



Answering the Call to Act in Uncertain Times

A Virtual Summit for Investors

October 28, 2020
12 pm - 5:15 pm

ROBERT F. KENNEDY HUMAN RIGHTS
COMPASS

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Answering the Call to Act in Uncertain Times: A Virtual Summit for Investors

October 28, 2020 | 12 pm - 5:15 pm

12:00 pm

Welcome Remarks

- **Sancia Dalley**, Senior Vice President, Strategic Partnerships and Program Director, RFK Compass Investor Program, Robert F. Kennedy Human Rights

12:05 pm

Opening Remarks

- **Marvin Rosen**, Shareholder, Greenberg Traurig and Co-Chair, RFK Compass Investor Conference

12:10 pm

Fireside Chat | The Road to Equality: Actions to Combat Racial and Economic Injustice

- **Kerry Kennedy**, President, Robert F. Kennedy Human Rights (Moderator)
- **Tom DiNapoli**, Comptroller, State of New York
- **José E. Feliciano**, Co-founder and Managing Director, Clearlake Capital
- **John W. Rogers Jr.**, Chairman, Co-Chief Executive Officer and Chief Investment Officer, Ariel Investments

12:52 pm

Beyond MSIs: How the Fair Food Program is Holding Companies Accountable

- **Kerry Kennedy**, President, Robert F. Kennedy Human Rights (Moderator)
- **Greg Asbed**, Co-Founder, Coalition of Immokalee Workers
- **Michael Musuraca**, Advisory Committee Member, Investor Alliance for Human Rights

1:14 pm

Building Consensus and Promoting Wide Adoption of “S” Indicators

- **Giulia Corinaldi**, Director, Inclusive Economies, Thomson Reuters Foundation

1:25 pm

Fireside Chat | Corporate Purpose in 2020 with Business Roundtable

- **Michael Posner**, Director, NYU Stern Center for Business and Human Rights
- **Maria Ghazal**, Senior Vice President and Counsel, Business Roundtable

1:55 pm

NETWORKING SESSION

AGENDA

AGENDA

2:25 pm Welcome Back

- **Sancia Dalley**, Senior Vice President, Strategic Partnerships and Program Director, RFK Compass Investor Program, Robert F. Kennedy Human Rights

2:27 pm Can Private Equity Thrive in Uncertainty?

- **Amy Ridge**, Principal, Alternatives, Mercer (Moderator)
- **Kathlika Fontes**, Director of Investor Relations, Grain Management
- **R. Scott Spielvogel**, Managing Partner and Co-Founder, One Rock Capital Partners
- **Sean Ward**, Managing Director, Dyal Capital

3:00 pm Session A | Racial and Economic Injustice: The Case for Racial Equity Investing

- **Essma Bengabsia**, Senior Associate, Sustainability and Impact Investing, Glenmede (Moderator)
- **Patricia Farrar-Rivas**, Chief Executive Officer and Founding Principal, Veris Wealth Partners
- **Evelysse Vargas**, Senior Investment Analyst, New York City Board of Education Retirement System

Session B | Pandemic, Protests and Profits: Surveillance Capitalism and the Role of Investors

- **Hannah Lucal**, Associate Director, Open MIC (Moderator)
- **Shankar Narayan**, Co-Principal, MIRA!
- **Emma Pullman**, Capital Stewardship Officer, B.C. Government and Service Employees Union

3:32 pm Investing in a Downturn

- **J. David Enriquez**, Head Of Private Equity, Bureau of Asset Management, Office of the New York City Comptroller (Moderator)
- **Cian Cotter**, Managing Director, Insight Partners
- **Tracy Harris**, Partner, Investor Relations and Product Strategy, Siris Capital
- **Lindsey King**, Partner and Head of Investor Relations, Crestview

4:04 pm What Will 2021 Bring: Market Outlook in Uncertain Times

- **David Fann**, Vice Chairman, Aksia (Moderator)
- **John Dionne**, Senior Lecturer, Harvard Business School
- **Mark Evans**, Principal Investment Officer, Connecticut Retirement Plans and Trust Fund
- **Kristine Jurczyk**, Managing Director and Co-Head, Vista Credit Partners

4:34 pm Closing Remarks

- **Sancia Dalley**, Senior Vice President, Strategic Partnerships and Program Director, RFK Compass Investor Program, Robert F. Kennedy Human Rights

4:39 pm NETWORKING SESSION

5:15 pm Conference Concludes

SESSION DESCRIPTIONS

WELCOME REMARKS

12:00 PM EDT



Sancia Dalley, Senior Vice President, Strategic Partnerships and Program Director, RFK Compass Investor Program, Robert F. Kennedy Human Rights

Sancia Dalley leads business development, engagement with the corporate sector as well as the programming for the network of more than 120 investors and fiduciaries within Compass. With over a decade of experience working with the private sector, Dalley has advised Fortune 500 companies including Pfizer, Nike Inc., Scotiabank, Virgin Group, and BP on corporate social responsibility and health strategies, business case analysis, program design and evaluation.

Dalley has helped to broker multi-million dollar partnerships with companies such as Chevron Corporation, with whom she worked on their landmark investment of \$30 million to the Global Fund to Fight HIV/AIDS, TB and malaria in support of health programs in Africa, Asia and the U.S.; advised global and national private sector coalitions on malaria and HIV/AIDS, and supported a number of leading advocacy initiatives with the business community including the Emmy-Award Winning “Get Tested” public service announcement with Kaiser Family Foundation and the National Basketball Association. Dalley holds a B.A. in international relations and French from Wesleyan College. She is the founder and CEO of Redlake Global, a boutique advisory firm that supports private sector leaders and individuals in their global health and sits on the boards of the Center for Active Design in New York and the Boardwalk Village Foundation in Jamaica.

OPENING REMARKS

12:05 PM EDT



Marvin Rosen, Shareholder, Greenberg Traurig and Co-Chair, RFK Compass Investor Conference

Marvin S. Rosen practices in the area of corporate and securities law, advising private equity firms, hedge funds, activist and distressed investors on special strategies. Rosen serves on the board of directors of the Robert F. Kennedy Human Rights, the Howard Gilman Foundation, Roundabout Theatre Group, and Nikko Asset Management Americas, and is on the Board of Fusion Connect. He served as the budget and finance chairman for the Summit of the Americas, was the chairman of the Florida Housing Finance Agency, and was the finance chairman for the Democratic National Committee under President Clinton. He served as a director of Terremark Worldwide Inc., until it was sold to Verizon. Rosen received his B.S. in commerce from The University of Virginia, his L.L.B. from Dickinson School of Law and his L.L.M. in Corporations from New York University Law School.

FIRESIDE CHAT | The Road to Equality: Actions to Combat Racial and Economic Injustice

12:10 PM EDT

2020 is the year to move beyond discussions of diversity and inclusion and to take actions that will heal the wounds of racial and economic injustice in the U.S. The protests sparked by the killings of George Floyd and Breonna Taylor and the surge in inequality created by the COVID-19 recession present a unique call to action. Join Kerry Kennedy for the opening fireside chat about specific actions investors can take, from screening their portfolios for companies whose activities promote racial and economic injustice to advocating for policies that do the opposite, and other ways the Compass Investor Action Plan can help you do your part.



Kerry Kennedy, President, Robert F. Kennedy Human Rights (MODERATOR)

Kerry Kennedy is president of Robert F. Kennedy Human Rights. She is the proud mother of three daughters, Cara, Mariah, and Michaela. A human rights activist and lawyer, she authored New York Times best seller *Being Catholic Now*, as well as *Speak Truth to Power* and *Robert F. Kennedy: Ripples of Hope*.

The seventh of Ethel and Robert F. Kennedy's eleven children, Kennedy has devoted more than 40 years to the pursuit of equal justice, the promotion and protection of basic rights, and the preservation of the rule of law. She works on a range of issues, including child labor, women's rights, disappearances, indigenous land rights, judicial independence, freedom of expression, ethnic violence, criminal justice reform, immigration, impunity, and environmental justice.

