



2023 Employee Resource Group Year in Review





EMPLOYEE RESOURCE GROUPS: FOSTERING A CULTURE OF CONNECTIVITY

2023 Year in Review

Our 2023 Employee Resource Group (ERG) Year in Review showcases an important component of the FINRA employee experience. 49% of FINRA employees participate in an ERG, and over the past 16 years, the FINRA network of ERGs has grown to encompass 10 ERGs recognizing different elements of the FINRA team.

The success of our ERGs can be attributed to the talents and dedication of each ERG's management committee and executive champion, who work together to thoughtfully plan and produce programs that reflect FINRA's values and our commitment to fostering an inclusive environment.

For the first time in four years, the annual ERG Leadership Summit took place in person, with two days of programming for ERG management committee members. ERG leadership gathered in Rockville for sessions on topics such as empathy and creating a culture of care. The summit included time for each ERG to work on its 2024 business plan, and the event culminated with a service project to make blankets for children in need.

In addition to the ERGs, the new employee-led **Multicultural Initiative (MCI)** has been introduced to recognize diverse cultures not represented by the current ERG network. MCI explored 16 cultures in 2023, wrapping up the year with "Connecting Cultures Through Holiday Traditions," an event held in collaboration with the FINRA Families Network (FFN). A panel of FINRA team members representing the Romanian/Malaysian, Filipino, Ugandan, Chinese and Vietnamese cultures discussed their cultural, social and religious heritages.

ERGs help shape FINRA's culture by breaking down barriers and serve as an incubator for employee leadership. As you'll see in the following pages, these ERGs collaborated in new ways in 2023 to explore timely, impactful issues and provide valuable opportunities for learning and open, honest dialogue.



MEMBERS
537

FINRA Asian Professionals Association (FAPA)

FAPA’s mission is to promote Asian American and Pacific Islander (AAPI) American culture, as well as to support AAPI professional development and networking opportunities.

PROVIDING CULTURAL EDUCATION

FAPA shared and celebrated AAPI culture with virtual and hybrid Lunar New Year celebrations and the AAPI Month Celebration, as well as an Eid-Al-Adha (Feast of Sacrifice) event held in collaboration with BRIDGES and the Market Regulation & Transparency Services Diversity & Inclusion Committee. An onsite Diwali celebration took place in Rockville and featured music, dance, games, crafts and a traditional lunch.

ENCOURAGING GREATER CONNECTIVITY

FAPA’s May Open House showcased the ERG’s past and upcoming events and included networking time. FAPA also organized a Chill Lounge at Createathon where attendees enjoyed AI-powered music and food trivia as well as music by Kevin Dang and Jamie Pineda.

INFLUENCING MINDFUL CHANGE

Nearly 90 attendees learned about mindfulness during an April session led by Irene Bobbins, Senior Director, Transparency Services Business Analysis. Following Bobbins’ overview and Q&A, attendees participated in a guided meditation. In May, Dr. Vu Pham shared strategies for using collective influence to drive change. FAPA also collaborated with FFN and Cyber and Information Security (CIS) to present the Cyber Safe Tea workshop series.



MEMBERS
427

FINRA Latino Affinity Network (FLAN)

FLAN works to enhance the visibility of Hispanic/Latino values within FINRA by illustrating the richness and depth of FINRA’s diverse, multicultural workforce.

ENHANCING VISIBILITY

During Hispanic Heritage Month, FLAN produced the *American Dream* Video in which ERG members shared their personal reflections on their experiences immigrating to the United States, as well as on what the American dream means to them. FLAN also celebrated its 10th anniversary during Hispanic Heritage Month with a “Prosperity, Power and Progress” panel.

CELEBRATING A MULTICULTURAL AND DIVERSIFIED WORKFORCE

More than 200 attendees participated in biweekly “Conversaciones en Español” that provide an opportunity to practice public speaking and networking in Spanish. During the “Back to School Edition” of “Conversaciones en Español,” attendees and their children participated in a virtual scavenger hunt and learned about school-related objects in Spanish.

