

United States Securities and Exchange Commission
Annual Equal Employment Opportunity Program Status Report



Fiscal Year 2012

Filed with U.S. Equal Employment Opportunity Commission

Pursuant to EEOC Management Directive 715

EEOC FORM 715-01

SEC FY 2012 Annual EEO Program Status Report Table of Contents

	Pages
Identifying Information for the SEC (EEOC 715-01 A)	2
Total Employment at the SEC (EEOC 715-01 B)	2
Officials at the SEC Responsible for Oversight of EEO Programs (EEOC 715-01 C)	2
Summary of Forms and Documents Included in Report (EEOC 715-01 D)	4
Executive Summary of Report (EEOC 715-01 E)	5-15
I. SEC Mission Statement	5
II. Model EEO Program Assessment	5-8
A. Demonstrated Commitment from Agency Leadership	5
B. Integration into the Agency’s Strategic Mission	6
C. Management and Program Accountability	7
D. Proactive Prevention of Unlawful Discrimination	7
E. Efficiency	7
F. Responsiveness and Legal Compliance	8
III. Summary Analysis of Workforce Profiles and Barrier Analysis	8-11
A. Total SEC Workforce	8
B. New Hires	9
C. Major Occupations	10
D. Supervisory and Management Demographics	11
IV. Summary of Objectives Planned to Correct Program Deficiencies for FY 2012	11-12
V. Summary of FY 2012 Accomplishments	12-15
A. Recruitment and Hiring	12
B. Employee Engagement: Diversity & Inclusion Programs for Employees	13
C. Training & Leadership Development	14
D. Special Program Plan for Recruitment, Hiring, and Advancement of Individuals with Targeted Disabilities	14
Plan to Attain Model EEO Program (EEOC 715-01 H)	16-18
Certification of EEO Program (EEOC 715-01 F)	19
EEO Plan to Eliminate Problem or Potential Barrier (EEOC 715-01)	20-23
Plan for Recruitment, Hiring, and Advancement of Individuals with Targeted Disabilities (EEOC 715-01 J)	24-25
EEO Policy Statements	26-29
Organizational Structure of the Securities and Exchange Commission	30-31
Appendices	
FY 2012 Race, Ethnicity and Gender Data – EEOC 715-01 A Tables	A 1-17
FY 2012 Disability Status Data - EEOC 715-01 B Tables	B 1-15

For period covering October 1, 2011 to September 30, 2012.

PART A Department or Agency Identifying Information	1. Agency		1. United States Securities and Exchange Commission	
	1.a. 2 nd level reporting component		None	
	1.b. 3 rd level reporting component		None	
	1.c. 4 th level reporting component		None	
	2. Address		2. 100 F. Street N.E.	
	3. City, State, Zip Code		3. Washington, District of Columbia 20549	
	4. CPDF Code	5. FIPS code(s)	4. SE00	5. 8840
PART B Total Employment	1. Enter total number of permanent full-time and part-time employees			1. 3,870
	2. Enter total number of temporary employees			2. 39
	3. Enter total number employees paid from non-appropriated funds			3. 0
	4. TOTAL EMPLOYMENT [add lines B 1 through 3]			4. 3,909
PART C Agency Official(s) Responsible For Oversight of EEO and Related Program(s)	1. Head of Agency Official Title		1. Elisse B. Walter Chairman	
	2. Agency Head Designee		2. Alta G. Rodriguez, Director Office of Equal Employment Opportunity (Office of EEO)	
	3. Principal EEO Director/Official Official Title/series/grade		3. Alta G. Rodriguez Director, Office of EEO	
	4. Title VII Affirmative EEO Program Official		4. Alta G. Rodriguez Director, Office of EEO	
	5. Section 501 Affirmative Action Program Official		5. Alta G. Rodriguez Director, Office of EEO	

	6. Complaint Processing Program Manager	6. Alta G. Rodriguez, Director, Office of EEO
	7. Other Responsible Officials	7. Lacey Dingman, Director, Office of Human Resources

**EEOC FORM
715-01
PARTS A - D
U.S. Equal Employment Opportunity Commission
FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT**

EEOC FORMS and Documents Included With This Report			
*Executive Summary [FORM 715-01 PART E], that includes segments listed:	X	*Optional Annual Self-Assessment Checklist Against Essential Elements [FORM 715-01PART G]	X
Brief paragraph describing the agency's mission and mission-related functions		*EEO Plan To Attain the Essential Elements of a Model EEO Program [FORM 715-01PART H] for each programmatic essential element requiring improvement	X
Summary of results of agency's annual self-assessment against MD-715 "Essential Elements"		*EEO Plan To Eliminate Identified Barrier [FORM 715-01 PART I] for each identified barrier	X
Summary of Analysis of Work Force Profiles including net change analysis and comparison to RCLF		*Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities for agencies with 1,000 or more employees [FORM 715-01 PART J]	X
Summary of EEO Plan objectives planned to eliminate identified barriers or correct program deficiencies		*Copy of Workforce Data Tables as necessary to support Executive Summary and/or EEO Plans	X
Summary of EEO Plan action items implemented or accomplished		*Copy of data from 462 Report as necessary to support action items related to Complaint Processing Program deficiencies, ADR effectiveness, or other compliance issues.	NA
*Statement of Establishment of Continuing Equal Employment Opportunity Programs [FORM 715-01 PART F]	X	*Copy of Facility Accessibility Survey results as necessary to support EEO Action Plan for building renovation projects	NA
*Copies of relevant EEO Policy Statement(s) and/or excerpts from revisions made to EEO Policy Statements	X	*Organizational Chart	X

**EEOC FORM
715-01
PART E
U.S. Equal Employment Opportunity Commission
FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT**

United States Securities and Exchange Commission
October 1, 2011, to September 30, 2012.

EXECUTIVE SUMMARY

I. Mission of the SEC

The mission of the U.S. Securities and Exchange Commission (SEC or Commission) is to protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation.

The SEC monitors a securities industry comprised of more than 35,000 registrants, including approximately 10,000 publicly-traded companies; 11,000 investment advisers; 7,500 mutual funds; 5,000 broker-dealers; 500 transfer agents; 15 national securities exchanges; 9 clearing agencies; and 10 credit rating agencies.

The SEC's core values are integrity, accountability, effectiveness, teamwork, fairness, and commitment to excellence. In order to accomplish its mission most effectively and efficiently, the SEC consists of five presidentially-appointed Commissioners who have staggered five-year terms. One of them is designated by the President as Chairman of the Commission. In late November 2012, President Barack Obama designated Chairman Elisse B. Walter as the Commission's Chairman.