Under Kennedy's leadership, Robert F. Kennedy Human Rights partners with the bravest people on earth to create lasting change. Robert F. Kennedy Human Rights supports defenders in the field with advocacy, litigation, and training; brings human rights to students in the classroom with its innovative *Speak Truth To Power* curriculum; and engages the financial community about sustainable investing and the intersection between business and human rights.

Kennedy served as chair of the Amnesty International USA Leadership Council for over a decade. She serves on the board of directors of the United States Institute of Peace, Human Rights First, Kailash Satyarthi Children's Foundation, Laureate and Leaders, Nizami Ganjavi International Center, HealthEVillages, as well as RFK Human Rights' numerous international chapters. She is on the Advisory Committee for the Association of American Indian Affairs, the Albert Schweitzer Institute, Sankofa, San Patrignano, and the Center for Victims of Torture.



Tom DiNapoli, Comptroller, State of New York

Thomas P. DiNapoli is the 54th Comptroller of the State of New York known for his integrity, independence and even-keeled leadership. He was appointed State Comptroller on Feb. 7, 2007 by a bipartisan majority of the State Legislature and re-elected to full four-year terms in 2010, 2014 and 2018. DiNapoli is known for his integrity, independence and steadfast leadership. Since taking office, DiNapoli has aggressively fought the misuse of public resources, strengthened one of our nation's top public pension funds, and consistently spoken out against fiscal gimmicks, imprudent actions and government inefficiency.

A life-long Long Islander, DiNapoli was raised in a middle-class, union household and saw the value of hard work and stretching every dollar in the example set by his parents. In 1972, DiNapoli won his first election and served as a trustee on the Mineola Board of Education, becoming the first 18-year-old in New York State to hold public office. In 1986, he ran for the New York State Assembly and was elected to represent the 16th District in northwestern Nassau County for the next 20 years. He graduated magna cum laude with a bachelor's degree in history from Hofstra University and earned a master's degree from The New School University's Graduate School of Management and Urban Professions.



José E. Feliciano, Co-founder and Managing Director, Clearlake Capital

José E. Feliciano is co-founder and managing partner of Clearlake Capital Group, L.P., a leading private investment firm founded in 2006. In addition to his investing responsibilities, Feliciano is responsible for the day-to-day management of the firm. With a sector-focused approach, the firm seeks to partner with world-class management teams by providing patient, long-term capital to dynamic businesses that can benefit from Clearlake's operational improvement approach, *O.P.S.*® The firm's core target sectors are software and technology-enabled services; industrials and energy; and consumer services. Clearlake has managed approximately \$25 billion of institutional capital since inception and its senior investment principals have led or co-led over 100 investments. Prior to co-founding Clearlake, Feliciano was a partner and member of the investment committee at Tennenbaum Capital Partners, chief financial officer of govWorks, Inc., and started his career in investment banking in the Mergers & Acquisitions and Corporate Finance Groups at Goldman, Sachs & Co.

Feliciano currently serves on the board of directors of several Clearlake portfolio companies. He also co-founded the SUPERCHARGED Initiative, a philanthropic grant-making and impact investment organization, in 2014 with his wife, Kwanza Jones. The Initiative invests in both nonprofits and for-profit ventures that are compatible with its goal to make a lasting impact across four key priorities: education, entrepreneurship, equal opportunity and empowerment. In addition, Feliciano serves on the board of directors of the Robert Toigo Foundation, a non-profit organization dedicated to fostering career advancement and increased leadership of underrepresented talent, and Robert F. Kennedy Human Rights, a foundation that works to support individuals, alliances, and organizations dedicated to improving human rights around the world. Feliciano graduated with high honors from Princeton University, where he received a B.S. in mechanical & aerospace engineering. He received a M.B.A from the Graduate School of Business at Stanford University.



John W. Rogers Jr., Chairman, Co-Chief Executive Officer and Chief Investment Officer, Ariel Investments

John W. Rogers, Jr. is founder, chairman, chief executive officer and chief investment officer of Ariel Investments. Headquartered in Chicago, the firm offers no-load mutual funds for individual investors and defined contribution plans as well as separately managed accounts for institutions and high net worth individuals. After working for as a stockbroker at William Blair & Company, LLC, Rogers founded Ariel in 1983 to focus on undervalued small and medium-sized companies. Patience served as the cornerstone of a disciplined approach that still drives the firm today.

Rogers' passion for investing started when he was 12 years old when his father bought him stocks, instead of toys, for every birthday and Christmas. His interest grew while majoring in economics at Princeton University. In addition to following stocks as a college student, Rogers also played basketball under Hall of Fame coach Pete Carril. He was captain of Princeton's varsity basketball team his senior year. There, Carril's courtside lessons on teamwork profoundly shaped his views of entrepreneurship and investing.

Beyond Ariel, Rogers is a board member of McDonald's, NIKE, The New York Times Company and serves as vice chair of the board of trustees of the University of Chicago. Nationally, Rogers is a member of the American Academy of Arts and Sciences, and a director of Robert F. Kennedy Human Rights. In 2008, Rogers was awarded Princeton University's highest honor, the Woodrow Wilson Award, presented each year to an alumnus or alumna whose career embodies a commitment to national service. Following the election of President Barack Obama, he served as co-chair for the Presidential Inaugural Committee 2009, and more recently, he joined the Barack Obama Foundation's Board of Directors.

It's been three decades since corporate America embraced multi-stakeholder initiatives (MSIs) as a way to set standards and curb human rights abuses across agriculture, energy and other industries. But as news coverage of dangerous working conditions for farm workers during COVID-19 shows, MSIs aren't always effective. Indeed, new research by MSI Integrity shows that MSIs have broadly failed at protecting human rights in global supply chains. Learn why MSI Integrity calls the Coalition of Immokalee Workers' Fair Food Program the new gold standard for social responsibility and how the program has helped augment MSIs by promoting enforcement of companies' codes of conduct during the COVID-19 pandemic.



Kerry Kennedy, President, Robert F. Kennedy Human Rights (MODERATOR)

Kerry Kennedy is president of Robert F. Kennedy Human Rights. She is the proud mother of three daughters, Cara, Mariah, and Michaela. A human rights activist and lawyer, she authored New York Times best seller *Being Catholic Now*, as well as *Speak Truth to Power* and *Robert F. Kennedy: Ripples of Hope*.

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Kennedy served as chair of the Amnesty International USA Leadership Council for over a decade. She serves on the board of directors of the United States Institute of Peace, Human Rights First, Kailash Satyarthi Children's Foundation, Laureate and Leaders, Nizami Ganjavi International Center, HealthEVillages, as well as RFK Human Rights' numerous international chapters. She is on the Advisory Committee for the Association of American Indian Affairs, the Albert Schweitzer Institute, Sankofa, San Patrignano, and the Center for Victims of Torture.



Greg Asbed, Co-Founder, Coalition of Immokalee Workers (CIW)

Greg Asbed is a principal author of the CIW's Fair Food Program and the Worker-driven Social Responsibility (WSR) model, a breakthrough, worker-driven approach to verifiable corporate accountability widely recognized for its unique effectiveness in combating forced labor, sexual violence, and other human rights violations prevalent in agriculture. He coordinates relations among farmworkers, global food retailers (including Walmart, Whole Foods, McDonald's, and Sodexo), and agricultural industry leaders in the development, implementation, and expansion of the Fair Food Program's innovative rights standards, worker education processes, and market-backed enforcement mechanisms. Asbed also heads the CIW's communications efforts and is a lead strategist in its national consumer movement. His work includes consulting with other industries and worker organizations, both nationally and internationally, on the adaptation of the Fair Food Program and the WSR model to other contexts, including the dairy industry in Vermont and the apparel industry in Bangladesh and Lesotho.

Asbed received a 2017 MacArthur Fellowship, the 2015 Presidential Medal for Extraordinary Efforts to Combat Trafficking in Persons, the 2014 Clinton Global Citizen Award, and the 2013 Roosevelt Freedom from Want Medal on behalf of the CIW. He speaks English, Spanish, and Haitian Creole fluently, and spent 18 seasons harvesting watermelons across the southeastern United States.



