional, and provide more service than you get paid for,” said Thomas, sounding pretty understated for a man who doesn't seem to have many gaps in his schedule for what most of us might describe as down time.

In addition to his demanding day job, he is a husband and father of two boys, and he's involved in his church and active in alumni affairs at his alma mater, Florida A&M, as well as the Toigo Foundation, which fosters career development for underrepresented talent.

He's also written four books, the most recent of which is “Discover Joy in Work” (IVP Books, 2019).

The 2021 winner of the InvestmentNews Excellence in Diversity, Equity & Inclusion Lifetime Achievement Award is not the kind of person who seeks recognition for his success nor status as an African American in an industry where women and minorities in leadership are still rare. But Thomas appreciates and enthusiastically shoulders the opportunity to challenge the status quo, and to help make success stories like his more common.

“Leadership representation has not changed materially in my three decades in financial services,” he said. “How much money is managed by women- and minority-owned firms? And think about the unique situation of my role.”





## MICHELLE AVAN

Senior Vice President | Bank of America

**At the nation's** second-largest bank, Michelle Avan held a job title befitting its broad scope: senior vice president and head of global women's and under-represented talent strategy, global human resources. In her role, Avan was responsible for the comprehensive strategy and efforts that Bank of America uses throughout the company to attract, hire, retain, develop and advance talent in every area of the financial giant's business. Sadly, Michelle Avan passed away earlier this year. Please join InvestmentNews in remembering her passion and good work on behalf of Diversity, Equity and Inclusion in the financial advice industry, and in extending our condolences to her family, friends and colleagues.



## JASON HOWELL

President, Family Wealth Adviser | Jason Howell Co.

**If being a** Black financial adviser isn't unusual enough, Jason Howell believes he may be the only one holding a specific trio of certifications — as a financial planner, private wealth adviser and socially responsible investment counselor. What's more, his eponymous registered investment advisory firm in Vienna, Virginia, is one of the relatively few in the nation owned by a person of color. Ironically, however, Howell says he never paid much attention to whether he was the only person in the room who looked like him. "I wasn't looking at things that way; I saw myself as an immigrant," said Howell, who was born in California, but whose family returned to Trinidad when he was seven and then moved to Virginia when he was 13. "In high school, I didn't have the right hipness."

Becoming an accountant and working in finance for several years may not have been hip either, but it prepared him for some exciting next steps: Writing a book on personal finance, running for Congress as an independent with ideas to reform the tax code and stimulate housing, and becoming an RIA six years ago.

## ERIKA KARP

Chief Impact Officer | Pathstone

**Researching a company's** environmental impact, governance or social record isn't necessarily ideological, it's just a more robust and useful way to do investment research. That's the core view of veteran Wall Street analyst and executive Erika Karp, who says ESG issues have proven to be material to investment outcomes and don't imply giving up competitive returns. Karp, who headed global sector research at UBS Investment Bank, founded Cornerstone Capital in 2013 to pursue what she calls a more regenerative and inclusive form of capitalism. "Founding my own company taught me about the power of speaking out in a focused way," she said. "At UBS we did a lot of great work, but Cornerstone had impact because of its laser focus."

Karp plans to continue that focus in her role as chief impact officer at Pathstone, the advisory firm that acquired Cornerstone Capital this past March. She believes that diversity plays a key role in effecting change because it expands the ways of looking at the world. And to make change happen, Karp believes "it's really important to make people feel just the right amount of uncomfortable." Making them too uncomfortable, she says, can drive them away, but if they're not at all uncomfortable, they won't challenge themselves enough.