The SEC is organized into five main divisions (Corporation Finance; Enforcement; Investment Management; Trading and Markets; and Risk, Strategy, and Financial Innovation) and 20 operational offices. The Commission's headquarters is located in Washington, D.C., and there are 11 regional offices located throughout the country. As of September 30, 2012, the SEC employed 3,909 full-time employees (FTEs), consisting of 3,870 permanent employees and 39 temporary employees. See *Table A1*.

II. Model EEO Program Assessment

A. Demonstrated Commitment from Agency Leadership

The SEC's clear commitment to equal employment opportunity (EEO) and Diversity and Inclusion (D&I) is evident in the Chairman's message to all employees:

As we work toward fulfilling our mission of protecting investors, maintaining fair, orderly, and efficient markets, and facilitating capital formation, I want to express my commitment to strengthening and maintaining a high-quality work environment that fully utilizes the talents and capabilities of every individual, from all backgrounds, walks of life, and organizational levels. We must dedicate ourselves to promoting and ensuring diversity, inclusion, and equal employment opportunity (EEO) for all employees and applicants for employment regardless of race, color, sex, sexual orientation, national origin, religion,

age, genetic information or disability. These protections must continue to be provided and enforced in an atmosphere free of retaliation or reprisal.

Further, each Commissioner at the agency actively sponsors one or more of the nine Employee Resource Groups (ERGs). Eight of these Employee Resource Groups are also sponsored by the Office of EEO (OEEEO), as part of the SEC's EEO Special Emphasis Program. The remaining Employee Resource Group, which is the Veteran's Committee, is sponsored by the Office of Human Resources (OHR). Moreover, the Division Directors and Office Heads participate in OEEEO events held throughout the year as part of the agency's ongoing Special Emphasis Programs and encourage employees to participate in these activities. An annual Diversity and Inclusion Award is presented to show the Commission's special appreciation for those members of the staff who have significantly contributed to the advancement of equal employment and promotion opportunities for minorities and those with disabilities at the SEC or in their communities. In FY 2012, the SEC presented the Diversity and Inclusion Award to the leadership of the SEC's African American Council.

B. Integration of EEO into the Agency's Strategic Mission

In 2009, The SEC developed an agency wide strategic plan highlighting four specific goals. Goal 4 of the agency's five (5) year Strategic Plan underscores the need to attract a highly effective and diverse workforce, and states, in pertinent part:

Goal 4: Enhance the Commission's performance through effective alignment and management of human, information, and financial capital.

Outcome 4.1: The SEC maintains a work environment that attracts, engages, and retains a technically proficient and diverse workforce that can excel and meet the dynamic challenges of market oversight.

Outcome 4.2: The SEC retains a diverse team of world-class leaders who provide motivation and strategic direction to the SEC workforce.

In support of this strategic goal and objectives, the SEC has developed ongoing partnerships and alliances with professional organizations to engage their membership and inform them about employment opportunities at the SEC. In FY 2012, these organizations included, among others, the Washington, DC Chapters of the: Association of Latino Professionals in Finance and Accounting; Corporate Counsel Women of Color; Hispanic National Bar Association; Minority Corporate Counsel Association; and U.S. Department of Labor and U.S Department of Defense Workforce Recruitment Program. The SEC leverages these mutually-beneficial alliances to reach a broader and more diverse pool of applicants for employment at the Commission.

In FY 2012, in support of the SEC's 5-year Disability Employment Plan (2011-2016) to improve the agency's ability to attract, engage, hire, and retain individuals with disabilities, the SEC hired 11 employees with disabilities and 2 with targeted disabilities.

The SEC has a very effective Office of Minority and Women Inclusion team of staff who are developing and executing programs and initiatives to enhance the diversity of the agency's workforce and small business vendors, as required by Section 342 of the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank Act).

C. Management and Program Accountability

The OEEO Director reports directly to the Chairman of the SEC. The OEEO staff consists of six (6) Attorneys, including the Director and a Deputy Director; an EEO Specialist; and a Program Support Specialist. OEEO program functions include counseling, alternative dispute resolution, investigation and final adjudication processes. Further, as mentioned above, OEEO coordinates with Employee Resource Groups to deliver Special Observance Programs to employees at headquarters and in the regions. Consistent with the Notification and Federal Employee Antidiscrimination and Retaliation Act of 2002 (No FEAR Act), OEEO informs new employees of their rights and remedies under antidiscrimination laws and whistleblower protection laws within 90 days of their appointment. OEEO provides headquarters employees training on EEO-related topics. Regional office employees receive EEO training through interactive sessions, lectures, and seminars, some of which are broadcast via video teleconferences. To supplement these trainings, the OEEO delivers training on EEO topics via a "Lunch and Learn" series and various print materials.

In FY 2012, the collateral duty EEO Counselors attended quarterly training sessions hosted by the OEEO in addition to their mandatory 8 hour refresher course training requirement.

The SEC launched a Learning Management System (LMS) to deliver a variety of online training courses related to SEC business lines, as well as training on career development. The FY 2012 No FEAR Act training was successfully delivered through the LMS to all SEC employees with a 98% rate of participation.

As required by the No FEAR Act, the SEC posts EEO complaint processing data on its internal and public websites. In FY 2012, the SEC posted its FY 2011 Annual EEO Program Report on its internal and public websites. Finally, all SEC managers and supervisors are evaluated on various competencies, two of which include EEO and Diversity & Inclusion elements.

D. Proactive Prevention of Unlawful Discrimination

As part of our proactive prevention efforts, the SEC publishes EEO policies covering harassment prevention, reasonable accommodation, and religious discrimination on its internal website. The EEO posters are placed in high traffic areas of the SEC buildings to provide employees and applicants for employment notice of their EEO rights and highlight the 45-day time limit for contacting an EEO Counselor. On its internal and public websites, the SEC publishes information on its Disability Program Office and reasonable accommodation procedures, as well as the SEC's EEO policies and information about OEEO and the EEO complaint process. All electronic information is accessible to users in compliance with section 508 of the Rehabilitation Act. Further, the SEC's premises are accessible to persons with physical disabilities in compliance with the Architectural Barriers Act. In an effort to examine whether any barriers to equal employment opportunity exist at the Commission, the SEC has contracted a vendor to provide a comprehensive 5-year barrier analysis.