Michael Musuraca, Advisory Committee Member, Investor Alliance for Human Rights

From 1988 to 2009, Michael Musuraca was an assistant director in the Department of Research and Negotiations, District Council 37 of the American Federation of State, County, and Municipal Employees, AFL-CIO, one of the largest public-sector unions in New York City. From 1996 to 2009, he was a designated trustee to the New York City Employees Retirement System, a 300,000-plus member pension fund with assets of more than \$40 billion. He also served as a trustee to the Cultural Institutions Retirement System. Musuraca was a founding member of the Principles for Responsible Investment (PRI) board and was the labor representative to the advisory board of the New York City Independent Budget Office. He previously served on the board of Sustainalytics and was chair of the Verité board, as is currently a member of the advisory committee of the Investor Alliance for Human Rights. He also acts as a consultant on pension and capital strategies for North America's Building Trades Unions and the American Federation of Teachers.

Musuraca has published a number of papers on labor affairs and urban history and politics in academic journals. He received a B.A. in political science from New York University, an M.A. in American history from the University of Massachusetts Boston, and an M.Phil. from the Graduate Center, City University of New York. Since 1994, he has taught in the Department of Urban and Labor Studies at Queens College and has also taught at City College, Rutgers University, and the New York City campus of Cornell University.

Building Consensus and Promoting Wide Adoption of “S” Indicators

1:14 PM EDT

Partnering with a key group of organizations, including Robert F. Kennedy Human Rights, the Thomson Reuters Foundation (TRF), seeks to emphasize the importance of the 'social' criteria of ESG for investors and advance the dialogue toward practical, relevant, and comparable ESG ratings. In this spotlight session, TRF will discuss how they are developing key indicators that have a clear impact and how these indicators can be best adopted and streamlined by investors.



Giulia Corinaldi, Director, Inclusive Economies, Thomson Reuters Foundation

Giulia Corinaldi joined the Thomson Reuters Foundation in 2018 as head of programs for TrustLaw, the Foundation's global pro bono connection service, and is now director of inclusive economies, focusing on using the power of the law and the media to end modern slavery, protect data rights and shift economic and business model to being equitable, sustainable and participatory.

Corinaldi is passionate about women's empowerment, entrepreneurship and technology and has built global, high profile, cross-sector partnerships in these spaces. She played a pivotal role in helping the Cherie Blair Foundation for Women grow from a small start-up into a global brand, serving as mentoring programme director and interim chief executive officer. In all of her positions, Corinaldi has worked to develop strategy and overall growth plans, as well as forge strong partnerships among diverse stakeholders. She has also acted as a consultant for Kernig Foundation and UNESCO in Paris. Corinaldi serves as the chair of the board for Value for Women, a specialised advisory social firm helping organisations advance gender equality.

FIRESIDE CHAT | Corporate Purpose in 2020 with Business Roundtable

1:25 PM EDT

Last year, the Business Roundtable issued a statement of corporate purpose declaring that companies should serve not only their shareholders but also customers, employees, suppliers, and the communities in which they operate. The health, economic, and racial crises of 2020 have tested this commitment. In this session, we will discuss how the BRT arrived at its statement, what influence it has had on their work this year, and what they are planning next.



Michael Posner, Director, NYU Stern Center for Business and Human Rights

Michael H. Posner is a professor of business and society at NYU's Stern School of Business, where he is working to launch the first-ever center on business and human rights at a business school. Prior to joining NYU Stern, Posner served in the Obama administration as assistant secretary of state for the Bureau of Democracy, Human Rights, and Labor at the State Department from 2009 to 2013. Prior to his appointment, he led Human Rights First, a New York-based human rights advocacy organization. Posner is recognized as a leader and expert in advancing a rights-based approach to national security, challenging the practice of torture, combating discrimination, and refugee protection.

Throughout his career, Posner has been a prominent voice in support of human rights protections in global business operations in the manufacturing supply chain, the extractives industry, and the information and communications technology sector. As a member of the White House Apparel Industry Partnership Task Force in the mid-1990s, Posner helped found the Fair Labor Association, which brings together corporations, local leaders, universities, and non-governmental organizations to promote corporate accountability for working conditions in the apparel industry. He was a founding member of the Global Network Initiative, a multi-stakeholder initiative aimed at promoting free expression and privacy rights on the internet, and has spoken widely on the issue of internet freedom.

Posner spearheaded the U.S. government's efforts to enhance the effectiveness of the Voluntary Principles on Security and Human Rights, which works to improve human rights around oil, gas, and mining operations. Posner also played a key role in developing the first U.S. law providing for political asylum, which became part of the Refugee Act of 1980, as well as the Torture Victim Protection Act, adopted in 1992. In 1998, he led the Human Rights First delegation to the Rome conference at which the statute of the International Criminal Court was adopted. Before joining Human Rights First, Posner was a lawyer with Sonnenschein Nath & Rosenthal in Chicago. A member of the California and Illinois bars, he received a B.A. with distinction and honors in history from the University of Michigan and a J.D. from the University of California, Berkeley Law School.



Maria Ghazal, Senior Vice President and Counsel, Business Roundtable

Maria Ghazal directs strategic initiatives across the organization and oversees policy development and advocacy for the Business Roundtable Corporate Governance and Smart Regulation committees. She is the organization's chief advocate on these issues before Congress and federal agencies.

Prior to joining Business Roundtable in 2005, Ghazal was director of health policy at the American Benefits Council, served as director of government relations at Verizon, and worked as a legislative assistant at the Metropolitan Life Insurance Company. She began her career as an aide to then-Sen. Daniel Patrick Moynihan (D-NY). Ghazal earned a B.A. from Bates College, a master's degree in public policy from Georgetown University, and a law degree from American University. She is a member of the Massachusetts and District of Columbia bar associations and the Tax Coalition, and she sits on the INOVA Fair Oaks Hospital Quality Board.

NETWORKING SESSION

1:55 PM EDT

This spring's business lockdowns and closures put a pause on the private equity market as both dealmaking and fundraising slumped. Managers closed funds totaling \$259 billion in the first half of 2020, down 4% from the same time last year, according to Preqin. Limited partners are becoming more selective about the general partners they work, overhauling their due diligence process for a virtual world and asking tough questions about managers' returns and strategies in the new coronavirus economy. Join us for a discussion of the challenges and opportunities facing the private equity industry and its role in contributing to the economic recovery.



Amy Ridge, Principal, Alternatives, Mercer

Amy Ridge joined Pavilion Alternatives Group in 2008, which was acquired by Mercer in 2018. She serves on several client teams, providing assistance with investment monitoring and reporting, market research, investment sourcing and screening, and due diligence on fund investments. She has been in the financial services industry since 2006. Previously, Ridge was a senior analyst at Pacific Corporate Group (now Aksia), where she provided investment monitoring and reporting services to clients with a specialty focus on energy. Ridge received a B.S. in business finance from the University of San Francisco.



Kathlika Fontes, Director of Investor Relations, Grain Management

Kathlika Fontes is responsible for developing and maintaining relationships with limited partners and their advisors, expanding the firm's brand footprint, and leading capital development processes. Prior to joining Grain, Fontes was at StepStone Group, where she served as a lead client advisor to large, institutional private equity investors, guiding capital allocations across the asset class. Fontes has worked in investor relationship management at Deutsche Asset Management, constituent relationship management at the American Cancer Society, and technology and strategy consulting at Accenture. Fontes graduated cum laude with a B.S. in electrical engineering from the Georgia Institute of Technology and received her M.B.A. from Columbia Business School, where she was a Robert Toigo Foundation fellow, Management Leadership for Tomorrow fellow, and Board of Overseers fellow.



R. Scott Spielvogel, Managing Partner and Co-Founder, One Rock Capital Partners

R. Scott Spielvogel is a managing partner and co-founder of One Rock Capital Partners, LLC. Prior to founding One Rock, Spielvogel was a managing director at Ripplewood Holdings. He joined Ripplewood in 2005 and was responsible for investments in the business services and telecommunications sectors. Prior to joining Ripplewood, Spielvogel worked at Windward Capital Partners, a private equity firm based in New York, which he joined in 1998. Prior to Windward, he was with CIBC Oppenheimer's High Yield and Merchant Banking Group (formerly known as The Argosy Group), working on a wide variety of mergers and acquisitions, restructuring, and financing transactions. Spielvogel earned an A.B. in economics from Harvard College and serves as treasurer of the Harvard Club of New York Foundation.