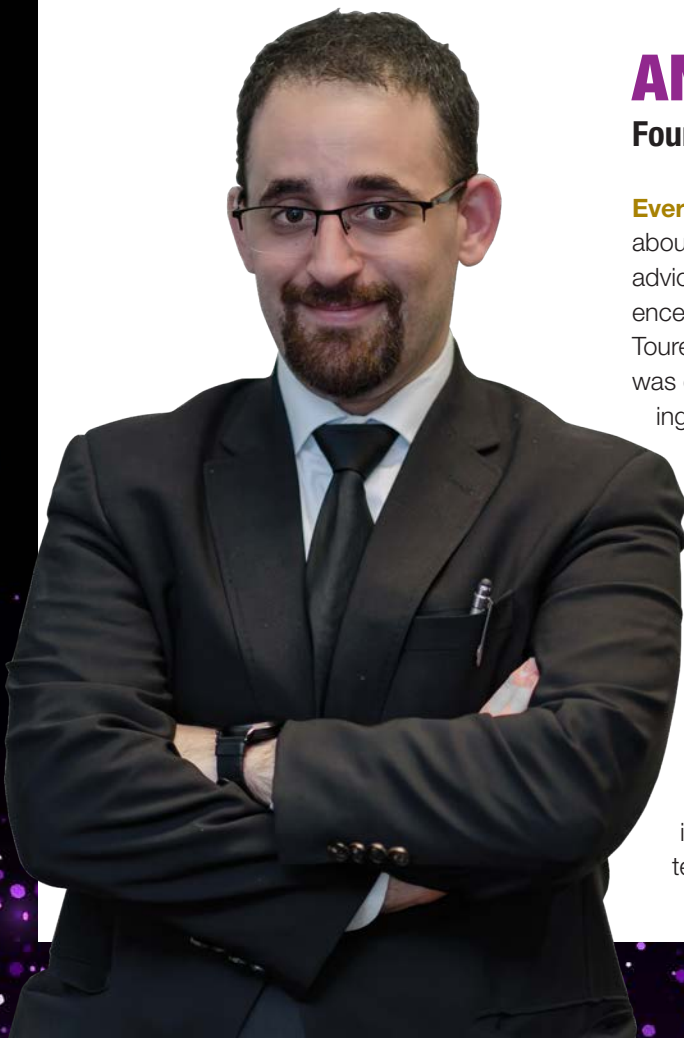


## ANDREW KOMAROW

Founder | Planning Across the Spectrum

**Ever hear the** term "neurodiversity"? Andrew Komarow is passionate about supporting it, having built an international business providing advice to clients and others dealing with diverse neurological differences including autism, attention-deficit/hyperactivity disorder and Tourette Syndrome. Much of his work is done pro bono. Komarow was diagnosed with autism as an adult. Similarly, his staff at Farmington, Connecticut-based Planning Across the Spectrum and sister hybrid, Tenpath Financial Group, is neurodiverse. "I have strengths and weaknesses, just like anyone else," he says, "but the diagnosis explained a lot of the problems I had growing up. Sometimes, I'm a little too blunt or honest, and I can't write to save my life. But I'm good at digging into details and coming up with unique solutions."

In addition to conventional financial planning solutions, he and his staff help those with special needs and their families — as well as companies that employ special-needs people — navigate the complexities of available government assistance programs, as well as point out the many estate and tax planning issues that most individuals, and advisers, don't know about. His team even provides job coaching.



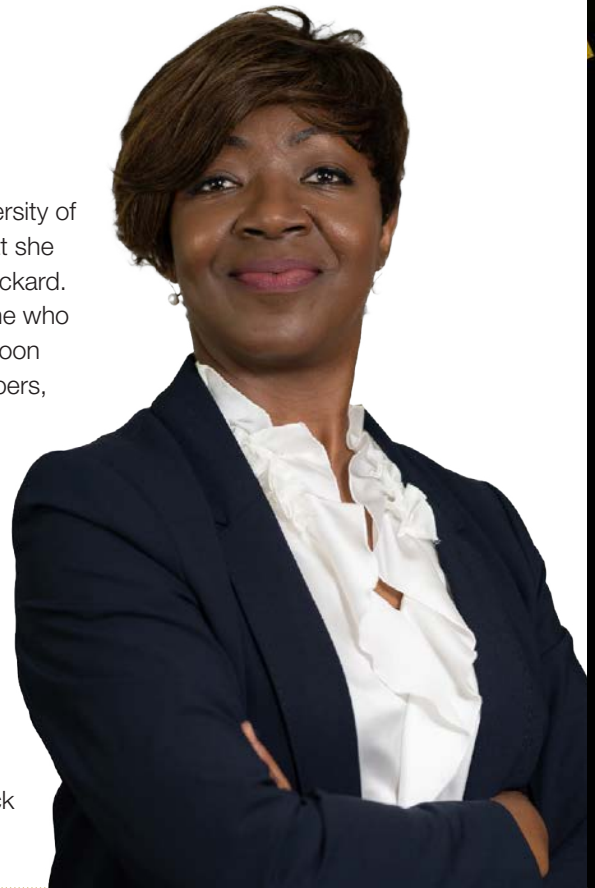


## LANTA EVANS-MOTTE

Financial Adviser | Raymond James Financial

**After graduating with** a degree in accounting and finance from the University of Maryland on an academic scholarship, Lanta Evans-Motte discovered that she didn't understand the many benefits that came with her job at Hewlett-Packard. "I grew up poor in a small town in Northern Florida and didn't know anyone who knew about those things," she said. She set out to educate herself, and soon began sharing what she learned with family, friends and community members, putting on free workshops. "I came to realize that this was what I was put on the planet to do," she said. So, after a successful 13-year career in high tech, and with an MBA in finance, she became a financial adviser, first going to a wirehouse and then, in 2005, to the Raymond James independent channel.