E. Efficiency

In FY 2012, approximately 90% of the EEO counseling matters was completed within the regulatory time limits set by the Equal Employment Opportunity Commission (EEOC). The SEC uses collateral duty EEO Counselors to provide EEO counseling and contract EEO Counselors, when necessary. The SEC added (3) new collateral duty EEO Counselors to the robust EEO counseling program.

In FY 2012, 20 formal EEO complaints were filed and one was remanded for investigation by the EEOC. The SEC continues to achieve efficiencies in complaints processing by using *iComplaints*, a Micropact application. This web-based system tracks complaint processing in real time and from the date that an individual contacts an EEO Counselor until the SEC issues a final agency decision. This web-based system not only increases efficiency but also increases data security and ensures continuity of operations.

F. Responsiveness and Legal Compliance

The SEC has conducted an annual self-assessment of Section 717 and Section 501 programs against the essential elements, as prescribed by EEOC’s Management Directive 715 (MD-715). Where the agency found non-compliance with the MD-715 requirements, we developed a plan for addressing the gaps as further discussed in Part H of this report. See *EEO Plan for Attaining the Essential Elements of a Model EEO Program*.

The agency has also analyzed its workforce profiles to identify any triggers that may require further inquiry as to the existence of any barriers that operate to disadvantage any employee group based on race, ethnicity, sex or disability. EEO plans to eliminate identified barriers, as appropriate, are included with this EEO Program Status Report.

III. Summary Analysis of Workforce Profiles and Barrier Analysis

A. Total SEC Workforce

In FY 2012, the SEC’s total workforce was 3,909 employees. There were 317 new permanent hires and 191 voluntary separations (not including death and retirements). See *Tables A1, A8 and A14*.

The SEC hires from all regions of the United States. For purposes of this report, the benchmark used for examining our workforce demographics is the national workforce or Civilian Labor Force (CLF). The following table highlights the participation rates for demographic groups¹ in the CLF, as reflected in the 2000 U.S. Census.

2000 CLF %	All	Male	Female
White	72.7	39.0	33.7
Hispanic or Latino	10.7	6.2	4.5
African American	10.5	4.8	5.7
Asian	3.6	1.9	1.7
Two or More Races	1.7	0.9	0.8
American Indian/Alaskan Native	0.6	0.3	0.3
Native Hawaiian/Other Pacific Islander	0.2	0.1	0.1

In comparison, the demographic groups represented in the SEC’s total workforce are as follows:

¹ In accordance with EEOC’s regulations, 29 C.F.R. §1614.601, this report only analyzes workforce demographics with respect to race, ethnicity, sex and disability. Further, pursuant to EEOC’s guidance, the 2000 CLF (instead of the 2010 CLF) is the appropriate benchmark to utilize in this year’s report. Finally, due to rounding to the nearest tenth, the figures in this narrative may be slightly different than they appear in Tables A and B.

2012 Total SEC %	All	Male	Female
White	68.4	40.6	27.8
Hispanic or Latino	4.6	2.3	2.3
African American	16.5	5.1	11.4
Asian	9.8	4.6	5.2
Two or More Races	0.4	0.1	0.3
American Indian/Alaskan Native	0.3	0.2	0.1
Native Hawaiian/Other Pacific Islander	0.1	0.03	0.1

In FY 2012, employees who self-identified as having a targeted disability comprised approximately 1% of the SEC's workforce. See *Table B1*.

The CLF does not provide data to assess disability statistics comparable to the race, ethnicity and sex data highlighted above. Instead, the benchmark for employment of individuals with disabilities is based on the Office of Personnel Management's guidance issued pursuant to Executive Order 13548. That guidance requires federal agencies to establish Disability Employment Plans consistent with the new Federal government goal of hiring 100,000 additional individuals with disabilities, including those with targeted disabilities.²

B. New Hires

In FY 2012, the SEC hired 317 permanent employees distributed as shown in the table below.

<i>From Table A8 New Hires</i>		All	Hispanic		White		African American		Asian	
			Male	Female	Male	Female	Male	Female	Male	Female
Permanent Hires	#	317	4	4	155	69	18	24	24	13
	%	100	1.3	1.3	49	22	5.7	7.6	7.6	4.1
Total Permanent workforce	#	3870	89	86	1569	1084	196	445	176	195
	%	100	2.3	2.2	40.5	28.0	5.1	11.5	4.6	5.0
2000 CLF	%	100	6.2	4.5	39.0	33.7	4.8	5.7	1.9	1.7

Three demographic groups that are not highlighted in this table each represent less than 1% of the SEC's new hires: Native Hawaiian/Other Pacific Islander (Males - 0.03%, Females - 0.08%); American Indian/Alaskan Native (Males - 0.16%, Females - 0.10%); and Two or More Races (Males - 0.13%, Females - 0.28%). See *Table A8* for more data on these three demographic groups. As for data on hires with a targeted disability, there were two permanent employees hired during FY 2012 who had a targeted disability and eleven who self-identified as having a disability. See *Table B8*.

² There are nine targeted disabilities: total deafness, total vision loss, partial paralysis, complete paralysis, epilepsy, severe intellectual disability, psychiatric disability, and dwarfism.

C. Major Occupations: Attorneys and Accountants

Attorneys and Accountants are the SEC's major occupational groups. In FY 2012, the SEC employed 1,696 attorneys (approximately 43% of the total SEC workforce) and 958 accountants (approximately 24% of the total SEC workforce). See *Table A6*. Comparison demographics for these two occupational groups are highlighted below.

1. Attorneys

In FY 2012, Female attorneys (inclusive of Hispanic, White, African American, and Asian Female attorneys) comprised a total of 42.0% of the SEC's entire workforce, exceeding the representation of women in the civilian workforce of attorneys of 28.7%. Similarly, the total CLF representation of African American attorneys (men and women) is 3.9% while the representation of African American attorneys in the SEC workforce is 6.8%. Asian American attorneys in the CLF are 2.2% and represent 9.01% of the SEC's attorney workforce. See *Table A6*.

Trending in the other direction, Hispanic or Latino Male attorneys at the SEC represented 1.8% of all attorneys, slightly lower than their representation of 2.1% in the civilian workforce of attorneys. White Male attorneys represent the greatest gap, as they represent 48.4% of all attorneys at the SEC, while they represent 65.2% of the civilian workforce of attorneys. See *Table A6*.