Sean Ward, Managing Director, Dyal Capital

Sean Ward is a managing director and investment committee member of Dyal Capital Partners, a division of Neuberger Berman that manages approximately \$25 billion in client assets and seeks to acquire minority equity interests in institutional alternative asset management businesses worldwide. Prior to joining the firm, he was an associate at Covington & Burling LLP, where his practice focused on mergers and acquisitions, public and private securities offerings, and credit transactions. Previously, Ward worked at Davis Polk & Wardwell LLP in New York and London. Ward earned a B.A., magna cum laude, in diplomatic history and political science from the University of Pennsylvania and a J.D., magna cum laude, from the Duke University School of Law.

CONCURRENT SESSION A | Racial and Economic Injustice: The Case for Racial Equity Investing

3:00 PM EDT

The COVID-19 pandemic created one of the most unequal economic recessions in U.S. history, disproportionately affecting low-wage, minority workers and exacerbating persistent systemic racism embedded in our society and financial institutions. As issues of racial and economic justice finally get on the world's economic agenda, racial equity investing is poised to become part of the solution by helping investors seize this critical moment. Join us as we discuss the case for this new investment strategy, which seeks to close racial disparities in wealth and access to opportunities, resources, and decision-making, all while generating market-rate returns and helping investors mitigate risk in their portfolios.



Essma Bengabsia, Senior Associate, Sustainable and Impact Investing, Glenmede

Essma Bengabsia is an investor by profession and social justice advocate by passion. She is an enthusiast of financial inclusion and socioeconomic justice across racial, gender, and geographic lines. At Glenmede, where she is responsible for researching and identifying investment opportunities in global public markets, Bengabsia explores how to leverage capital to tackle societal challenges and advance social and environmental justice. She is the author of a recent report on racial equity investments, "Racial Equity Investing: Opportunities for Impact and Alpha." Bengabsia is a World Economic Forum Global Shaper in Philadelphia and a board member of the American Muslim Community Foundation. She earned a B.S. at New York University's Stern School of Business, where she studied finance, computing and data science, and politics.



Patricia Farrar-Rivas, Chief Executive Officer and Founding Principal, Veris Wealth Partners

Patricia Farrar-Rivas has been providing investment advisory and wealth management services since 1992. She is a principal consultant to the Envestnet Sustainability Platform and was a member of the Envestnet advisory board. Prior to Veris, she led the effort by the Silicon Valley-based public accounting firm Frank, Rimerman & Co. to launch its new investment advisory subsidiary, Frank, Rimerman Advisors. She also co-founded the New York office of Progressive Asset Management in 1994. Earlier in her career, Farrar-Rivas worked with Veris co-founder Michael Lent and community leaders in Central America on economic development, local empowerment, and social justice. She realized the degree to which economic factors were embedded in the challenges they faced, and, as the responsible investing industry was emerging in the U.S., turned her attention to advising asset owners on the potential impact of their investment policies and decisions.

Farrar-Rivas is on the board of the community cooking school 18 Reasons in San Francisco. She has served on the board of As You Sow, which promotes corporate responsibility through shareholder advocacy, grant making, and innovative legal strategies, and was a member of the Standards Council for the Sustainability Accounting Standards Board (SASB), a nonprofit that develops and disseminates industry-specific sustainability accounting standards for material, nonfinancial (ESG) information. Farrar-Rivas is a Certified Investment Management Analyst (CIMA), a Certified Investment Strategist (CIS), and a member of the Investments and Wealth Institute. Farrar-Rivas is based in Sonoma, where she lives with her family.



Evelyse Vargas, Senior Investment Analyst, New York City Board of Education Retirement System (BERS)

Evelyse Vargas is responsible for performance assessment, performance monitoring, and performance reporting for BERS's private markets investments. The system serves non-pedagogical employees of the New York City Department of Education and other closely related governmental organizations. Previously, Vargas worked in BlackRock's New York City offices as a member of the Financial Institutions Group. She holds a B.A. from Wesleyan University and was born and raised in New York City.

CONCURRENT SESSION B | Surveillance Capitalism and the Role of Investors

3:00 PM EDT

What happens when companies sell racist facial recognition software to police? Who provides the technology that ICE uses to surveil immigrants? How concerned should we be by Amazon's new flying home drone? This panel of institutional investors and tech justice experts will discuss how surveillance technologies are exacerbating racism and economic injustice, leveraging the pandemic to justify a dangerous erosion of privacy in our everyday lives. Panelists will cover the business and human rights risks connected to "surveillance capitalism," as well as how investors, advocates, and activists must join together to press tech companies to adopt business practices that prioritize community safety—not surveillance.



Hannah Lucal, Associate Director, Open MIC (MODERATOR)

Hannah Lucal organizes investor support for corporate accountability campaigns in the media and tech industry. Her work targets major companies that sell surveillance technology, enable the spread of racism and misinformation online, or do business with government agencies that use technology in ways that threaten civil and human rights. In 2017, she helped launch Racial Justice Investing, a national network that builds investor solidarity with social justice movement groups and provides education about alternatives to racial capitalism. As a 2020–2021 Take Back Tech Fellow with Just Futures Law and Mijente, Lucal is researching tech enforcement and policing in major U.S. cities and its effects on Black, Latinx, and immigrant communities. Lucal is also a trainer with the Center for Racial Justice in Education, where she facilitates anti-racism workshops for teachers. She lives in New York City.



Shankar Narayan, Co-Principal, MIRA!

Shankar Narayan is an advocate, attorney, and changemaker for fair, accountable, and community-centric technology. At MIRA!, which aims to reimagine institutions and shift power in a world transformed by technology. Narayan seeks to bring values of fairness, transparency, and accountability to surveillance and artificial intelligence technologies, and to center and empower the leadership of impacted communities, including people of color, immigrants, religious and gender minorities, and others.

Narayan was previously technology and liberty project director at the ACLU of Washington, where he founded the groundbreaking Tech Fairness Coalition, which helped pass landmark technology laws and campaigned for vendors to build tech in ethical and community-centric ways. For this work, Narayan received the 2018 Roberto Maestas Legacy Award from El Centro de la Raza. For nearly a decade prior, Narayan was legislative director at the ACLU of Washington, where he helped pass legislation to achieve marriage equality, restore voting rights, enforce nondiscrimination laws, and improve police accountability, defeat gang legislation, and protect privacy, among others. King County Bar Association's Outstanding Young Lawyer in 2010, Narayan was previously policy director at OneAmerica and a technology lawyer at K&L Gates.

Narayan has served in leadership roles on Seattle's Immigrant and Refugee Advisory Board, Detention Watch Network, the South Asian Bar Association of Washington, the Asian Bar Association of Washington, and the Ethnic Diversity in the Legal Profession Committee. He is a graduate of Bates College, Yale Law School, and Harvard's Kennedy School of Government.

An immigrant, Narayan grew up in the Soviet Union, U.S., Maldives, India, Yugoslavia, Thailand, and Russia before coming to the USA. He enjoys the outdoors, motorcycling, and Anatolian shepherds. A poet, he is a five-time Pushcart Prize nominee and a recipient of awards and fellowships from Kundiman, Hugo House, Flyway, Paper Nautilus, River Heron, Jack Straw, and 4Culture, among others.



Emma Pullman, Capital Stewardship Officer, British Columbia Government and Service Employees Union (BCGEU)

Emma Pullman built the leading capital stewardship program at BCGEU, one of British Columbia's largest and fastest growing unions, leveraging its fully divested \$110 million general and strike funds to push for stronger investments that protect workers and the planet. BCGEU has engaged Canada and the world's largest companies and brands on worker, environment, and governance issues. A major focus for the union's capital strategies work is in human rights.

Prior to the BCGEU, Pullman was the lead campaign strategist at corporate accountability watchdog SumOfUs, leading its Canadian campaigns team and shareholder work. Pullman has worked as a journalist, writer, and researcher, and as a policy analyst for the B.C. and federal public services. She holds a master of arts degree in political science and lives in Vancouver, Canada on the unceded and occupied territory of the x̱m̱əθkw̱əy̱əm (Musqueam), Skwxwú7mesh (Squamish), and Səḻílwətał (Tsleil-Waututh) Nations.

