



**FOUNDATION**

# **Increasing Financial Literacy**

& EXPANDING AWARENESS  
OF THE  
SECURITIES INDUSTRY  
& FINANCIAL MARKETS



# Increasing Financial Literacy

## About Us

The SIFMA Foundation is dedicated to fostering knowledge and understanding of the financial markets for individuals of all backgrounds. Drawing on the support and expertise of SIFMA member firms, the SIFMA Foundation provides financial education programs and tools that strengthen economic opportunity across communities and increase individuals' access to the benefits of the global marketplace.



A competitive edge early in life.

The SIFMA Foundation's acclaimed Stock Market Game™ program is an online simulation of the global capital markets that engages students grades 4-12 in the world of economics, investing and personal finance, and prepares them for financially independent futures. Nearly 600,000 students take part every school year across all 50 states and around the globe. The Stock Market Game™ has reached 13 million students since its inception in 1977.

The SIFMA Foundation's InvestWrite national essay competition is a culminating activity for The Stock Market Game™ (SMG) students, extending what they have learned in SMG by challenging them to analyze, think critically and problem solve. Students address real-world financial issues and situations

by answering a question about long-term saving and investing.



Tracking economic indicators.

The Capitol Hill Challenge (CHC) matches Members of Congress with schools across the country participating in The Stock Market Game™. Winners receive a paid trip to Washington, DC to meet their member of congress, tour financial landmarks, and learn first-hand about financial policy making. Since its inception in 2004, CHC has engaged almost 800 U.S. Representatives and Senators with over 20,000 students across the country.

## Join Us

Through the generous support of SIFMA member firms, corporate partners, private foundations, and individuals, the SIFMA Foundation has provided students in grades 4–12, their teachers, and their parents with broader knowledge and a deeper understanding of the essential role that the securities industry and financial markets play in the global economy, while also reinforcing their knowledge of personal finance.

The SIFMA Foundation's sponsors and partners support us in many ways. Some provide financial contributions for the development of new educational programs or to maintain existing programs. Others contribute time and experience by volunteering to visit classrooms using The Stock Market Game™ program, judging the InvestWrite essay contest, speaking at teacher training events, and helping to develop teaching materials. Still others do both!



Virtual becomes real  
at NYSE.

When you and your company contribute to the SIFMA Foundation, you:

- Provide first-hand access to the fundamentals of bond, mutual fund, and stock investing to audiences who might otherwise never have this exposure.
- Educate the general public about the role the securities industry and financial markets play in preserving and strengthening the nation's infrastructure and its prosperity long into the future.
- Protect and grow the nation's economy through the creation of an informed investor public and a new generation of financially literate youth.
- Demonstrate the charitable nature of the securities industry and financial markets.

***Join us in our mission to provide individuals access to the tools and skills they need to lead financially independent lives and to help our communities and our nation grow and prosper.***

---

# Increasing Financial Literacy

---

## Contribute

Make your tax-deductible contribution today at [www.sifma.org/foundation](http://www.sifma.org/foundation)

If you prefer to send a check, make it payable to the SIFMA Foundation and mail it to:

SIFMA Foundation for Investor Education  
120 Broadway, 35<sup>th</sup> Floor  
New York, NY 10271

Enhance your cash contribution! Ask about your company's charitable Matching Gifts Program.

Would you like to volunteer your expertise to one or more of our programs? Contact Nancy Kahn at [nkahn@sifma.org](mailto:nkahn@sifma.org) or call 212-313-1307.

**The SIFMA Foundation would like to thank our SIFMA member firms, corporate and foundation supporters, individual donors, and volunteers who have helped millions of students become financially prepared for life.**



Hands-on training on a simulated trading floor.

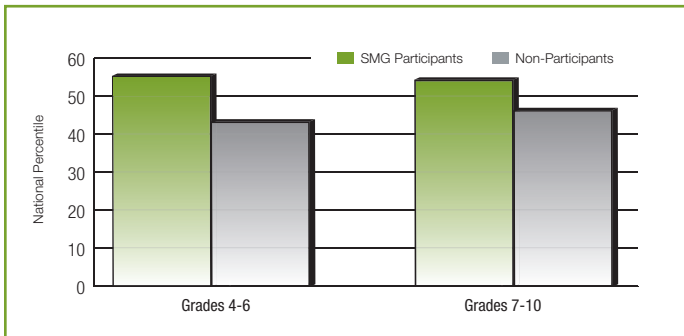


## For Parents & Teachers

Recent history has taught us just how important it is to have a fundamental understanding of saving and investing. The Stock Market Game™ has significant and measurable impact on student financial literacy and academic achievement across all grades.

An independent study by Learning Point Associates found students who participated in the SMG program scored significantly higher on mathematics and financial literacy tests than their peers who did not participate. They also found that teachers who taught SMG reported the program influenced them to engage in financial planning, research, and use of investment products and services.

### MATH ACHIEVEMENT



**Teachers:** Register your students for The Stock Market Game™ program today so they have the life skills to succeed tomorrow. Visit [www.stockmarketgame.org](http://www.stockmarketgame.org).