Major Occupation	Total	All		Hispanic or Latino		White		African American		Asian	
		M	F	M	F	M	F	M	F	M	F
SEC Attorneys #	1696	983	713	31	24	820	543	60	56	68	84
SEC Attorneys %	100	58.0	42.0	1.8	1.4	48.3	32.0	3.5	3.3	4.01	5.1
Attorneys CLF %	100	71.3	28.7	2.1	1.2	65.2	23.9	2.0	1.9	1.2	1.0

2. Accountants

With the exception of White Female accountants, all demographic groups were employed in numbers close to (Hispanic and African American Females), slightly above (Hispanic Males, African American Males, and Asians), and considerably above (White Males) their availability in the civilian workforce of accountants. White Female accountants represent almost 43% of the civilian workforce of accountants but only comprise 28.5% of the SEC's accountants. This has consistently been the largest occupational disparity between the SEC workforce and the civilian workforce of accountants.

Major Occupation	Total	All		Hispanic or Latino		White		African American		Asian	
		M	F	M	F	M	F	M	F	M	F
SEC Accountants #	958	542	416	29	29	431	273	30	50	50	62
SEC Accountants %	100	56.6	43.4	3.0	3.0	45.0	28.5	3.1	5.2	5.2	6.5
Accounting CLF %	100	43	57	2.0	3.1	35.1	42.8	2.6	5.3	2.7	4.7

D. Supervisory and Management Demographics

Typically, the internal feeder pools for supervisory and management positions at the SEC are as follows: SK-14 to SK-15; SK-15 to SK-17; and SK-17 to Senior Officers (SO)³. Highlighted below is the demographic composition of the SEC's supervisory and management workforce.

In general, the participation rates for employees in supervisory and management positions (SK-17 and SO) is lower than their participation rates in the respective feeder pools for the following demographic groups: All Females, Hispanic Females, African Americans and Asians.

SEC Pay Level	TOTAL	All		Hispanic or Latino		White		African American		Asian	
		M	F	M	F	M	F	M	F	M	F
SO #	128	88	40	4	1	76	35	3	4	4	0
SO %	100	68.8	31.3	3.1	0.8	59.4	27.3	2.3	3.1	3.1	0
SK 17 #	355	215	140	7	4	194	109	7	14	6	12
SK 17 %	100	60.6	39.4	2.0	1.1	54.7	30.7	2.0	3.9	1.7	3.4
SK 15 #	297	201	96	8	4	158	67	13	17	19	8
SK 15 %	100	67.7	32.3	2.7	1.4	53.2	22.6	4.4	5.7	6.4	2.7
SK 14 #	1705	918	787	46	42	711	524	69	95	87	119
SK 14 %	100	53.8	46.2	2.7	2.5	41.7	30.7	4.1	5.6	5.1	7.0

See Table A4-1.

IV. Summary of Objectives Planned to Correct Program Deficiencies for FY 2012

In its FY 2011 report, the SEC identified a number of primary objectives to improve its EEO Program. These included: obtaining applicant flow data; conducting barrier analyses; providing EEO training using a Learning Management System to track employee compliance with mandatory training programs; and assessing regional office compliance with EEO requirements. In FY 2012, the SEC made progress on two objectives including the barrier analysis and EEO training, and will continue to work on obtaining the applicant flow data and performing the regional office assessments.

The SEC continues to strive to obtain applicant flow data in FY 2013. The SEC will work with the Office of Personnel Management (OPM), USA Jobs, and vendors to obtain current and reliable applicant flow data. Once the SEC has access to such data, the EEO Office will be better equipped to periodically examine workforce demographics and other qualitative data to analyze whether there are barriers to equal employment opportunity at the Commission.

In addition to these objectives, the SEC will:

- Make concerted efforts to increase the number of hires with severe/targeted disabilities and fully engage them into the SEC workforce.

³ SOs are equivalent to Senior Executive Service (SES) employees. At the SEC, the SK-16 level is a non-supervisory position.

- More frequently communicate to all employees (particularly, managers and supervisors) the Commission's EEO Policy, the resources available through the Disability Employment Program and the SEC's reasonable accommodation procedures.
- Provide updated training to supervisors on their responsibilities to provide reasonable accommodation for employees with disabilities (Rehabilitation Act of 1973) and for religious practices and beliefs (Title VII of the Civil Rights Act of 1964).
- Develop supplemental training on EEO and Diversity & Inclusion topics for all employees.
- The SEC will hire a dedicated person to serve as the agency's Special Programs Coordinator, which will allow the SEC to increase and broaden the agency's recruitment and coordination efforts.
- The SEC's Office of Human Resources will leverage partnerships with both the SEC Veterans Committee and the SEC Disability Issues Advisory Committee.
- The SEC will increase the number of positions posted to disability job boards/sites.
- The SEC plans to develop an awareness campaign for hiring managers to promote Schedule A hiring.
- The agency will benchmark and analyze disability employment programs with similarly sized federal agencies and identify opportunities to enhance our program.
- The SEC will implement recommendations from the ongoing barrier analysis project as appropriate.

V. Summary of FY 2012 Accomplishments

A. Recruitment and Hiring

In FY 2012, the SEC participated in (and/or sponsored) over 25 minority-focused career and outreach events and conferences to increase the awareness of employment opportunities with the Commission. The SEC also increased the number of diversity-related partnerships and alliances with professional associations and educational organizations in order to recruit diverse career professionals. These include but are not limited to:

- Association of Latino Professionals in Finance and Accounting;
- Latino Conference at Harvard;
- South Asian Bar Association;
- Hispanic National Bar Association;
- Hispanic Bar-DC;
- National Society of Hispanic MBA's;
- Chartered Financial Analyst Society of Washington, D.C.;
- Association of Certified Fraud Examiners;
- Veterans on Wall Street;
- National Bar Association;
- National Urban League;
- American Bar Association;
- National LGBT Bar Association;
- National Black MBA Association;
- Recruit Military;
- National Asian Pacific Bar Association;

- University of Illinois - Business Career Fair;
- University of Miami – Accounting Fair;
- Summer Youth Employment Program; and
- IMPACT (Annual Career for Law Students and Attorneys with Disabilities).

Leveraging these alliances, the SEC has successfully increased the visibility of the agency demonstrating that the SEC seeks the best talent and embraces diversity and inclusion at all levels within the agency.

Since inception, the SEC’s OMWI has been working aggressively to implement the requirements of Section 342 of the Dodd Frank Act. In collaboration with the Office of EEO and the Office of Human Resources, OMWI has sponsored and attended several conferences and career networking sessions, placed employment information and advertisements in event publications, and arranged speaking opportunities for SEC staff at events aimed at diverse professionals, including the following:

- Hispanic Heritage Foundation – Latinos on Fast Track (LOFT)
- Robert Toigo Foundation;
- Hispanic National Bar Association Annual Convention;
- National Association of Minority and Women Owned Law Firms (Annual Business and Regional meetings); and
- Congressman Charles Rangel’s Career Fair

As a result of our participation at these events, the SEC has developed relationships with numerous groups and will continue to attend future recruitment events as we continuously target diverse applicants and the best talent.