She had no illusions about how difficult that would be but said being independent let her grow her business her way, which she did by cultivating centers of influence and continuing her educational workshops. "Many of my clients are caretakers and nurturers of other people, so I'm a kind of giver to givers," she said. She has given back in other ways too, serving as a charter member and past president of the Association of African American Financial Advisors and as a member of her firm's Black Financial Advisors Network Advisory Council.



## ROSE NIANG

Director of Financial Planning | Edelman Financial Engines

**Mother knew best.** When Rose Niang was thrust into high school in Newark, New Jersey, upon emigrating from Senegal as a teenager, she found her strong suit was math, leading her guidance counselor to suggest she become a math teacher. "But my mother, who came here a few years earlier and had been a teacher in Africa, told me I wouldn't like it. I took an education course and discovered she was right, so I switched to finance," Niang said. That choice led to an MBA, a move to Atlanta, jobs at some large financial institutions, and the decision to become a financial planner. "I enjoyed the work in my early jobs, but I wasn't able to help people who looked like me and most needed my help," she said, adding that part of the reason she was delighted to join Edelman Financial Engines in 2013 was because the firm has no minimum account size.

At the firm, Niang is involved in attracting and retaining more people like her. Last year, she founded Black Employees Advancing Career Opportunities and Networking, or BEACON, whose 78 team members implemented a mentorship program and an engagement effort aimed at new hires. BEACON and Edelman's education team also launched a series of financial education and well-being webinars for local community groups and professional associations, aimed at deepening local involvement and encouraging trust.



## GERARD TAMPARONG

Managing Director | Miracle Mile Advisors

**The pathway to** a career in finance for Gerard Tamparong was a Special Olympics-like event he managed in college more than 20 years ago. “Like many Filipino immigrants, my parents wanted me to be a doctor, so I majored in biology and worked in hospitals throughout school,” said Tamparong, adding that a traumatic ambulance experience made him realize he wasn’t suited to a career in medicine. Strong in math yet knowing nothing about finance, he took a flier and spoke with a visiting recruiter from Franklin Templeton who was impressed with Tamparong’s event leadership skills and offered him a job. After working in the Bay Area, Tamparong moved back to Los Angeles and spent 19 years at Payden & Rygel, where he served small nonprofits including Native American tribes, community college foundations and unions. In January 2020, he joined Miracle Mile Advisors and started its institutional division to continue that work.

Having a prosthetic leg and a wife who is deaf, Tamparong knows first-hand the struggles those with disabilities can face, as well as the many challenges poverty can pose. He is passionate about giving back, sitting on the boards of several charities, where he develops innovative ways for them to maximize their funds.



## LEO TUCKER

Managing Partner | Northwestern Mutual – Washington, D.C.

**Become a lawyer:** That was the message Leo Tucker heard over and over from his Jamaican immigrant father while growing up in the Fort Lauderdale, Florida, suburbs. “My father felt that being a lawyer or a doctor was the pinnacle of American success, but I didn’t want to do either,” said Tucker, who jokes that “getting into financial services was my way of avoiding law school.” But his father needn’t have worried. Tucker has spent more than 30 years at Northwestern Mutual, becoming its first African American managing partner. He is now responsible for running the firm’s Washington, D.C., region, overseeing about 300 people in six offices.

Throughout his career, Tucker says he was “usually the only guy who looked like me.” Regardless of the challenges that posed, he said he always has strived to be a positive role model for others like him and to prove that diversity pays off. The success of his region has demonstrated that, prompting Northwestern to invite him to participate in its recently formed Sustained Action for Racial Equity task force. Tucker believes that investment literacy and planning should be for everyone, not just the few, and that financial organizations should today’s marketplace.





## EDWARD N. WALTERS

SVP of Investment Products, Platforms and Practice Management | Lincoln Financial

**When Edward N.** Walters talks with students and others whom he senses are too ashamed or afraid to admit what they don't understand about personal finance, he shares a secret: He doesn't know everything, either. The head of strategic direction for Lincoln Financial's broker-dealers will explain that the first time he received stock options, he had to turn to an expert to understand exactly what that would mean in terms of compensation. "Everyone needs help," Walters said. "Finance is a core part of life, and I feel a responsibility as a member of a minority that doesn't always have access to the necessary information and tools to help provide that access."