Investing in a Downturn

3:32 PM EDT

The COVID-19 pandemic shut down some industries while making others busier than ever as consumers rushed to shop online, work out from home, remodel their homes and install new software for virtual meetings and conferences. Those left out from the new demand curves created by the pandemic are busy retooling their business models to capitalize on these opportunities. And these transformations are just the beginning as businesses embrace new ideas on promoting inclusion, diversity and sustainability. Join this conversation to hear what role institutional investors can play in transforming corporate America during this unique moment when business leaders are openly embracing change like never before.



J. David Enriquez, Head of Private Equity, Bureau of Asset Management, Office of the New York City Comptroller (MODERATOR)

J. David Enriquez leads the investment activity of the bureau's private equity team in pursuing new initiatives, making recommendations, and managing the private equity portfolio of the five NYC Retirement Systems. Previously, Enriquez was an investment banking director at Rothschild and an investment banker at Merrill Lynch and Bear Stearns. He has worked on financing and strategic advisory transactions representing more than \$200 billion in transaction value. Enriquez began his transactional career as an associate at Sullivan & Cromwell in the mergers and acquisitions group. Enriquez holds an A.B., magna cum laude, Phi Beta Kappa, from Brown University, an M.P.A. from the Princeton School of Public and International Affairs, and a J.D. from Columbia Law School, where he was a Harlan Fiske Stone Scholar.



Cian Cotter, Managing Director, Insight Partners

Cian Cotter is a managing director at Insight Partners with 25 years of experience in the software industry as both an investor and operator. Cotter focuses on financial technology and capital markets, and currently represents Insight on the boards of Insight portfolio companies Fenargo, Nymbus, Mediaspectrum and Studio Moderna. He is responsible for creating strategic outcomes for Insight's portfolio companies including IPO planning and execution, recapitalizations and M&A advisory. He has played a critical role in many prior Insight investments and transactions including DWL (acquired by IBM), Primavera (acquired by Oracle), Shutterstock (IPO), Wix (IPO), Solarwinds (IPO) and eVestment (acquired by Nasdaq). Other Insight investments (past and current) where Cian has been involved include Teamviewer, GFI, Trivago, Pluralsight, Veeam, ExactTarget, Mimecast, Frontline Education, Folhamatic, Fanatics and Turnitin. Cotter also leads capital formation for Insight. Under his leadership, Insight's AUM has expanded from \$1.9 billion in 2005 to \$38.8 billion in 2020. Cotter holds a Bachelor of Business Studies from the University of Limerick, Ireland and a Masters of Business Administration from HEC, France.



Tracy Harris, Partner, Investor Relations and Product Strategy, Siris Capital

Tracy Harris joined Siris in 2019. She was most recently a partner at StepStone Group, where she served as a senior member of the small buyout, growth equity and venture capital sector teams and led the firm's ESG strategy. Prior to joining StepStone, Harris was vice president of the Customized Fund Investment Group at Grosvenor Capital Management (and the predecessor business at Credit Suisse). During her tenure at Grosvenor and Credit Suisse, Harris helped manage the in-state and emerging private equity investment programs. Prior to her time at Grosvenor, Harris spent eight years with Parish Capital Advisors, ultimately serving as partner, co-leading the investment process and investor relations. Harris received her B.A. from the University of North Carolina-Chapel Hill, with Phi Beta Kappa honors.



Lindsey King, Partner and Head of Investor Relations, Crestview

Lindsey King is responsible for managing all investor and consultant relationships, fundraising, and marketing and is a partner of the firm. Prior to joining Crestview in 2012, she was a member of Macquarie's infrastructure and real assets team, where she led relationships with a diverse group of institutional investors and consultants. She also worked in Citigroup's investment strategy group, analyzing health care companies and advising clients on their investments. King served on the board of directors of NYDJ Apparel. King holds a B.S. with an emphasis in finance from the University of Colorado at Boulder. She is a CFA charter holder and a member of the CFA Institute and the New York Society of Securities Analysts.

What Will 2021 Bring: Market Outlook in Uncertain Times

4:04 PM EDT

The International Monetary Fund recently estimated that the world economy faces up to \$28 trillion of lost output due to the coronavirus pandemic – a hit that has already translated into millions of job losses, hundreds of thousands of shuttered businesses and widening income inequality. It has also meant opportunity as consumer behaviors change, businesses adapt to the new normal and governments embrace the social and political challenges brought by the pandemic. In this closing panel, investors will discuss what they anticipate the road ahead to look like, including the prospects for COVID-19 vaccines, the U.S. election outcomes, opportunities for ESG investors and the fight for racial and economic equality.



David Fann, Vice Chairman, Aksia (MODERATOR)

David Fann has over 30 years of experience in the private markets industry. He is responsible for the overall framework of Aksia's private markets offering and provides senior advisory support to Aksia TorreyCove's client advisory and private market investment research activities. Before the firm was acquired by Aksia, Fann was co-founder, president, and chief executive officer of TorreyCove Capital Partners, where he was responsible for managing day-to-day business activities.

Prior to TorreyCove, Fann was the president and chief executive officer of Pacific Corporate Group. Throughout his career, Fann has led investment organizations that have invested/committed over \$45 billion in private equity investments. He has invested in 26 leveraged buyout, private equity, and venture capital investments as a lead investor or co-investor, of which 10 became publicly traded through initial public offerings and a number were acquired by Fortune 500 companies. Previously, he was a managing director of US Trust and vice president of Citicorp Venture Capital. Fann has served on the boards of directors of 11 companies, as a board observer for seven, and as chairman of the board of directors for two companies. He currently serves on the Honorary Advisory Board for the Association of Asian American Investment Managers and on the advisory board for the Robert Toigo Foundation. Fann graduated from Stanford University with a dual degree in industrial engineering and economics.



John Dionne, Senior Lecturer of Business Administration, Harvard Business School

John D. Dionne is a senior advisor to Blackstone and a senior lecturer of business administration in the finance unit at the Harvard Business School. He currently teaches “Private Equity Projects and Ecosystems,” a highly popular elective course that partners students with leading private equity firms on value-added projects, as well as an eleven-session lecture series on the Private Equity ecosystems. Mr. Dionne has also taught in the “Venture Capital and Private Equity” course as well as in the Executive Education program.

Dionne serves on the board of directors of Caesars Entertainment, Momentive Performance Holdings, Cengage Learning and additional privately-held companies. Until he retired from his position as a senior managing director of Blackstone in 2013, Dionne was most recently its global head of the Private Equity Business Development and Investor Relations Groups, and also served as a member of its Global Private Equity Investment and Valuation Committees. During his tenure in this position, Dionne led global fundraising efforts of over \$25 billion for three new private equity investment vehicles in the period immediately following the financial crisis.

Dionne originally joined Blackstone in 2004 as the founder and chief investment officer of the Blackstone Distressed Securities Fund, the firm’s initial entry into the single-manager hedge fund business, with peak assets under management of over \$2 billion. During this period, he also served on the Investment Committees of Blackstone’s GSO and Kalix investment businesses.

Before joining Blackstone, Dionne was for several years a partner and portfolio manager for Bennett Restructuring Funds, a multi-billion dollar hedge fund specializing in financially troubled companies, during which time he also served on several official and ad-hoc creditor committees. Previously, Dionne was a partner at Saugatuck Capital where he invested in middle-market buyouts and restructured troubled portfolio companies. From 1991 through 1996, he was director of corporate development for a predecessor of Thermo Fisher Scientific Inc. He began his career at Price Waterhouse as a public accountant. Dionne has served on the board of directors of many companies and not-for-profit institutions. He is a CFA and CPA (inactive). He received academic honors while earning an M.B.A. from the Harvard Business School and was a magna cum laude graduate from the University of Scranton, where he is a past chair of its board of trustees.



Mark Evans, Principal Investment Officer, Connecticut Retirement Plans and Trust Funds

Mark Evans has primary management and oversight responsibility for CRPTF’s private equity and private credit portfolios, representing approximately \$6 billion of exposure across multiple private capital strategies. Evans has more than 25 years of private debt and equity investment experience as both a limited and general partner, including leading fund, direct, and co-investments. He received a B.S. in finance and economics from Boston College and an M.B.A. with concentrations in finance and entrepreneurial studies from the UCLA Anderson School of Management.