Furthermore, as part of our talent pipeline development efforts, the SEC continues to foster a relationship with the following organizations, including:

- Hosting the Hispanic Heritage Foundation’s LOFT Institute Actionable Leadership Summit, which trained and equipped 50 selected Latino college students from 35 colleges and 15 states to make a measurable, positive impact in their classrooms, communities, and in the U.S. workforce;
- Partnering with the National Academy of Finance to host a Student Shadowing Program for over 200 high school students who learned more about the securities and financial services industry (and the work of the Commission) by “shadowing” SEC professionals for a day; and
- Continuing to support the SEC-sponsored securities law course at Florida International University School of Law taught by SEC staff volunteers.

B. Employee Engagement: Diversity & Inclusion Programs for Employees

All employees are encouraged to participate in Employee Resource Groups sponsored by the SEC. These groups provide networking, mentoring and outreach opportunities to all interested employees; sponsor cultural and educational programs; support the SEC’s Diversity & Inclusion efforts; and make programmatic recommendations to the EEO Director. Each group has an SEC Commissioner as a sponsor and receives program support from OEEO and/or OHR.

Nine groups were active in FY 2012:

- African American Council;
- American Indian Heritage Committee;
- Asian Pacific American Committee;
- Caribbean American Heritage Committee;
- Disability Issues Advisory Committee;
- Hispanic Employment Committee;
- Lesbian, Gay, Bisexual, and Transgender Committee;
- Veteran's Committee; and
- Women's Committee.

In FY 2012, the SEC observed numerous Heritage, History and Awareness months with events held in regional offices and at Headquarters, and where possible, these programs were video-cast throughout the Commission. In FY 2012, the SEC also celebrated Unity Month, which included well-known speakers and authors, as well as educational and cultural performances. This event promotes diversity and inclusion awareness within the work-place, and it also creates an opportunity for networking and employee engagement.

C. Training & Leadership Development

The SEC provided numerous opportunities for employees to acquire the skills and certifications needed to succeed in their positions as well as in positions with supervisory or management responsibilities. OHR provided classroom-style and e-Learning programs and offered an extensive range of learning opportunities in subject matter areas, e.g., courses on Hedge Funds, Mutual Funds, and Credit Derivatives, etc. In addition, OHR also developed and launched leadership development programs for supervisors, and offered all employees opportunities to learn about a number of leadership topics from guest speakers and authors, through the *Leading Author* series.

The SEC's EEO Office also provided training to employees and supervisors on the following:

- EEO Basics, Preventing EEO-Based Harassment and Transgender Issues;
- Training for Hiring Committees;
- Unconscious Bias Training (via well-known and respected expert, Howard Ross).

D. Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals with Targeted Disabilities

The SEC participated in a number of hiring and recruiting activities to attract individuals with targeted disabilities. Of the 317 permanent employees hired in FY 2012, two (2) individuals (or 1.05% of new hires) self-identified as having a targeted disability. Of the 191 employees who separated during FY 2012, three (3) individuals (or 1.67% of those who voluntarily separated from the SEC) self-identified as having a targeted disability. The number of employees with disabilities increased from 183 to 190 (net change, 2.70%) while the rate of employees with targeted disability has remained flat (1%). See *Tables B1, B8 and B14*.

The SEC's Disability Employment Program reports the following achievements for FY 2012:

- The SEC procured a contract with Bender Consulting to conduct specialized recruitment efforts of individuals with disabilities and disabled veterans for specific job vacancies;

- The SEC has used the *Job Opportunities for Disabled American Veterans* on-line site to post approximately twelve professional positions;
- The SEC converted our Pathways Agreement forms to on-line fillable and 508 compliant;
- Posted 508 compliant recruitment video on sec.gov/jobs;
- Hosted the Annual Workforce Recruitment Program Awards; and
- The Disability Program Officer served as a Workforce Recruitment Program recruiter.

715-01 PART H
EEO Plan to Attain the Essential Elements of a Model EEO Program

United States Securities and Exchange Commission		FY 2012
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	Applicant flow data was not included in FY 2012 workforce analysis.	
OBJECTIVE:	Develop and implement a pilot program to capture and report on applicant flow data to conduct trends analysis with the objective of capturing applicant flow data for all hires and promotions at the SEC.	
RESPONSIBLE OFFICIAL:	Alta G. Rodriguez, Director, Office of EEO; Pamela Gibbs, Director, Office of Minority and Women Inclusion; and Lacey Dingman, Director, Office of Human Resources	
DATE OBJECTIVE INITIATED:	03/30/2013	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	9/30/2014	
Overview		
<p>The USA Jobs 3.0 system collects demographic data as part of a candidate's standard system profile. As a candidate submits his or her application, he or she can voluntarily include his/her demographic data as part of the USA Jobs application. To the extent that SEC applicants opt into this process, the demographic data retrieved from this process will assist the agency's efforts to attract a more diverse applicant pool for SEC positions and assess whether the recruitment process contains barriers to equal opportunities for any demographic group. For those applicants who do not opt into this process, the SEC will develop and implement a pilot program to ensure that all applicant flow data is collected, maintained, analyzed and reported, as appropriate.</p>		
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVES:	TARGET DATE	
Benchmark the practices at other small agencies for obtaining applicant flow data.	8/30/2013	
Develop a pilot program in selected offices and divisions using alternative sources of data related to applicant flow in the major occupations (attorneys and accountants).	10/30/2013	
Evaluate applicant flow data obtained during the pilot (for attorneys and accountants) and identify resources and vehicles to implement a comprehensive applicant flow data process and mechanism used by the SEC.	9/30/2014	

715-01 PART H
EEO Plan to Attain the Essential Elements of a Model EEO Program

United States Securities and Exchange Commission		FY 2012
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	The SEC has not assessed regional offices' efforts to "achieve a model EEO program and eliminate discrimination under Title VII and the Rehabilitation Act." See EEOC Management Directive 715.	
OBJECTIVE:	The SEC will conduct assessments in the regional offices beginning in FY 2013.	
RESPONSIBLE OFFICIAL:	Alta G. Rodriguez, Director, Office of EEO	
DATE OBJECTIVE INITIATED:	10/1/2011	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	9/30/2013 and ongoing	
MODIFIED PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVES:		TARGET DATE
The SEC will conduct assessments in the regional offices beginning in FY 2013 and continuing into FY 2014.		9/30/2014
In collaboration with regional offices, the EEO Director will evaluate results of assessments and develop action items as appropriate.		9/30/2014
The regional offices will implement action items as appropriate beginning in FY 2014.		9/30/2014
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
Due to resource constraints, the EEO Office was unable to launch this effort in FY 2012. This objective will be accomplished by early FY 2014, contingent on having sufficient resources.		