PROMOTING COLLABORATION ACROSS FINRA

During Women’s History Month, FLAN collaborated with FAAN, FAPA and FWN on a panel exploring the concept of intersectionality. FLAN also hosted its “Conociendo a” (“Getting to Know”) FINRA series showcasing FINRA departments.

“ERGs provide an avenue for building future leaders. They serve as a great platform for professional development, offering access to resources, collaboration, networking and mentorship.”

AMUL KIKANI

Associate Principal Analyst, Regulatory Review & Disclosure



MEMBERS
625

FINRA Disability and Wellness Network (DAWN)

DAWN seeks to foster a compassionate community that promotes physical and mental well-being in the workplace by encouraging those with visible and invisible disabilities to bring their whole, authentic selves to work.

EDUCATING ON (IN)VISIBLE DISABILITIES

In May, DAWN held a program on neurodiversity featuring an in-house panel of FINRA employees sharing their own experiences navigating neurodiversity. Out of this program, a Neurodiversity Teams Channel and Community was launched, providing a space for employees to share resources and concerns. Each month, the Neurodiversity Community gathers to discuss focus areas including ADHD, the autism spectrum, OCD, PTSD and caregiving in neurodiverse households.

AMPLIFYING AWARENESS

In February, DAWN collaborated with FAAN to present “Amplify the Invisible: Sickle Cell Anemia Awareness” with Dr. Tartania Brown.

PROMOTING MENTAL WELL-BEING

DAWN hosted the “Talk Saves Lives: An Introduction to Suicide Prevention” webinar in September featuring a speaker from the American Foundation for Suicide Prevention (AFSP). Participants learned common risk factors for suicide, how to spot warning signs in others and strategies for keeping loved ones safe. DAWN also raised nearly \$2,000 for AFSP in conjunction with the event.

“My partner is in the Marine Corps. MilCom gives me a place to discuss that part of my life at work, which makes me feel like I can bring my full self to work.”

CHELSEA BUCHIANE

Senior Analyst, Surveillance and Market Intelligence



MEMBERS
404

FINRA Military Community (MilCom)

MilCom’s mission is to raise employee awareness of opportunities to support the military community and to promote the expertise and experience of veteran-employees as an asset within FINRA and the securities industry as a whole.

RAISING EMPLOYEE AWARENESS

MilCom’s April membership luncheon was a hybrid event with Zoom-based networking sessions and in-person gatherings at the Rockville, New York, Woodbridge and Chicago offices. In May, MilCom partnered with FFN to hold a panel discussion on the impact of military service on family and work life. The third annual FINRA-Travis Manion Foundation Remote 5K took place in July, and this year’s event featured an event group on the Strava app where participants could share photos and run/walk routes.

RECRUITING MILITARY VETERANS

MilCom provided support to People Solutions at several recruiting events, including the Hiring Our Heroes virtual event, Service Academy Career Conference and the MBA Veterans Conference.

CELEBRATING VETERANS’ TRAINING AND EXPERTISE

In November, MilCom hosted a Veteran Empowerment and Networking Program in which two FINRA veteran-employees—Rob Francis, Senior Director in the Cyber and Analytics Unit (CAU) in Member Supervision, and Owen Jones, Principal Analyst in Market Regulation—shared their personal experiences transitioning from the military to the corporate world.



MEMBERS

286

FINRA BRIDGES

FINRA BRIDGES encourages mutual understanding, appreciation and appropriate expression of all faith traditions through respectful and open-minded dialogue.

FOSTERING RESPECTFUL AND OPEN-MINDED DIALOGUE

BRIDGES' 2023 keynote event featured author and former professional baseball player Chris Singleton, who delivered a message of resilience, forgiveness and unity drawn from his experiences following the loss of his mother in a racially motivated mass shooting in South Carolina in 2015.