Growing up, access to finance was nearby for Walters, who said he was blessed to have as a role model a cousin who worked as a portfolio manager for Brown Capital Management, the nation's oldest Black investment firm. "I was reading the Wall Street Journal in high school to try and impress him." Moving to Lincoln two years ago after positions at Legg Mason, Janney Montgomery Scott and T. Rowe Price, Walters worked to create Lincoln Accelerating Business Leadership Experiences, or LincABLE, a paid internship program that tries to demystify finance and offer mentorships and career guidance for minority high school students.

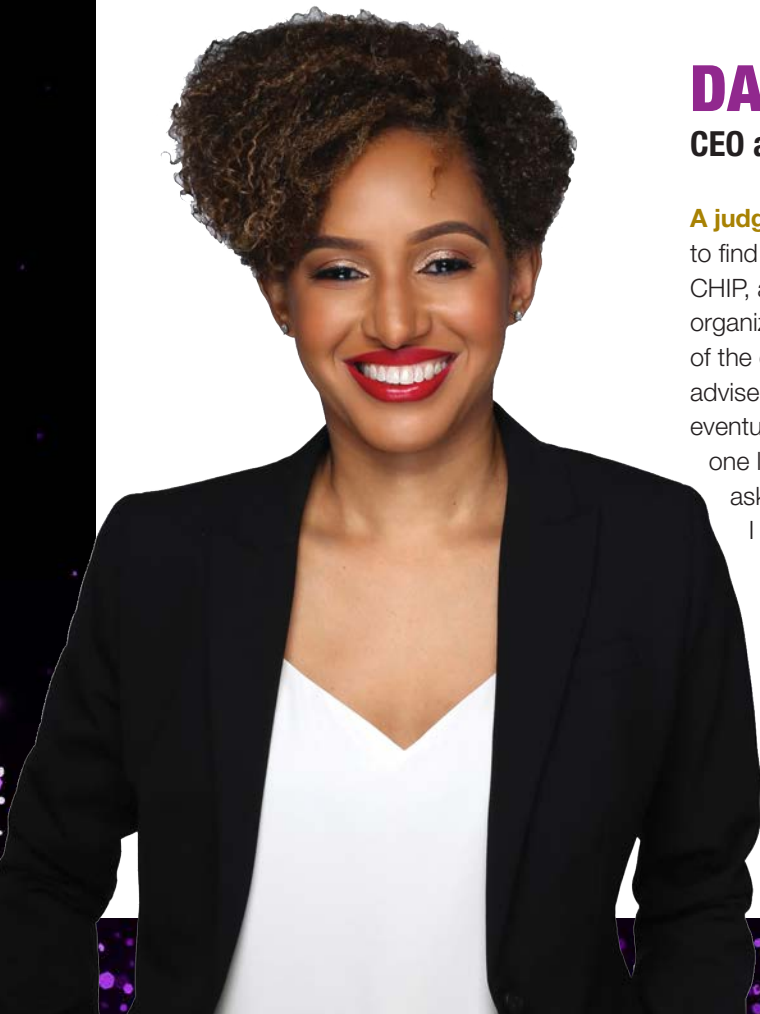


## DANA WILSON

CEO and Founder | Changing How Individuals Prosper

**A judgment-free,** welcoming space that encourages people of color to find financial advisers who look like them: That's the purpose of CHIP, an acronym for Changing How Individuals Prosper, an online organization founded and led by Dana Wilson. "CHIP was the result of the evolution of my career," said Wilson, who became a financial adviser at SunTrust Bank in 2008, later moved to Merrill Lynch, and eventually formed her own firm. "I became tired of never seeing anyone like me wherever I worked. After the murder of George Floyd, I asked myself how I would turn the emotion and passion for what I felt into something productive. I wanted to form an inclusive environment, and that became CHIP."

Assisted by a team of volunteer professionals, Wilson is focused on CHIP full-time. It is both a referral network, making it easier for consumers to find Black and brown advisers who can help them with their specific needs, as well as a member community and hub for financial professionals of color, such as estate attorneys and accountants, in addition to advisers.



## JUAN CARLOS BASTIDA

Financial Advisor | Merrill Lynch

**As a Mexican** by birth, a Californian as a teen, and a South Floridian as an adult — and as someone who is open about sharing his personal life — it's probably not surprising that Juan Carlos Bastida has developed a wide network of friends and clients throughout the U.S. and Latin America. One important aspect of his personal life is his active involvement in the LGBTQ+ community in the Fort Lauderdale, Florida area. He participates in Pride Network walks and other events in Broward, Dade and Palm Beach counties and tries to create awareness and to volunteer whenever he has the opportunity. Bastida joined Merrill Lynch in Plantation, Florida, three years ago after a career route that was somewhat circuitous. "I always knew I was analytical and got a job at American Express as a business analyst," he said. "But after a while I realized I also wanted to work with people and went to work for Washington Mutual in the mortgage area."