**Parents:** Encourage your child's teacher to review The Stock Market Game™ website at [www.stockmarketgame.org](http://www.stockmarketgame.org) and register their class to participate.



Congressman Barney Frank congratulates student winners.

# Increasing Financial Literacy

---

## Volunteer Opportunities

The SIFMA Foundation has a number of volunteer opportunities available for you to choose from, such as:



### **InvestWrite**

Judge the SIFMA Foundation's national essay competition, InvestWrite. Judging is simple and done entirely online. For more information or to register as a judge visit: [www.investwrite.info/judges](http://www.investwrite.info/judges).



### **Classroom Visits**

Create an atmosphere of authenticity and excitement about the industry by visiting a classroom engaged in The Stock Market Game™ program.



### **Speakers Bureau**

Whether live at a teacher professional development day or online for a financial literacy webinar; administrators, teachers, parents, and students are eager to hear from you.



### **Curriculum Advisor**

The Stock Market Game's grade 4-12 classroom curriculum is what differentiates it from other financial literacy programs. Help keep the SMG relevant by volunteering to assist with curriculum materials.

For more information about these opportunities or to sign up, contact Nancy Kahn at [nkahn@sifma.org](mailto:nkahn@sifma.org) or call 212-313-1307.

Information about the SIFMA Foundation is available at [www.sifma.org/foundation](http://www.sifma.org/foundation).

---

## *We would like to thank our 2011 partners*

Active Operations Management	Bingham McCutchen, LLP
Alamo Capital	Bloomberg Tradebook, LLC
Allen & Company, LLC	BMO Capital Markets GKST Inc.
Allen & Overy, LLP	Boenning & Scattergood, Inc.
Allen, Mooney & Barnes Brokerage Services	BondDesk Group, LLC
AllianceBernstein Holdings	Broadridge Financial Solutions, Inc.
American Century Brokerage, Inc.	Bru Eckner Family Foundation
Ameriprise Financial Services, Inc.	C.L. King & Associates, Inc.
Amherst Securities Group, L.P.	Cabrera Capital Management
Annaly Capital Management, Inc.	Cadaret Grant & Co., Inc.
APG Asset Management US Inc.	Cadwalader, Wickersham & Taft, LLP
Asia Pacific Financial Management Group	Canaccord Genuity Inc.
Atlas Strategic Advisors, LLC	Cantor Fitzgerald & Co.
Babson Capital Management, LLC	Capital One Asset Management, LLC
Balance Sheet Solutions, LLC	Capital One Investment Services, LLC
Banco Popular de Puerto Rico	Capital One Southcoast, Inc.
Bank of America Merrill Lynch & Co., Inc.	Cascade Financial Management, Inc.
Barclays Capital Inc.	Centennial Securities Company, LLC
Bay Area Financial Education Foundation	Chapin, Davis & Co., Inc.
Benjamin F. Edwards & Co.	Charles River Brokerage, LLC
Berkshire Capital Securities, LLC	Cheevers & Company Inc.
BIDS Trading L.P.	Chester Harris and Company, Inc.

---

# 2011 Partners

---

Chicago Mercantile Exchange	Edwards Family Fund
Christopher Weil & Company, Inc.	Edward D. Jones & Co. L.P.
CIBC World Markets Corp.	eFinancialCareers
Clancy Financial Services, Inc.	Eladian Partners, LLC
Cleary, Gottlieb, Steen & Hamilton, LLP	Elliott Management Corporation
Commerz Markets, LLC	Eltekon Securities, LLC
Cormark Securities (USA) Ltd.	Estrada Hinojosa & Company, Inc.
Cowen and Company, LLC	Eurex/Deutsche Boerse
Crédit Agricole Corporate and Investment Bank	Euroclear Bank SA/NV
Credit Suisse Securities (USA), Inc.	Fidelity Brokerage Company
Cullen Investment Group, Ltd.	Fidelity Investments
Curian Clearing, LLC	Fifth Third Securities, Inc.
Cutter & Company Brokerage, Inc.	First Bermuda Securities (B.V.I.) Ltd.
Davenport & Company, LLC	First Investors Corp.
Davy Securities Limited	First New York Securities, LLC
Dechert, LLP	Fiserv
Deloitte	Fitch Ratings
Deutsche Asset Management	FTN Financial
Dexia Securities USA, LLC	G.X. Clarke & Co.
DiscoverReady, LLC	Gardner Rich & Company
DnB NOR Markets, Inc.	GE Capital Markets, Inc.
Dominick & Dominick, LLC	George K. Baum
Dorsey & Company, Inc.	GFI Securities, LLC
Dundee Securities Corp.	GIT Investment Services, Inc.
E*TRADE Financial Corp.	Great American Advisors, Inc.
E.H. Smith, Jacobs & Co., Inc.	Griffiths McBurney Corp.

---

H.D. Vest Investment Securities, Inc.

Hawkins, Delafield & Wood

Haywood Securities (USA) Inc.