Kristine Jurczyk, Managing Director, Co-Head of Vista Credit Partners

Kristine Jurczyk joined Vista Equity Partners in 2013 as one of the founding members of Vista Credit Partners and is responsible for raising, investing, and managing the firm’s credit platform and its various funds. Prior to joining Vista, Jurczyk served as a team leader at Antares Capital, the former middle-market sponsor finance platform of GE Capital, and was previously at Merrill Lynch Capital prior to its acquisition by Antares. At Antares and Merrill Lynch Capital, she managed all facets of the deal process from origination, underwriting, and structuring, to portfolio management of leveraged cash flow loans across a diverse set of industries. Earlier, Jurczyk worked at Arthur Andersen in the Transaction Advisory Group performing accounting and financial due diligence analysis on behalf of private equity firms. She has more than 20 years of leveraged buyout experience, representing the evaluation and execution of more than \$30 billion in debt transactions.

Closing Remarks

4:34 PM EDT



Sancia Dalley, Senior Vice President, Strategic Partnerships and Program Director, RFK Compass Investor Program, Robert F. Kennedy Human Rights

Sancia Dalley leads business development, engagement with the corporate sector as well as the programming for the network of more than 120 investors and fiduciaries within Compass. With over a decade of experience working with the private sector, Dalley has advised Fortune 500 companies including Pfizer, Nike Inc., Scotiabank, Virgin Group, and BP on corporate social responsibility and health strategies, business case analysis, program design and evaluation.

Dalley has helped to broker multi-million dollar partnerships with companies such as Chevron Corporation, with whom she worked on their landmark investment of \$30 million to the Global Fund to Fight HIV/AIDS, TB and malaria in support of health programs in Africa, Asia and the U.S.; advised global and national private sector coalitions on malaria and HIV/AIDS, and supported a number of leading advocacy initiatives with the business community including the Emmy-Award Winning “Get Tested” public service announcement with Kaiser Family Foundation and the National Basketball Association. Dalley holds a B.A. in international relations and French from Wesleyan College. She is the founder and CEO of Redlake Global, a boutique advisory firm that supports private sector leaders and individuals in their global health and sits on the boards of the Center for Active Design in New York and the Boardwalk Village Foundation in Jamaica.

Networking Session

4:39 PM EDT

Conference Concludes

5:15 PM EDT

MEET THE RFKCOMPASS TEAM



SANCIA DALLEY
Senior Vice President,
Compass Investor Program,
Robert F. Kennedy Human Rights



FANTA NGOM
Program Manager,
Compass Investor Program,
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ORAINÉ O'RIGGIO
Senior Consultant,
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NISA PATEL
Manager,
Stakeholder Relations
Robert F. Kennedy Human Rights

Thank you to our 2020 RFK Compass Investor Program Sponsors, Content Partners and Technology Partner.

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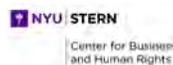
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VISTA is a leading global investment firm with more than \$58 billion in cumulative capital commitments as of October 2020. The firm exclusively invests in enterprise software, data and technology-enabled organizations across private equity, credit, public equity and permanent capital strategies, bringing an approach that prioritizes creating enduring market value for the benefit of its global ecosystem of investors, companies, customers and employees. Vista's investments are anchored by a sizable long-term capital base, experience in structuring technology-oriented transactions and proven, flexible management techniques that drive sustainable growth. Vista believes the transformative power of technology is the key to an even better future – a healthier planet, a smarter economy, a diverse and inclusive community and a broader path to prosperity.

EXECUTIVE



ARIEL INVESTMENTS is headquartered in Chicago, with offices in New York City and Sydney. We serve individual and institutional investors through our no-load mutual funds and separate accounts. Since our founding in 1983, we have been disciplined long-term investors, allowing us to take advantage of buying opportunities arising from Wall Street's excessive short term emphasis. The accumulated experience of our team has taught us that patience, focus, independent thinking and teamwork create a winning culture of excellent long-term performance and outstanding service. This defining characteristic is the cornerstone of our investment philosophy, and symbolized by our turtle logo and the firm's motto, "slow and steady wins the race."

EXECUTIVE



CLEARLAKE CAPITAL GROUP is a leading private investment firm founded in 2006. With a sector-focused approach, the firm seeks to partner with world-class management teams by providing patient, long-term capital to dynamic businesses that can benefit from Clearlake's operational improvement approach, O.P.S.® The firm's core target sectors are software and technology-enabled services; industrials and energy; and consumer. Clearlake has approximately \$25 billion of assets under management and its senior investment principals have led or co-led over 200 investments.

Based in Santa Monica, California, Clearlake is led by José E. Feliciano and Behdad Eghbali, who have together built a team of investment professionals with a unique blend of sector and product capabilities through a history of long-term strategic partnerships with management to transform and grow companies. The team has approximately 200 years of collective experience with a focus on complex situations in small and medium-sized companies.

SPONSORS

EXECUTIVE



Founded in 2004, **CRESTVIEW** is a value-oriented private equity firm focused on the middle market. The firm is based in New York and manages funds with approximately \$9 billion of aggregate capital commitments. It is led by a group of partners who have complementary experience and distinguished backgrounds in private equity, finance, operations and management. Crestview has senior investment professionals focused on sourcing and managing investments in each of the specialty areas of the firm: media, financial services and industrials.

EXECUTIVE



GREENBERG TRAUIG is an international law firm founded in Miami, Florida in 1967. We represent venture capital firms, sponsors of private equity funds, registered investment companies, investment managers and advisors in capital formation, portfolio investment, asset management, capital raising, and related commercial activities.

We have been recognized for philanthropic giving, diversity, and innovation, and are consistently among the largest firms in the U.S. on the Law360 400 and among the Top 20 on the Am Law Global 100.

EXECUTIVE



GUGGENHEIM INVESTMENTS is the global asset management and investment advisory division of Guggenheim Partners, with more than \$233 billion* in total assets across fixed income, equity, and alternative strategies. We focus on the return and risk needs of insurance companies, corporate and public pension funds, sovereign wealth funds, endowments and foundations, consultants, wealth managers, and high-net-worth investors. Our 300+ investment professionals perform rigorous research to understand market trends and identify undervalued opportunities in areas that are often complex and underfollowed. This approach to investment management has enabled us to deliver innovative strategies providing diversification opportunities and attractive long-term results.

GUGGENHEIM PARTNERS is a global investment and advisory firm with more than \$295 billion** in assets under management. Across our three primary businesses of investment management, investment banking, and insurance services, we have a track record of delivering results through innovative solutions. With 2,400+ professionals based in offices around the world, our commitment is to advance the strategic interests of our clients and to deliver long-term results with excellence and integrity.

* Assets under management as of 09.30.2020 and include leverage of \$14 bn. Guggenheim Investments represents the following affiliated investment management businesses of Guggenheim Partners, LLC: Guggenheim Partners Investment Management, LLC, Security Investors, LLC, Guggenheim Funds Distributors, LLC, Guggenheim Funds Investment Advisors, LLC, Guggenheim Corporate Funding, LLC, Guggenheim Partners Europe Limited, GS GAMMA Advisors, LLC, and Guggenheim Partners India Management.

** Assets under management are as of 09.30.2020 and include consulting services for clients whose assets are valued at approximately \$69bn.

SPONSORS

EXECUTIVE



SIRIS is a leading private equity firm that invests primarily in mature technology and telecommunications companies with mission-critical products and services, facing industry changes or other significant transitions. Siris' development of proprietary research to identify opportunities and its extensive collaboration with its Executive Partners are integral to its approach. Siris' Executive Partners are experienced senior operating executives that actively participate in key aspects of the transaction lifecycle to help identify opportunities and drive strategic and operational value. Siris is based in New York and Silicon Valley and has raised nearly \$6 billion in cumulative capital commitments.