715-01 PART H
EEO Plan to Attain the Essential Elements of a Model EEO Program

United States Securities and Exchange Commission		FY 2012
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	Supervisors and/or hiring officials need updated and periodic training related to the hiring, promotion, and reasonable accommodation of individuals with disabilities.	
OBJECTIVE:	All supervisors and/or hiring officials will be trained on their responsibilities with respect to hiring, promoting and reasonably accommodating individuals with disabilities.	
RESPONSIBLE OFFICIAL:	Lacey Dingman, Director, Office of Human Resources Alta G. Rodriguez, Director, Office of EEO	
DATE OBJECTIVE INITIATED:	10/1/2011	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	9/30/2013 and ongoing	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVES:	TARGET DATE	
The SEC will inform supervisors and/or hiring officials of their responsibilities related to the employment of individuals with disabilities by providing mandatory training and periodically disseminating information related to interviewing, hiring, and accommodating and promoting employees with disabilities – in particular those with targeted disabilities.	9/30/2013 and ongoing	
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
Supervisors and/or hiring officials in the SEC's largest organization (Division of Enforcement) were trained on their responsibilities under the Rehabilitation Act, as amended by the ADA and the ADA Amendments Act and the SEC's Disability Employment Plan.		

EEOC FORM
715-01
 PART F

**U.S. Equal Employment Opportunity Commission
 FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT**

**CERTIFICATION of ESTABLISHMENT of CONTINUING
 EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS**

I, Alta G. Rodriguez am the

(Insert name above)

EEO Director, Senior Officer
 title/series/grade above)

Principal EEO Director/Official for United States Securities and Exchange Commission

The agency has conducted an annual self-assessment of Section 717 and Section 501 programs against the essential elements as prescribed by EEO MD-715. If an essential element was not fully compliant with the standards of EEO MD-715, a further evaluation was conducted and, as appropriate, EEO Plans for Attaining the Essential Elements of a Model EEO Program are included with this Federal Agency Annual EEO Program Status Report. The agency has also analyzed its work force profiles and conducted barrier analyses aimed at detecting whether any management or personnel policy, procedure or practice is operating to disadvantage any group based on race, national origin, gender or disability. EEO Plans to Eliminate Identified Barriers, as appropriate, are included with this Federal Agency Annual EEO Program Status Report. I certify that proper documentation of this assessment is in place and is being maintained for EEOC review upon request.

Signed by Alta G. Rodriguez

5/16/2013

Signature of Principal EEO Director/Official
 Certifies that this Federal Agency Annual EEO Program Status Report is in compliance with EEO MD-715.

Date

Signed by Mary Jo White

5/16/2013

Signature of Agency Head or Agency Head Designee

Date

PART I
EEO Plan To Eliminate Identified Barrier

United States Securities and Exchange Commission

FY 2012

STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: Provide a brief narrative describing the condition at issue. How was the condition recognized as a potential barrier?	The participation rates of individuals with targeted disabilities in the SEC workforce dropped to slightly below 1%.
BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.	The SEC analyzed disability data in Tables B1 and B8 and in Part J.
STATEMENT OF IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.	Although there was no barrier identified for this trigger, the SEC notes that the percentage of individuals with targeted disabilities in the SEC workforce has not increased.
OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	Increase the number of individuals with severe/targeted disabilities hired and effectively integrate them into the SEC workforce.
RESPONSIBLE OFFICIAL:	Alta G. Rodriguez, Director, Office of EEO Lacey Dingman, Director, Office of Human Resources
DATE OBJECTIVE INITIATED:	09/30/2010
TARGET DATE FOR COMPLETION OF OBJECTIVE:	09/30/2013 and ongoing

PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)
Develop an awareness campaign for hiring managers to promote Schedule A Hiring authorities.	09/30/2013
Provide updated training to supervisors and managers on their responsibilities to provide reasonable accommodations for employees with disabilities.	12/31/2013 and ongoing

PART I
EEO Plan To Eliminate Identified Barrier

United States Securities and Exchange Commission

FY 2012

STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: Provide a brief narrative describing the condition at issue. How was the condition recognized as a potential barrier?	White Female accountants and White Male attorneys were employed at the SEC at levels below their CLF availability.
BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.	The SEC analyzed data in Table A6 comparing SEC major occupations to the Civilian Labor Force.
STATEMENT OF IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.	Although there was no barrier identified for this trigger, the SEC notes that White Female accountants and White Male attorneys were employed at the SEC at levels below their CLF availability.
OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	Analyze data to determine the existence of any barriers to hiring, impacting White Female accountants and White Male attorneys.
RESPONSIBLE OFFICIALS:	Lacey Dingman, Director, Office of Human Resources Alta G. Rodriguez, Director, Office of EEO
DATE OBJECTIVE INITIATED:	09/30/2010
TARGET DATE FOR COMPLETION OF OBJECTIVE:	09/30/2014

PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)
Obtain and analyze applicant flow data for attorneys and accountants.	09/30/2014

REPORT OF ACCOMPLISHMENTS

The SEC contracted with a vendor to conduct a barrier analysis of SEC personnel policies, practices and procedures to determine whether any barriers in hiring and/or promotion account for observed statistical differences noted in *Table A 6*.