After JPMorgan Chase acquired the bank, Bastida transferred to the wealth management operation, got licensed and discovered he had a passion for investments.



## JOANNA JIN

Global Chief of Staff, Consumer and  
Wealth Management | Goldman Sachs

**Her credentials couldn't** be more top tier: A senior position at Goldman Sachs, a degree from Yale University and a stint working at the White House. Yet Joanna Jin never hides her humble background. "My father moved to New York from China in 1993 with \$50 and worked as a delivery guy. My mother worked as a waitress," she said. "I was born here but lived with my grandparents in China until I was four, so English is not my first language." She said her parents sacrificed so much for her that she feels a need to pay it forward. In the workplace, Jin does that by promoting diversity and inclusion, and encouraging discussions of those topics, including race. "Even if awkward, those discussions have to get woven into regular discourse, not saved for a few minutes at the end of a meeting or for a brief chat down the hall," she said.

In her role as global chief of staff in Goldman's new consumer and wealth management division, Jin is working to build a digital bank that aims to help people across underserved backgrounds achieve their financial goals. She also co-founded the nonprofit PosiCOVIDity and spearheaded its Innovation Challenge, which funded 200 student entrepreneurs at historically black colleges and universities and those with nontraditional backgrounds with \$40,000 to help launch business ventures focused on Covid-19 relief.



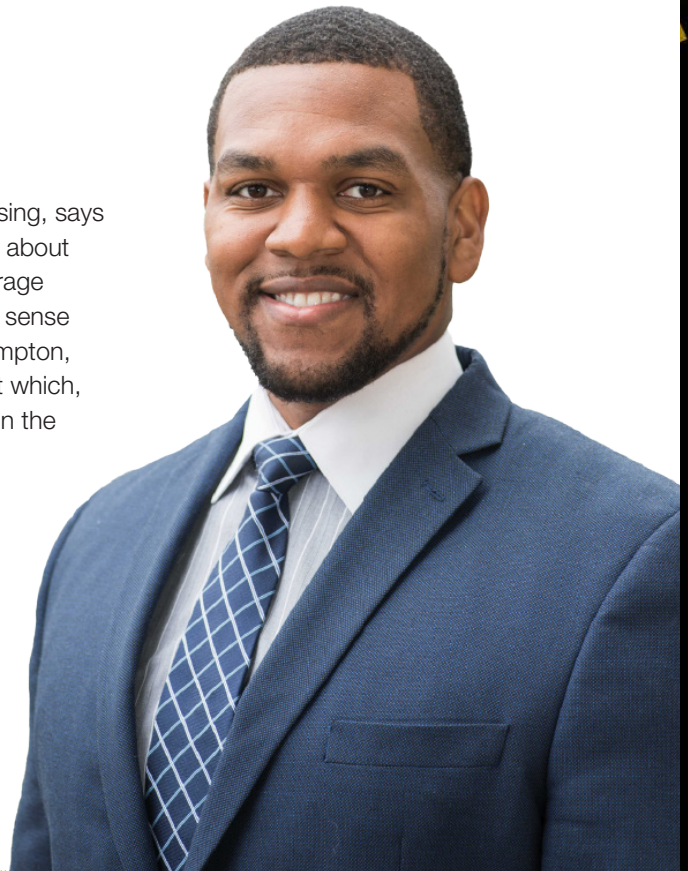


## MARCUS RATHER

Financial Adviser | Cetera Investors

**Growing up in** a hardworking, two-parent household was a blessing, says Marcus Rather, who remembers that his parents didn't talk much about money — except maybe when it was tight — but they did encourage savings. "I liked seeing my bank account grow and I developed a sense of living under my means, which I enjoyed," said the native of Hampton, Virginia. Participation in a summer program during high school, at which, one of the volunteer counselors was a financial planner, set him on the path to becoming an adviser. After majoring in finance at Virginia Commonwealth University, he landed a job in the Richmond, Virginia, suburbs with Foresters Financial, part of a Canadian fraternal benefit society. In 2019, Foresters sold its broker-dealer to Cetera Financial.

Perhaps because of his early love of finance, Rather continues to mentor students at VCU and educates them about careers in financial services. He also acts as a mentor to the firm's interns from other schools.



