

## Vendor Diversity FAQs

### What is Vendor Diversity?

Vendor diversity proactively encourages the inclusion of diverse vendors in a company's sourcing and procurement process. By strengthening the supply chain, a company can benefit from gaining access to innovative products and services as well as leveraging new business opportunities.

### What is Guggenheim's commitment to Vendor Diversity?

Guggenheim is committed to integrating innovative and inclusive practices across the firm. Vendor diversity creates additional channels for Guggenheim to broaden our sourcing and vendor selection process with the inclusion of minority, women, LGBT and veteran-owned businesses. Vendor diversity is an integral component of Guggenheim's diversity and inclusion strategy.

### What is Guggenheim's Vendor Diversity Program?

We have established a Vendor Diversity Program designed to promote awareness of vendor diversity internally as well as with our large service providers to encourage the use of diverse vendors. By acting as a connector, we are creating innovative approaches to strengthen the utilization of vendor diversity at Guggenheim, in the financial services industry, and in corporate America.

Guggenheim's Vendor Diversity Program actively seeks to identify and do business with companies owned by certified diverse vendors. We believe that having a diverse vendor base and an inclusive vendor process enhances our supply chain, which in turn improves quality, efficiency, and innovation as well as supports business development in our communities.

### Who manages Guggenheim's Vendor Diversity Program?

Our Office of Diversity and Inclusion manages Guggenheim's Vendor Diversity Program in collaboration with the Strategic Sourcing and Expense Management team.

### What is a certified diverse vendor?

A certified diverse vendor is defined as a business that is at least 51% owned, controlled, and operated by one or more members of a diverse group, including minority, women, LGBT, and veterans. Diverse vendors can also include historically underutilized and U.S. Small Business Administration-defined small businesses.

### Why do we encourage diverse vendors to obtain a third party certification?

Third party certification enhances our ability to identify certified diverse vendors for opportunities. Also, diverse vendor certification enables us to accurately track and report our spend with diverse vendors.

### Which diverse vendor certification does Guggenheim Partners accept?

Guggenheim Partners accepts diverse vendor certifications from various third party organizations and their respective affiliates including, but not limited to, the National Minority Supplier Development Council (NMSDC), Women Business Enterprise National Council (WBENC) and the National Gay and Lesbian Chamber of Commerce (NGLCC).

### How do diverse vendors register with Guggenheim Partners?

A diverse vendor that is certified by a third party certifier may register with us by contacting [VendorDiversity@GuggenheimPartners.com](mailto:VendorDiversity@GuggenheimPartners.com). Once a diverse vendor is registered with Guggenheim Partners, their information is retained for consideration for future opportunities.

For additional information about us, please visit [GuggenheimPartners.com](http://GuggenheimPartners.com)