

D&I Glossary

Entire Portfolio Decision-making Team: Investment consultants and asset owners researching managers in Nasdaq eVestment are looking for diversity of thought in the decision-making process. We suggest including all team members who research, evaluate, or otherwise oversee security selection within the portfolio. eV defines “key professionals” as portfolio managers and analysts.

Portfolio Manager/Voting Investment Committee Members: Defined as individuals identified as the portfolio manager or co-portfolio manager or a voting member of the Investment Committee for the investment strategy portfolio/fund. These are individuals with formal voting power (including veto, as applicable) for the major investment decisions of the investment strategy portfolio/fund.

Yes – Diversity Statistics Can Be Provided for the Entire Decision-making Team: Select “Yes” when the product’s entire team can be included in the statistics table. Teams that can only provide information on some of the team should select one of the two “no” options (see below).

No – Due to Firm Policy: Firms should select this option if their firm has a policy against providing D&I information. The policy may be firm-wide, or it may apply to teams in certain regions and/or of certain sizes (for example, to prohibit the disclosure of personally identifiable information on small teams). There is an opportunity to further discuss the firm’s policy and provide supplemental information later in the survey.

No – Due To Privacy Regulations/Laws That Impact All or Some of the Team: Firms should select this option if all or part of their team cannot provide self-identifying information due to local regulations. An example might be a product domiciled in France, where it is illegal for employers to ask about racial or ethnic identification.

Race, Ethnicity, and Gender Categories:

Asian: May include individuals with origins in Northern Asia/Far East, Southeast Asia, and the Indian subcontinent. Specific examples may include Chinese, Filipino, Indian, Indonesian, Japanese, Korean, Malaysian, Taiwanese, Thai, etc.

Black: May include individuals with origins in Sub-Saharan Africa. Specific examples may include African American, Barbadian, Ethiopian, Haitian, Ghanaian, Jamaican, Kenyan, Liberian, Nigerian, Somali, etc.

Hispanic, Latinx, or Spanish: May include individuals of Cuban, Mexican, Puerto Rican, South or Central American or other Spanish culture or origin.

Indigenous/Tribal People (Domicile-specific): Users should populate and evaluate this category based on where the product is domiciled. For example, a product domiciled in Japan might include Ainu. A product in Australia might include Aboriginal and Torres Strait Islanders. A product in the United States might include Native Americans, Native Hawaiians, and Alaska Natives. A product domiciled in Norway might include Sami.

Middle Eastern or North African: May include individuals with origins in Southwest Asia, the Middle East, or North Africa. Specific examples may include Arab, Bahrani, Egyptian, Iranian, Iraqi, Israeli, Jordanian, Kuwaiti, Lebanese, Moroccan, Palestinian, Qatari, Syrian, Tunisian, etc.

White: May include individuals with origins in Europe. Specific examples may include: Danish, English, French, German, Greek, Hungarian, Irish, Italian, Norwegian, Polish, Scottish, Slovakian, Swedish, Swiss, etc.

Some Other Race or Ethnicity: May include any responses that don't align in definition or in preference with the categories above.

Two or More Races or Ethnicities: May include individuals who prefer to identify as a combination of races or ethnicities across multiple categories.

Female: An individual self-identifying as a woman.

Male: An individual self-identifying as a man.

Non-Binary: An individual self-identifying as two (or more) genders, non-gendered, genderfluid, or otherwise non-cisgendered.

Decline to State: Any individuals who prefer not to self-identify in any given category, or for whom providing categorical information would result in the unwanted ability to back into individual-level identification (very small teams, for example may have individuals that prefer their information not be included).

Military Veteran: An individual who has served or is currently serving in a national armed force.

Disabled: An individual with long-term physical, mental, intellectual, or sensory impairments.

A note about this section: Investment consultants and asset owners researching managers in Nasdaq eVestment are looking to understand information about your diversity and inclusion policies in conjunction with this data. Please be sure to review the firm level ESG staffing questions to provide details on your pay-parity, mentorship, and other diversity and inclusion policies.