## CAMILLE YORK

Financial Adviser | Raymond James

**When she couldn't** find an opening in her chosen field — public relations — Camille York grabbed the next-best thing, a job in the marketing department of a credit union. Applying the communications, PR and management skills she acquired in her undergraduate and master's business administration programs, York created a college-level financial literacy program for the credit union that included a financial "food truck" from which she offered students help with questions about budgets, credit cards and loans. "I discovered I loved the one-on-one interaction," York said, and she soon started working for the credit union's wealth manager as an assistant. She became licensed and in 2018, after two years in that role, moved to Raymond James, working at an employee-channel office in her hometown of Tampa, Florida.

Partnering since the start of the year with Jody Clark, a fellow young adviser, York continues to focus on financial literacy, holding education sessions with minority and women's groups to cover the basics. The pair also produces short educational pieces that are used on social media. Last year, her efforts earned her the inaugural Ascend Award from her firm's Black Financial Advisor Network, which honors a Black Next-Gen adviser who exemplifies the qualities vital to supporting the next generation of clients.



## OUTSTANDING PRACTICE FINALISTS



### ALLY INVEST

Broker-dealer | Employees: 300+

How do you attract clients from segments of the population that traditionally have been ignored? Since the start of 2020, Ally Invest President Lule Demissie and Lindsey Bell, the firm's chief investment officer, have been working to create an intensive, information-led program designed to build trust and credibility with those segments, specifically women and Black and Brown people. The goal was to create an approach different from typical campaigns aimed at predominantly wealthy white male investors. "A diverse workforce makes us more innovative and creates a stronger culture," said Reggie Willis, Ally's chief diversity officer.



### ARNERICH MASSENA

RIA | Employees: 34

Since 2017, when the leadership and employees of Arnerich Massena adopted a "Diversity & Inclusion Manifesto" and launched a D&I Committee, the Portland, Oregon-based firm says it has been committed to fostering a culture that "inspires and nurtures the human spirit." It also is committed to creating policies and procedures that reflect the diversity of its community. The committee meets regularly to arrange training and resources for employees, review hiring practices and offer recommendations to leadership about ways to continue to enhance the company's DEI profile.



### BAIRD ADVISORS

Hybrid | Employees: 65

Leveraging internship programs and developing talent through a partnership model are the routes Baird Advisors has chosen to achieve its goal of increasing diversity. Its efforts have led to a diverse team that is 55% women, 46% millennials/Generation Z, 25% ethnically diverse and 15% who started as interns. Baird, whose internship program has evolved to attract more diverse talent, has created Associate Resource Groups that provide networking and career development opportunities and a stronger sense of community. The firm partners with All-In Milwaukee, which helps limited-income, high-potential students graduate from college.



### CARSON GROUP

RIA | Employees: 249

Continuing to advance internal and external efforts, Carson Group formed its Inclusion, Diversity, Education and Action Council, or IDEA Council, last August. The group meets biweekly to create a shared language and an understanding among stakeholders while educating and connecting them to individuals and organizations that will spark change. The council facilitated the firm's partnership with Inclusive Communities, a local Omaha nonprofit that specializes in facilitating interactive workshops focusing on diversity, equity and inclusion education. The entire firm participated in a five-part workshop series. "Since our inception, we've worked to create a space of belonging, connection and community.



## OUTSTANDING PRACTICE FINALISTS



### **LIDO ADVISORS** **RIA | Employees: 83**

Taking a cue from the legal professional, Los Angeles-based Lido Advisors, a registered investment advisory firm managing \$7 billion, adopted a version of the Mansfield Rule. The rule was inspired by a winning idea at the 2016 Women in Law Hackathon and measures whether law firms have affirmatively considered at least 30% women, lawyers of color, LGBTQ+ lawyers, and lawyers with disabilities for leadership and governance roles, equity partner promotions and formal client pitches. Lido's version ensures that at least 30% of the candidate pool for any role at the firm meets those diversity requirements.



### **NORTHWESTERN MUTUAL - WASHINGTON, D.C.** **Insurance and planning firm | Employees: 285**

Last year, when Northwestern Mutual wanted to double down on its diversity and inclusion efforts, CEO John Schlifske started the Sustained Action for Racial Equity task force. He asked Leo Tucker, who heads the firm's business in and around the nation's capital, to spearhead work related to mutual respect in Northwestern Mutual's 76 field network offices and 240 district offices nationally. Tucker's work will include testing for alignment with the company's commitment to D&I, creating inclusive cultures and adding rigorous national training for each territory. "By intentionally creating an office that reflects the marketplace we serve and being able to attract talent from a wider variety of pools, our business has grown faster than other offices.