EEOC FORM
EEOC FORM 715-01
PART I
EEO Plan To Eliminate Identified Barrier

United States Securities and Exchange Commission

FY 2012

STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: Provide a brief narrative describing the condition at issue. How was the condition recognized as a potential barrier?	The 2000 CLF is 10.7% Hispanic while the SEC workforce is 4.6% Hispanic.
BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.	Data analyzed: Total Workforce compared to CLF in Table A1. In FY 2012, the percentage of SEC Hispanic employees decreased for Males from 2.43% in FY 2011 to 2.28% in FY 2012 (constituting a net change of -0.15%), and remained relatively flat for Females (<i>Table A1</i>). Only 8 of the 317 permanent hires in FY 2012 were Hispanic, while 11 permanent Hispanic employees separated from the Commission, a net loss of 3 Hispanic employees. <i>Tables A8 and A14.</i>
STATEMENT OF IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.	Although there was no barrier identified for this trigger, the SEC notes that the percentage of Hispanic employees at the SEC (4.6%) remains well below the CLF (10.7%) and only 2.5% of employees hired in FY 2012 were Hispanic.
OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.	Analyze recruitment, hiring and promotion data to determine the existence of any barriers to hiring and retaining Hispanics.
RESPONSIBLE OFFICIAL:	Lacey Dingman, Director, Office of Human Resources and Alta G. Rodriguez, Director, Office of EEO
DATE OBJECTIVE INITIATED:	09/30/2010
TARGET DATE FOR COMPLETION OF OBJECTIVE:	09/30/2013 and ongoing
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE	TARGET DATE (Must be specific)
Obtain applicant flow statistics from online applications for attorney and accountant positions.	9/30/2013 and ongoing
Analyze exit surveys/interviews to determine reasons for separations from the Commission.	9/30/2013 and ongoing
Leverage the Hispanic Employment Committee members to identify opportunities for improving retention of Hispanic employees at the Commission.	10/30/2013 and ongoing

REPORT OF ACCOMPLISHMENTS

The SEC contracted a vendor to conduct a barrier analysis of SEC personnel policies, practices and procedures to determine whether any barriers in hiring and/or promotion account for low participation rates of Hispanic employees.

Part J

Part J - I	1. Agency	1. Securities and Exchange Commission				
Part J - II Employment Trend and Special Recruitment for Individuals With Targeted Disabilities						
Enter Actual Number at the beginning of FY.		... end of FY.		Net Change	
	#	%	#	%	#	Rate of Change%
Work Force - Permanent	3786	100.00%	3870	100.00%	+84	2.22%
Reportable Disability	184	4.9%	185	4.8%	+1	0.5%
Targeted Disability*	37	0.98%	36	0.93%	-1	-2.70%
* If the rate of change for persons with targeted disabilities is not equal to or greater than the rate of change for the total workforce, a barrier analysis should be conducted (see below).						
1. Total Number of Applications Received From Persons With Targeted Disabilities during the reporting period:					N/A	
2. Total Number of Selections of Individuals with Targeted Disabilities during the reporting period:					2	

Part J - III Participation Rates in Agency Employment Programs

	Total	Reportable Disability Only		Targeted Disability Only		Disability Not Identified		No Disability	
		#	%	#	%	#	%	#	%
Time-Off Awards (Total hours awarded)	21,208	693	3.27	85	0.40	752	3.55	19,763	93.19
Cash Awards (total \$\$\$ awarded)	2534	99	3.91	15	0.59	122	4.81	2313	91.28

Part J - IV**Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities**

Agencies with 1,000 or more permanent employees are to use the space provided below to describe the strategies and activities that will be undertaken during the coming fiscal year to maintain a special recruitment program for individuals with targeted disabilities and to establish specific goals for the employment and advancement of such individuals. For these purposes, targeted disabilities may be considered as a group. Agency goals should be set and accomplished in such a manner as will effect measurable progress from the preceding fiscal year. Agencies are encouraged to set a goal for the hiring of individuals with targeted disabilities that is at least as high as the anticipated losses from this group during the next reporting period, with the objective of avoiding a decrease in the total participation rate of employees with disabilities.

Part J - V**Goals, Objectives and Strategies**

Goals, objectives and strategies described should focus on internal as well as external sources of candidates and include discussions of activities undertaken to identify individuals with targeted disabilities who can be (1) hired; (2) placed in such a way as to improve possibilities for career development; and (3) advanced to a position at a higher level or with greater potential than the position currently occupied.

The SEC's goal is to increase the percentage of individuals with targeted disabilities hired in FY 2013.

Equal Employment Opportunity Policies

Equal Employment Opportunity (EEO) Policies

Chairman Elisse B. Walter was sworn in as the new Chairman of the Securities and Exchange Commission on November 26, 2012. Chairman Walter's predecessor, Chairman Mary L. Schapiro signed a revised EEO policy in June 2012.

The policy was distributed by email to all employees at the SEC and posted on the SEC's intranet. In addition, posters with the full text of the policies are displayed on bulletin boards in public areas throughout the SEC's headquarters building and in all the SEC's Regional Offices.

Chairman's Message

As we work toward fulfilling our mission of protecting investors, maintaining fair, orderly, and efficient markets, and facilitating capital formation, I want to express my commitment to strengthening and maintaining a high-quality work environment that fully utilizes the talents and capabilities of every individual, from all backgrounds, walks of life, and organizational levels. We must dedicate ourselves to promoting and ensuring diversity, inclusion, and equal employment opportunity (EEO) for all employees and applicants for employment regardless of race, color, sex, sexual orientation, national origin, religion, age, genetic information or disability. 0.15These protections must continue to be provided and enforced in an atmosphere free of retaliation or reprisal.

The SEC takes all allegations of discrimination, retaliation, and harassment seriously, and managers are expected to respond to any reported concerns promptly and appropriately. All employees are accountable for compliance with EEO laws and policies and ensuring our colleagues are treated with dignity, respect and professionalism. However, our commitment must go far beyond compliance with anti-discrimination laws. We must also foster an open, inclusive and transparent setting where all ideas are encouraged and employees work together to advance our mission.

Together, we can build a stronger SEC, which treats all employees fairly, equitably, respectfully, and in a non-discriminatory manner. Together, we will improve efficiency, foster innovation, and model accountability, resulting in a greater capacity to serve our nation and the investing public. Together, we will make the SEC the "Employer of Choice".

The SEC's Equal Employment Opportunity Policies

EEO Policy

It has been, and continues to be, the policy of the SEC to provide equality of opportunity to all employees and applicants for employment without regard to race, color, religion, sex, sexual orientation, national origin, genetic information, age, or disability. In addition, the SEC will continue to ensure that employees and applicants can work free from retaliation for participating in the Equal Employment Opportunity (EEO) process or opposing discriminatory actions or practices.

Equal employment opportunity principles govern all aspects of the Commission's personnel policies, practices, and operations. All phases of employment, including, but not limited to, recruitment, hiring, evaluation, promotion, transfer, assignment, training, benefits, and separation shall be conducted in compliance with equal employment opportunity laws and regulations.

All employees play an important role in maintaining an environment of equal opportunity, and must treat all colleagues with respect and professionalism. Managers and supervisors, at all levels, share with the EEO Office the responsibility of promoting and ensuring equal employment opportunity throughout the Commission.