ENCOURAGING MUTUAL UNDERSTANDING

In May, BRIDGES explored the National Day of Reason through a panel discussion, offering programming that acknowledges and celebrates atheist and agnostic members.

APPRECIATING DIVERSE FAITHS

BRIDGES partnered with FAPA and the Market Regulation and Transparency Services Diversity & Inclusion Committee in an event that explained the history and significance of the Muslim holiday of Eid-al-Adha. This was followed by a Bring Your Faith event in which FAPA members Hesham Ibrahim and Irfan Gilani discussed their religious beliefs and traditions as practicing Muslims. Through regular Bring Your Faith sessions, BRIDGES provides a forum where ERG members can comfortably discuss issues of faith, religion and spirituality.



MEMBERS

510

FINRA Multigenerational ERG Exchange (MERGE)

MERGE seeks to create a welcoming community that gives voice to each generation and promotes collaboration and communication

FACILITATING COLLABORATION AND COMMUNICATION

MERGE membership increased 20% during 2023 as the ERG partnered with FINRA Recruiting to establish regular opportunities for in-person connection—a need identified by Recruiting for new Gen Z colleagues joining the workforce. MERGE Office Champions organized FINRA town hall watch parties called MERGE with Purpose at each office location.

SHOWCASING UNIQUE AND DIVERSE PERSPECTIVES

In April, MERGE hosted the first session of the Financial Innovation Series, "Investor Trends within the Generations," which highlighted changes in technology, investment resources and views that affect investing across generations. Six panelists, each from a different generation, shared their unique perspectives on topics covered in the FINRA Foundation's 2022 *Investors in the United States: The Changing Landscape* report.

EXPLORING INTERSECTIONAL IDENTITIES

MERGE also partnered with FINRA's Multicultural Initiative to explore issues of intersectionality across generations during a June forum. In December, MERGE worked with BRIDGES to present the "Celebrating Faiths & Traditions Across Generations" holiday panel.

"The ERGs are a big part of the FINRA fabric. They help shape the culture, whether you're an active participant as a leader helping create DEI programming or a member attending that programming. The ERGs break down barriers, embedding diversity into our day-to-day work."

SARAH HALWANI

Associate Director of Operations for Regulatory Economics and Market Analysis



MEMBERS
485

FINRA Pride Alliance (FPA)

FPA works to provide a safe and welcoming forum that increases awareness, education and visibility for LGBTQ+ employees and their allies, as well as to provide recruitment, retention and professional development opportunities.

INCREASING AWARENESS AND VISIBILITY

In October, in collaboration with FFN, FPA screened the film *Mama Has a Mustache*, an animated documentary about gender and family as seen through children's eyes. Director Sally Rubin participated in a Q&A after the screening. During Pride Month, FPA sent weekly emails to its membership highlighting a key figure from the LGBTQ+ community.

PROVIDING ONGOING EDUCATION

As its kickoff to Pride Month, FPA held an LGBTQ+ History 101 event that provided a framework for understanding the importance of documenting and preserving LGBTQ+ history.

PROMOTING EQUITY

FPA members and senior leadership held a conversation on the importance of inclusive language and current challenges facing the LGBTQ+ community. This open and honest dialogue conveyed FINRA's visible support for the LGBTQ+ community, with a particular focus on transgender and nonbinary employees and their families. In November, FPA hosted a Celebration of Transgender and Nonbinary Families event featuring Dr. Marcie Beigel, who provided tools and resources for maintaining open lines of communication, supporting loved ones and being strong allies.



MEMBERS
1,125

FINRA Women's Network (FWN)

The mission of FWN is to promote and cultivate the growth, development and success of FINRA women through networking opportunities and increased awareness of issues that impact women.