INFLUENCER

CRESCENT

At **CRESCENT CAPITAL**, we invest in debt securities at all levels of a company's capital structure. For over 25 years, we have been investing in senior bank loans, high yield bonds, mezzanine debt and distressed debt securities. We believe that these asset classes provide our clients with opportunities to generate income while preserving capital.

Crescent's investment activities are managed by dedicated teams focused on each of these asset classes. In addition, our portfolio managers have responsibility for multi-asset class strategies that are constructed from each of the asset classes we manage. We believe that we benefit from years of experience managing below investment grade bank loans and debt securities over multiple economic and market cycles.

Crescent is an alternative asset manager with approximately \$28 billion of assets under management and over 180 employees as of June 30, 2020. We are headquartered in Los Angeles with offices in New York, Boston, and London.

INFLUENCER



DYAL CAPITAL PARTNERS seeks to acquire minority equity stakes in and provide financing to established alternative asset managers. With over a decade of experience transacting with institutional financial firms, the Dyal team has completed over 50 equity and debt transactions and manages approximately \$21.7 billion in aggregate capital commitments. Central to Dyal's success is the Business Services Platform (the "BSP"). The BSP is a team that provides strategic support to Dyal's underlying partners in various areas, which are broadly divided into two categories: Capital Strategy and Advisory Services. Part of Neuberger Berman Group LLC, the Dyal team is located in New York, London, and Hong Kong.

SPONSORS

INFLUENCER



ONE ROCK focuses on control-stake equity investments in middle-market companies in North America. We draw on the expertise of our investors and operating partners to handle complex situations like corporate carve-outs, misunderstood companies, management transitions, and under-optimized companies. We utilize the global resources of Mitsubishi Corporation, our strategic partner, to increase the value of our portfolio companies, and focus on the industries where these resources will have the most impact.

INFLUENCER



SILICON VALLEY BANK (SVB) CAPITAL is the venture capital investment arm of SVB Financial Group (NASDAQ: SIVB). Founded in 1999, SVB Capital utilizes deep commercial relationships and uniquely differentiated access within the innovation economy to build top-performing venture capital investment programs including fund-of-funds, direct funds, and separate accounts. Our fund-of-funds platform invests in dominant, capacity-constrained venture capital firms, while our direct strategy targets series A and B lead-equity rounds in rapidly growing technology-oriented companies. We offer customized separate accounts in partnership with investors to achieve a more bespoke risk-return profile by utilizing combined elements of the platform.

EVENT



VERIS WEALTH PARTNERS is a full-service impact wealth management group. For two decades, our team has been transitioning clients' wealth to investment strategies that deliver financial performance and beneficial environmental and social impact. We provide differentiated insight, expertise and solutions, while building highly collaborative, long-term relationships with individuals, multi-generational families and private foundations. We have expertise across the entire investing landscape and are proud of our particular expertise in four thematic areas of impact investing of climate change and the environment; gender lens investing; community wealth building and social equality; and sustainable agriculture and food systems. We are a national firm supported by our expertise and commitment to Impact investing since inception.

CONTENT PARTNERS

CONTENT PARTNER



OPEN MIC organizes shareholders of tech and media companies to press for more responsible corporate policies and practices. Alongside investment firms, asset managers, pension funds and foundations, Open MIC leads corporate accountability efforts on emerging issues in the tech and media sectors, working in coalition with civil rights, racial justice and media justice organizations. Open MIC has led high-visibility shareholder campaigns targeting virtually all of the leading tech companies, including Alphabet, Amazon, Apple, AT&T, Comcast, Facebook, Microsoft, Twitter and Verizon. Launched in 2007, Open MIC's work focuses on a range of issues, including preventing the spread of hate speech and disinformation on social media platforms; addressing the human and civil rights risks posed by surveillance technology; protecting net neutrality; increasing racial and gender diversity and equity in the tech workforce; and promoting online privacy.

CONTENT PARTNER



Founded in 2013, the **NYU STERN CENTER FOR BUSINESS AND HUMAN RIGHTS** is the first center dedicated to human rights at a business school. Led by Founder and Director Michael Posner – who served in the Obama Administration as Assistant Secretary of State for Democracy, Human Rights and Labor – the Center advances a pro-business, high standards model. Through research and engagement, we provide corporate leaders with tools and guidance to better understand and address human rights challenges in their core business operations. Building on lessons from this work, we engage with faculty from business schools around the world to equip tomorrow's leaders with the awareness and skills they will need to manage a resilient and innovative company. From the heart of the world's financial hub in New York City, we are helping to write a new playbook for business and human rights, renegotiating the responsibilities corporations have to the people and communities they touch.

CONTENT PARTNER



Founded in 1956, **GLENMEDE** is an investment and wealth management firm, overseeing \$37 billion of assets under management, including more than \$4.3 billion across our Sustainable & Impact Investing platform. Independent and privately held, Glenmede has been an active leader in impact investing for nearly two decades. We work closely with individuals and families, as well as endowments and foundations, to align values with investments across the themes of planet, society and faith.

MEET THE RFKCOMPASS ADVISORY COMMITTEE



SANCIA DALLEY, CO-CHAIR
Senior Vice President,
Compass Investor Program,
Robert F. Kennedy Human Rights



MARVIN ROSEN*, CO-CHAIR
Shareholder,
Greenberg Traurig



CHERYL ALSTON
Executive Director and
Chief Investment Officer,
Dallas Employees' Retirement Fund