### **RBC WEALTH MANAGEMENT – U.S.** **Broker-dealer | Employees: 5,400**

Diversity and inclusion took on greater importance at RBC Wealth Management – U.S. five years ago when a new leadership team decided to better recruit and retain diverse employees and better support diverse communities. The firm concentrated on two areas: increasing the number of women financial advisers and increasing racial and ethnic diversity. "We realize that building a diverse business that fosters inclusion takes a lot of hard work, which is why we've invested more time, money and spirit into drawing more diverse talent to our industry as well as ensuring they can be their best, authentic selves at work," said CEO Michael Armstrong.

## DIVERSITY CHAMPION FINALISTS



### ACCESS HOLDINGS

**Investment Firm** | **Employees: 25**

From its start in 2013, Access Holdings has focused on diversity and inclusion, believing that a diverse team is the bedrock of creative thinking and the key to an enduring business. The private equity firm made a deliberate decision to locate its headquarters in Baltimore's historic, but distressed, Mount Vernon neighborhood, where it hires local residents and supports local businesses. In addition, firm employees are active members of the community, volunteering and serving local institutions in a variety of ways. "We believe a diverse team inspires creative thinking and brings important perspective to the development and growth of enduring businesses," said Kevin McAllister, founder and managing partner.



### DIVERSITY PROJECT NORTH AMERICA

**Industry group** | **Employees: 36**

Organized by NICSA, a nonprofit trade association in the investment management industry, the Diversity Project North America is an industry-wide initiative that aims to accelerate DEI and advance diverse mid- and higher-level employees through a variety of efforts. These include benchmarking, education and outreach, events, industry and member engagement and efforts to identify and develop the next generation of leaders at member firms. "It's clear that diversity, equity and inclusion are business imperatives to succeed in the asset management industry. Research has shown that organizations with diverse and inclusive cultures are more likely to be high performing, innovative and achieve better business outcomes. Our goal is to promote a diverse and inclusive asset management industry with the right talent to deliver the best possible results for our clients, reflect the society we serve, and ensure long-term business sustainability," said Justine Phoenix, head of Diversity Project North America.



### FINANCIAL ALLIANCE FOR RACIAL EQUITY

**Industry group** | **Employees: 7 member firms, 6 HB-CUs, 2 industry partners**

In September 2020, Nationwide Financial formed the Financial Alliance for Racial Equity to increase the number of Black professionals entering the financial services industry and to support and invest in them once there. In this effort to prioritize DEI efforts, Nationwide proposed the FARE concept to six historically Black colleges and universities, as well as to Morgan Stanley, Huntington Bank, NFP, Franklin Templeton, M Financial, Miami Life and National Brokerage Atlantic. All agreed to participate by providing resources, training and connections to Black students and professionals, which will be important components to their success in the financial services industry.



## DIVERSITY CHAMPION FINALISTS



### FS INVESTMENTS

**Asset manager | Employees: 400**

The events of 2020 challenged FS Investments to further examine its years-long commitment to building a more diverse, equitable and inclusive organization. The firm's employee-led Inclusion Council expanded its work, conducting anti-bias training, launching a new internal Courageous Conversation series through which employees were provided a safe space for meaningful discussion, and hosting a virtual firmwide meeting to educate colleagues and board members on the roots of systemic racism. In addition, it established a supplier diversity program and supported firm and FS Foundation partnerships that promote equity and inclusion.



### JOHN HANCOCK

**Asset Manager | Employees: 5,400**

John Hancock's MLK Scholars program, built on the inspirational values and legacy of its namesake, Dr. Martin Luther King Jr., aims to provide meaningful employment and jobs readiness opportunities through 50 local nonprofit organizations and at John Hancock's Boston office. The target population is Boston teenagers selected for their leadership potential, with priority given to those living in communities with relatively lower economic opportunity. "Pairing employment experience with financial capability training helps open doors for our city's young people and empowers them to make educated financial decisions, laying the groundwork for economic growth and a more equitable Boston," said Marianne Harrison, John Hancock president and CEO.



### MASSMUTUAL FINANCIAL ADVISORS

**An organization of MassMutual, insurance firm  
Employees: 6,000+**

Describing its commitment to diversity, equity and inclusion as unwavering, MassMutual Financial Advisors said it strives to set a positive example for clients, advisers and communities through enterprise-wide initiatives supporting underserved populations. Some of these include its Black & African American Strategy Initiative that focuses on education, economic empowerment, enterprise opportunity and equitable justice; its Asian American & Pacific Islander community support campaign to provide greater access to financial services; and a SpecialCare planner program to help support individuals with special needs and their caregivers. "By embracing inclusion and celebrating diversity, we build one another up and help make our world a better place for future generations — one where together, we are stronger.