PROMOTING PROFESSIONAL DEVELOPMENT

FWN—FINRA's oldest ERG—hosted a mentoring program for its members. Events included a panel in which pairs of mentors/mentees discussed how they initially connected and have developed and maintained mentoring relationships, even in a remote work environment. A second mentoring event paired potential mentors and mentees in a speed networking setting. Several mentees made connections with participating mentors, and others appreciated learning about resources that will help them find long-term mentors.

PROVIDING NETWORKING OPPORTUNITIES

During quarterly FWN Women's Circles, participants engage in authentic conversations on work/life balance, career, workplace challenges, parenting and more.

INCREASING AWARENESS OF CRITICAL ISSUES

FWN and Women in Technology collaborated on the Go Red Day initiative, encouraging colleagues to wear red in support of the global initiative to end heart disease and strokes among women. FWN hosted a virtual panel in which three women shared the impact of cardiovascular disease in their lives. In October, FWN raised more than \$5,000 for the National Domestic Violence Hotline.

“In a post-COVID world, connections are difficult to find because of the hurry of the workday and because we generally only interact with those within our direct groups. An ERG provides me the opportunity to find a community outside of my everyday team. It's exciting for me to have the opportunity to share space with individuals who have common interests or backgrounds.”

CRISTINA ZECENA-HERNANDEZ
Equities & Options Examiner



MEMBERS
617

FINRA African American Network (FAAN)

FAAN provides networking and professional development opportunities for all employees of African descent, including but not limited to those of African Heritage; from the Caribbean Islands; or who are Afro-Indigenous, Afro-Latin or Afro-Brazilians, as well as other Black individuals of mixed-race ethnicities.

EXPLORING DIVERSE PERSPECTIVES

FAAN's flagship event in February was a fireside chat between FAAN Executive Sponsor Bill St. Louis and PCAOB Chair Erica Y. Williams. Nearly 500 FINRA and PCAOB employees attended this event to learn more about Williams' professional journey; her perspectives on organizational effectiveness and diversity, equity and inclusion efforts and her influence within the community.

FOSTERING REPRESENTATION

In February, FAAN partnered with DAWN to host a fireside chat with Dr. Tartania Brown about her experiences living with sickle cell anemia, a nonvisible disability that affects the Black community.

SPONSORING COMMUNITY INVOLVEMENT

FAAN organized a Juneteenth Week of Service in which 140 employees participated in in-person volunteer activities, ranging from food and clothing drives to financial literacy presentations. The week included a virtual service event benefiting the Howard University School of Business Career Closet.



MEMBERS
869

FINRA Families Network (FFN)

FFN works to foster inclusion by supporting families of all kinds and providing events and resources that support the many types of families found within the FINRA community.

SUPPORTING FAMILIES OF ALL KINDS

FFN membership increased by 12% in 2023, with FINRA members drawn to programming that supports diverse family structures. During its April charity drive, FFN raised nearly \$6,800 (including FFN member donations and FINRA matching funds) for Ronald McDonald House Charities Global Inc. In collaboration with DAWN, FFN facilitated the participation of 360 children nationwide in Take Our Children to Work Day.

PROVIDING VALUABLE RESOURCES

FFN partnered with FAPA and Cyber & Information Security (CIS) to present a three-part Cyber Safe Tea Series on keeping children safe while online, particularly while online gaming. A "Self-Care for Caregivers" panel in October brought together colleagues for a discussion of the challenges and quiet joys of caregiving, with a focus on self-care for the caregiver. In November, FFN collaborated with Aveshka to host "COVID ... Three Years Later," which explored the effect of the pandemic on families and offered helpful tips for continued guidance and support.

"The ERG is a place to talk openly and share where you are, with grief, with anxiety, with wherever you are [in life]. Life continues when you are at work, and you are really supported and taken seriously here."

STEPHANIE DUMONT

FINRA Executive Vice President, Head of Market Regulation and Transparency Services, and FINRA Pride Alliance Executive Champion



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