MARK DEVINCENTIS
Managing Director,
Crescent Capital



MICHAEL ELIO
Partner,
Stepstone



J. DAVID ENRIQUEZ
Head of Private Equity,
Bureau of Asset Management,
Office of the New York City Comptroller



DAVID FANN
Vice Chairman,
Aksia



JOSÉ FELICIANO*
Managing Partner,
Clearlake Capital Group



AARON GERSHENBERG
Founder and Managing Partner,
Silicon Valley Bank Capital



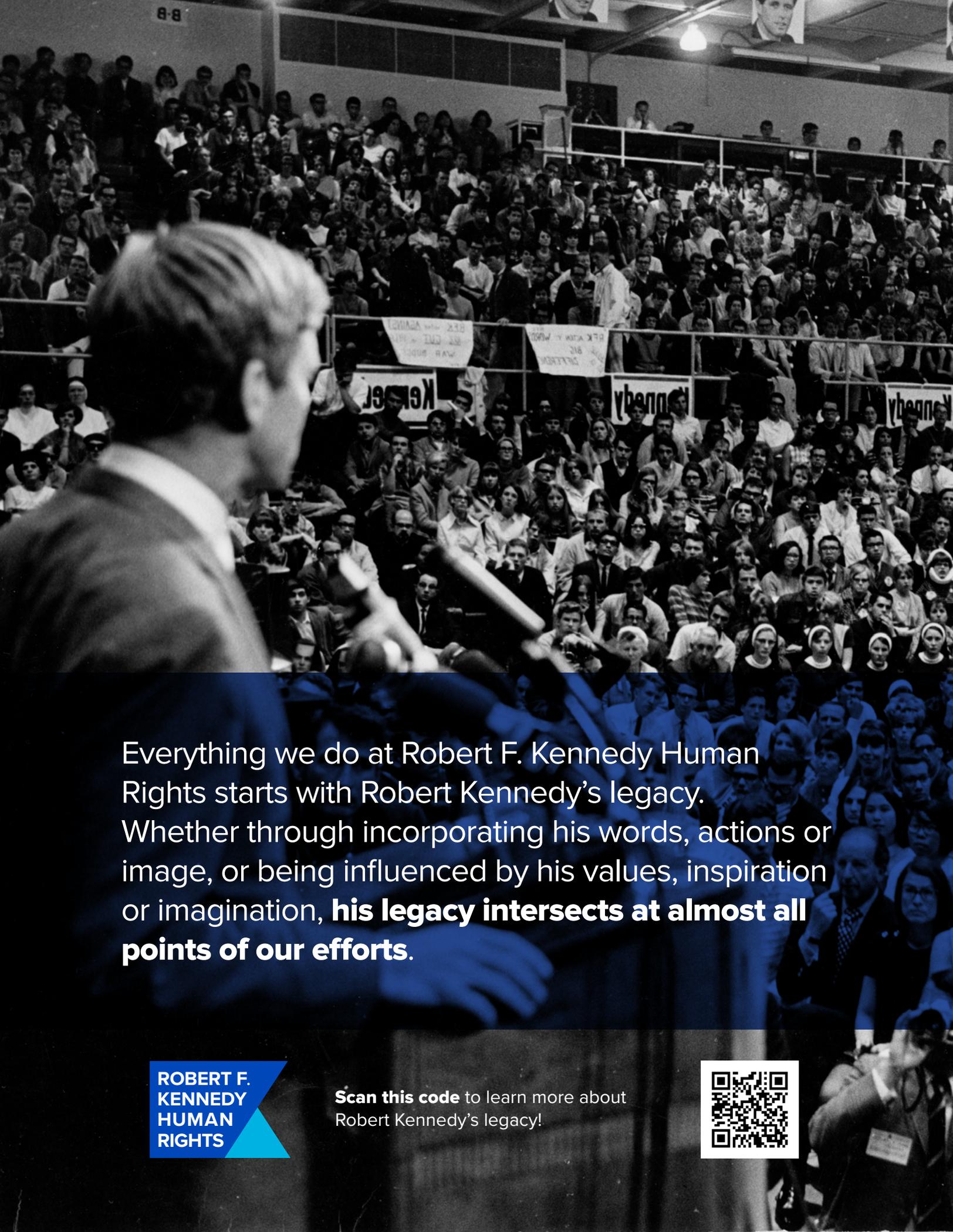
SANG GUPTA
Partner,
Long Arc Capital



LINDSEY KING
Partner and Head of Investor
Relations, Crestview Partners



MICHAEL H. POSNER*
Director,
NYU Stern Center for Business
and Human Rights



Everything we do at Robert F. Kennedy Human Rights starts with Robert Kennedy's legacy. Whether through incorporating his words, actions or image, or being influenced by his values, inspiration or imagination, **his legacy intersects at almost all points of our efforts.**

**ROBERT F.
KENNEDY
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RFK Compass Investor Action Plan

Four Steps Investors Must Take Now to Fight Economic and Racial Injustice

America's racial reckoning has been 400 years in the making. The deaths of George Floyd, Breonna Taylor, and countless other Black people at the hands of police have highlighted the inhumane treatment and systemic exclusion Black people have long faced—losing assets, opportunities, and even their lives—as a direct result of deep-seated anti-Black racism and discriminatory practices.

At Robert F. Kennedy Human Rights, we've tackled these issues head-on through key initiatives that include our criminal justice work; our Speak Truth to Power and RFK Young Leaders programs, which empowers the next generation of human rights defenders and civic leaders; and our Workplace Dignity program that works to build workplaces that honor the value of all employees. Ultimately, however, we recognize that meaningful progress toward racial equality requires the participation of one of the most powerful and influential groups in our society: the investment community. If we are to create lasting change, investors must be involved.

That's why we launched our Compass Investor Program in 2008 to engage and educate institutional investors, fund managers, and investment consultants about the importance of adopting new approaches to investing that actively consider human rights and good governance.

The RFK Compass team has identified the following four specific actions investors can take to dismantle these unjust systems—moving beyond discussions of diversity and inclusion toward building an equitable and just society for all.

Investor Action: Screen your portfolios, across all asset classes, to begin to rectify injustices by eliminating business models, products, and practices that support a racist economic and legal system.



- Divest from companies that actively support, and directly benefit from, the racist criminal legal system through mass incarceration, mass surveillance, and use of prison labor. These companies include:
 - **Technology firms** that make products such as facial scanning technology, predictive policing software, and IMSI catchers (eavesdropping devices) that are weaponized in Black communities and other communities of color. (See IBM's announcement about no longer selling these technologies.)
 - **Facility operations** that manage and maintain jails, prisons, and other detention centers used to cage Black people and other people of color.
 - **Financial institutions** that engage in predatory lending, cash checking, and payday lending schemes such as insurance firms and bail bonds companies.
 - **Catering and food service companies** that contract with private and public prisons that leverage prison labor in the delivery of their contract.
- Divest from companies that suppress the rights of employees to collectively bargain and form unions that are critical to ensuring safe working conditions, worker protections, a living wage, and increased democracy in the workplace.
- Demand that portfolio companies share more profits and pay—and sustain—a living wage to workers in the agriculture, food processing, restaurant, and gig sectors, and create safe, fair, working conditions based on a human rights-based code of conduct such as created by the Fair Food Standards Council.
- Demand that portfolio companies offer paid time off and health care coverage to part-time and non-exempt employees.
- Encourage portfolio companies, especially those with large workforce's and those operating in labor-intensive industries, to “ban the box” and to hire and train “returning citizens” (formerly incarcerated individuals) and/or support worker co-ops that employ and train these individuals.
- Review investments in municipal bonds that may be supporting police brutality case payouts, and commit to not investing in these bonds and not doing business with the insurance firms that back them.
- Invest in community-driven alternatives such as community development finance institutions such as Bedford Stuyvesant Restoration Corporation and worker-owned cooperatives, especially those that are Black-owned and led.
- Demand that major retailers in your portfolio companies, including Whole Foods, Amazon, Target, Walmart, Nordstrom, and others, allocate 15% of their shelf space to products from Black-owned businesses.
- Hold your organizations and all portfolio companies accountable for lobbying efforts that cause harm to communities of color, and proactively and publicly push for increases in the tax rate paid by the private sector and other policies to ensure increased resources to meet people's basic social needs through education, health care, housing, and opportunity.

***Investor Action:* At the board level of your institutions, eliminate processes and decisions that uphold racist practices and structures.**

2

- Commit to hiring *at least 5* Black leaders within the next 12 months to your board and/or within your investment committee.
- Allocate *at least 5* percent of existing capital in your investment funds to Black-owned investment firms and businesses.
- Direct at least 2 percent of net banking income to fund Tier 1 capital of local community development banks and minority depository institutions that serve Black communities.
- Require proxy voting companies and their agents to prioritize race issues at corporate board meetings, and report these issues and data to shareholders.

***Investor Action:* Build a workplace that honors dignity and is racially inclusive at all levels (beyond support teams).**

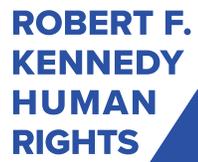
3

- Recruit and hire from historically Black colleges and universities to increase racial diversity on investment and sales teams, and create intern-to-hire programs with these schools to build a steady pipeline of Black talent for executive leadership growth.
- Underwrite scholarships, and support paying off student loans, for Black employees who work with your firm.
- Contract with *at least 5* majority Black-owned businesses within the next 12 months for commercial services such as legal, communications (marketing, advertising, etc.), and consulting, in addition to facility operations (janitorial, food services, etc.).
- End contractual and business relationships with private and public policing systems.

***Investor Action:* Support policy initiatives and campaigns that seek to dismantle racist practices and structures, and support new systems that create positive change.**

4

- Legislation and actions that decrease city budget allocations to police departments and redirect those funds to local community-building initiatives, such as skills training and social services.
- Legislation and actions that require all employers, particularly those employing farm workers, tipped workers and domestic workers to pay and sustain a living wage.
- Plans to eliminate financially restrictive policies that prevent Black-owned businesses and entrepreneurs, as well as formerly incarcerated individuals, from accessing federal and state-level business loans.

The logo for Robert F. Kennedy Human Rights, featuring the text "ROBERT F. KENNEDY HUMAN RIGHTS" in white, bold, sans-serif capital letters. The text is arranged in four lines: "ROBERT F.", "KENNEDY", "HUMAN", and "RIGHTS". To the right of the text is a white graphic element consisting of a triangle pointing downwards, which is partially enclosed by a white line that forms a larger, irregular shape.

**ROBERT F.
KENNEDY
HUMAN
RIGHTS**

**EXPOSE INJUSTICE. TEACH CHANGE.
RIGHT WRONG. HEAL PAIN. JOIN US.**

A large, stylized compass rose graphic in the top right corner. It features a white eight-pointed star with a blue circular ring around it, set against a dark blue background.

Stay in touch with the RFK Compass
Team at compass@rfkhumanrights.org.



[@RFKHumanRights](#)

RFKHumanRights.org