## DIVERSITY CHAMPION FINALISTS



### **NATIXIS INVESTMENT MANAGERS**

**Asset manager | Employees: 4,079**

The events of 2020 led Natixis Investment Managers to implement several new initiatives to help move more meaningfully toward its long-held diversity and inclusion goals. These efforts included:

- Creating a social justice matching-gift program, designed to support nonprofit organizations that seek to advance equality for minority groups and promoting social justice around the world.
- Supporting the global expansion of MADE (Multicultural and Diversity Engagement), the firm's Boston-based group supporting racial and ethnic diversity. The firm also collaborated with experts in guiding "courageous conversations" with teams globally in the context of their local cultures.
- Incorporating shared values-based leadership training, with an additional emphasis on ethnic/racial diversity, into the firm's global leadership development program.



### **NORTHERN TRUST ASSET MANAGEMENT**

**Asset manager | Employees: 923**

Believing that organizations with a demonstrated commitment to corporate social responsibility and diversity, equity and inclusion create greater value for their clients and the communities they serve, Northern Trust Asset Management has added several initiatives and expanded others in its efforts to recruit, retain and promote a high-caliber diverse workforce. For one, it's conducted industrywide conversations during the pandemic and social unrest in 2020 that addressed DE&I issues. In an internal discussion series, employees shared personal experiences to foster open conversations topics including race. "We define diversity as the quality of inclusiveness of gender, ethnicity, experience and perspective, all of which enrich us as a company and enable us to better serve a diverse client base, including advisers," said Shundrawn Thomas, president of Northern Trust Asset Management.



### **SEI**

**Fintech firm | Employees: 4,000+**

SEI believes that two of its programs — the Female Advisor Community and its Neurodiversity@Work program — stand out for their creativity and effectiveness in moving the needle on diversity, equity and inclusion. Its Female Advisor Community, launched in 2019, aims to increase collaboration, provide mentorship opportunities and build a network for female advisers and colleagues. The community, led by Lisa A.K. Kirchenbauer, founder and president of Omega Wealth Management, is intentionally adviser-led so that participants can forge authentic connections and openly share their challenges, successes and aspirations to become stronger counselors and client advocates as well as achieve continued professional growth in a male-dominated field.



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## LIFETIME ACHIEVEMENT



**Margaret Starner**  
Senior vice president  
Starner Group of Raymond James & Associates

## SEE IT BE IT ROLE MODELS



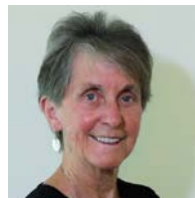
**Stuart Armstrong**  
Certified financial  
planner  
Centinel Financial  
Group



**Nancy Canales**  
Director and client  
relationship manager  
Merrill Lynch Wealth  
Management,  
Bank of America



**Lule Demissie**  
President  
Ally Invest



**Susan Hansen**  
President  
Hansen's Advisory  
Services



**Brock Moseley**  
Founder and  
managing director  
Miracle Mile  
Advisors



**Nelly Mubashi**  
CEO  
Northwest Asset  
Management



**Rickie Taylor**  
Retirement plan  
consultant and  
regional director  
Retirement Plan  
Consultants



**Shundrawn  
Thomas**  
President  
Northern Trust  
Asset Management



**James Thompson**  
Head of diverse  
markets strategy  
Bernstein  
Private Wealth  
Management



**James Walker Jr.**  
First vice president  
Morgan Stanley



**Lynne Wright**  
Senior vice president,  
investments  
Raymond James

## RISING STARS



**Krista Deguffroy**  
Director of inclusion  
and compliance  
SEI



**C. James Taylor**  
Senior vice president  
Merrill Lynch Wealth Management,  
Bank of America



**OUTSTANDING PRACTICES**



**AllGen Financial Advisors**  
WINNER



**BPG Wealth Management**



**Brio Financial Group**



**Lockton Retirement Services**



**Plocher Financial Group of Northwestern Mutual**  
WINNER

**DIVERSITY CHAMPIONS**



**AllianceBernstein**  
WINNER



**Allianz Life Insurance Co. of North America**



**Empower Retirement**



**FS Investments**



**Ethic**



**E\*Trade Financial**



**Natixis Investment Managers**



**Northern Trust Asset Management**  
WINNER



**Nuveen Investments**  
WINNER



**Waddell & Reed Financial**





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