Preventing EEO-Based Harassment (PEHP) Policy

The SEC prohibits harassment (offensive or unwelcome conduct) on any of the following equal employment opportunity (EEO) bases: race, color, sex (including, but not limited to, conduct that may be sexual in nature), age, religion, national origin, disability, genetic information, sexual orientation, or in retaliation for engaging in protected EEO activity.

Purpose and Scope

The SEC will address and put an immediate end to conduct of which it is aware, whether verbal, written, or physical, that is offensive (i.e., degrading, derogatory, or demeaning) or unwelcome (from a subjective as well as objective point of view) on any EEO basis, before it rises to the level of illegal harassment. EEO-based harassment may be illegal where: (1) enduring the conduct is a condition of continued employment or is the basis of a decision affecting the terms, conditions, or privileges of employment; or (2) the conduct is sufficiently severe or pervasive to create a hostile work environment.

Lack of intent to offend or harass does not excuse the conduct.

Among other things, this policy prohibits the use of SEC equipment (including, but not limited to, computers) or networks, to access or distribute offensive material, including, but not limited to, sexually explicit, pornographic, sexist or racist material.

This policy applies in places where SEC employees and contractors work, and at SEC-sanctioned activities and events, including those outside of the workplace. As a cautionary note, please be advised that some personal relationships (romantic and otherwise) involving SEC employees, particularly managers/supervisors and their subordinates may raise EEO-based harassment concerns. For example: (1) such relationships may create perceptions of favoritism that lead to allegations of a hostile work environment; (2) romantic overtures, in and of themselves, may be offensive or unwelcome; and (3) even consensual relationships, once they end, may give rise to alleged harassment.

NOTE: An inquiry under the PEHP is separate from, and may be conducted simultaneously with, the EEO complaint process under 29 CFR §1614. An inquiry under the PEHP process does not satisfy an employee's responsibility to initiate EEO counseling within 45 days of an act of discrimination or retaliation under the EEO complaint process, should the employee choose to pursue an EEO complaint.

Responsibilities of Employees

Individuals who believe they are victims of, or have witnessed, conduct which is offensive or unwelcome on an EEO basis, must immediately report the conduct preferably no later than three business days from the date of the incident to any SEC manager/supervisor and/or the EEO Office. The sooner the SEC is made aware of the incident, the sooner the issue can be addressed.

Responsibilities of Managers/Supervisors

Managers/Supervisors must immediately contact the EEO Office upon becoming aware of conduct that might be inconsistent with this policy. Failure to do so may result in discipline or other corrective action.

Responsibilities of the EEO Office and the Office of Human Resources

- The EEO Office, in coordination with management and the Office of Human Resources, will conduct a prompt and impartial inquiry into conduct that may violate the PEHP.
- The EEO Office will make sure that obligations under the PEHP are explained to the involved parties.
- The EEO Office will make sure that the behavior considered objectionable is explained to the alleged wrongdoer.
- SEC employees must cooperate with any such inquiry.
- Retaliation against anyone who participates in the PEHP inquiry process or opposes alleged harassment is strictly prohibited.
- Discipline, including removal or other corrective action, will be taken, as appropriate.

Confidentiality

Reports of offensive or unwelcome conduct on an EEO basis and related information should be kept confidential to the extent permitted by law and shared only on a need-to-know basis. Unauthorized disclosures of confidential information may result in disciplinary action.

Additional Information

More information about the SEC's policies and processes on preventing EEO-based harassment is available on the Insider, under the EEO Office link at www.sec.gov, or by calling the EEO office at (202) 551-6040. TTY users should call the Federal Relay Service at (1800) 877-8339 to be connected with the EEO office at (202) 551-6040.

Diversity and Inclusion Policy

The diversity of our workforce enriches the agency and enhances the breadth and range of talent we, as a team, bring to our mission on behalf of investors. We know that we no longer live and work in an insular marketplace. Indeed our work here affects - and is affected by - the worldwide economy and global events. The world's increasingly apparent interconnectedness entails increased and more effective interactions among employees from diverse cultures, beliefs, and backgrounds. It requires that we become more creative and open to other perspectives - something that happens most naturally in a diverse workplace.

Diversity and Inclusion at the SEC encompasses Diversity of Experience (e.g., occupations, training-levels, socioeconomic/geographic backgrounds, family/lifestyle, school affiliations, and

personal/professional experiences), Diversity of Thought (e.g., work-styles, personality types, and skill-sets), and Diversity of Demographic Groups (e.g., age, religion, gender, national origin, race, ethnicity, color, disability, sexual orientation, and veteran's status).

Inclusion is about creating an environment that celebrates people's differences and, in doing so, inspires innovative ideas, practical solutions, and team-building. The SEC seeks to achieve a work environment in which all individuals are recognized for their unique qualities, skills, and abilities and can apply them fully toward the success of the SEC.

At its essence, diversity and inclusion means fully embracing the human network, in all its multiplicity, fostering creativity and talent in the workplace and allowing more effective engagement with each other. While it is important to acknowledge and appreciate our differences, we must also recognize our shared goal of professional excellence and our commitment to protecting the investing public.

In support of diversity and inclusion, the SEC has developed a diversity-based performance measure that evaluates the diversity efforts of managers/supervisors.

The SEC's Organizational Structure for FY 2012

The SEC's leadership includes a Chairman and four Commissioners located at the SEC's headquarters in Washington, DC.

Divisions and Offices reporting to the Office of the Chairman include:

Five Divisions:

- Corporation Finance
- Enforcement
- Investment Management
- Risk, Strategy and Financial Innovation
- Trading and Markets

Twenty Offices:

- *Acquisitions
- Administrative Law Judges
- Chief Accountant
- Compliance Inspections and Examinations
- *Credit Ratings
- Chief Operating Officer
- Equal Employment Opportunity
- Ethics Counsel
- Financial Management
- General Counsel
- Human Resources
- Information Technology
- International Affairs
- Inspector General
- Investor Education and Advocacy
- Legislative and Intergovernmental Affairs
- Minority and Women Inclusion
- Public Affairs
- Secretary
- *Support Operations

*New SEC Offices

The SEC's Regional Offices report to both Division of Enforcement and Office of Compliance Inspections and Examinations and operate within the authority of the Commission:

- Atlanta Regional Office
- Boston Regional Office
- Chicago Regional Office
- Denver Regional Office
- Fort Worth Regional Office
- Los Angeles Regional Office
- Miami Regional Office
- New York Regional Office
- Philadelphia Regional Office
- Salt Lake City Regional Office
- San Francisco Regional Office