Headstrong

Hefren-Tillotson, Inc.

Hennion & Walsh

Herndon Plant Oakley Ltd.

Hightower Securities

Hornor, Townsend & Kent, Inc.

HSBC Global Asset Management (USA) Inc.

HSBC Securities (USA) Inc.

Hunter Associates, Inc.

ICAP

ICI

IDB Capital Corp.

IJL Financial Advisors, LLC

IMARC, LLC

Incapital, LLC

ING Financial Partners, Inc.

ING Investment Management, LLC

Intercontinental Asset Mgt. Group, Ltd.

International Correspondent Trading, Inc.

Investec Securities (US), LLC

Investment Planners, Inc.

J.J.B. Hilliard, W.L. Lyons, LLC

J.P. Morgan Chase

Jane Street Markets, LLC

Johnston, Lemon & Co. Inc.

KeyBanc Capital Markets Inc.

The Lamport Foundation, Inc.

Lazard Capital Markets, LLC

Lebenthal & Co., LLC

Legent Clearing, LLC

Legg Mason, Inc.

Lincoln Financial Distributors

Liquidnet, Inc.

Loeb Partners Corp.

Lombard Securities Inc.

Loomis, Sayles & Company, L.P.

Loop Capital Markets LLC

LPL Financial Corp.

M & I Financial Advisors, Inc.

M.R. Beal & Company

Macquarie Capital (USA) Inc.

Macquarie Private Wealth Corp.

Marin Gibson

MarketAxess Corp.

Mayer Brown, LLP

MBIA, Inc.

McDonald Partners, LLC

McNicol Lewis & Vlask, LLC

Mellon Asset Management (BNY)

---

# 2011 Partners

---

Melvin Securities, LLC

Meritus Financial Group, Inc.

MF Global Inc.

MGI Securities (USA) Inc.

MKP Capital Management, L.L.C.

MMC Securities Corp.

Morgan Stanley

Morgan Stanley Investment Mgt.

New York Life Investment Mgt, LLC

Newedge USA, LLC.

NexJ Systems, Inc.

Niagara International Capital Ltd.

North Highland

Northern Trust Global Investments

NYPPEX, LLC

NYSE Euronext

Oakpoint Advisors, LLC

O'Connor & Company Securities, Inc.

Omgeo, LLC

OM Securities

Opus Capital Markets Consultants, LLC

Oriental Financial Services, Corp.

Orrick, Herrington & Sutcliffe, LLP

P.J. Robb Variable Corp.

Patrina Corp.

PEFCO

Pershing, LLC

Petersen Investments, Inc.

PIMCO

Piper Jaffray & Co.

PNC

Putnam Investment Management

R.W. Smith & Associates, Inc.

Rafferty Capital Markets, LLC

RBC Capital Markets Corp.

RBC Global Asset Mgt. (U.S.) Inc.

Regional Brokers Inc.

RenCap Securities Inc.

Residential Funding Securities, LLC

Ridge Clearing & Outsourcing Solutions, Inc.

Robinson & Robinson, Inc.

Sanford C. Bernstein & Co., LLC

Sapient Corporation

Schulte Roth & Zabel, LLP

Scotia Capital

Scott & Stringfellow, LLC

Scott-Macon Securities, Inc.

Scottrade, Inc.

Sea Port Group Securities, LLC

Securian Financial Services, Inc.

---

Senvest International, LLC

Shearman & Sterling, LLP

Siebert Brandford Shank & Co., LLC

SIFMA

SIG Brokerage, LP

SIX Telekurs USA, Inc.

Societe Generale Corporate &  
Investment Banking

Souza Barros Securities, Inc.

Standard & Poor's

Standard & Poor's CUSIP Service Bureau

Standard Chartered Securities (N.A.) Inc.

State Street Global Markets, LLC

State Trust Investments, Inc.

Sterne, Agee & Leach, Inc.

SunGard

TD Securities (USA), LLC

The Baker Group

The Depository Trust & Clearing Corp.

The McGraw-Hill Companies

The Williams Capital Group, L.P.

The Winchester Group, Inc.

TIAA-CREF

Tocqueville Securities, L.P.

Tom Price

Trade PMR

Tradition Asiel Securities, Inc.

Tudor, Pickering, Holt & Co. Securities, Inc.

Twenty-First Securities Corp.

U.S. Bancorp Investments, Inc.

UBS Global Asset Management

UniCredit Capital Markets, Inc.

University of New Mexico

UPRR Securities, LLC

Vanguard Capital

Vision Financial Markets, LLC

Vision Investment Services, Inc.

W. H. Reaves & Co., Inc.

Wachtell, Lipton, Rosen & Katz

Wall Street Access

Wayne Hummer Investments

Wells Fargo Advisors, LLC

Westport Resources Investment Services, Inc.

Wiley Bros. - Aintree Capital, LLC

Willis Securities, Inc.

Wolfe & Hurst Bond Brokers, Inc.

Wunderlich Securities, Inc.

Zecco Trading, Inc.



sifma

## FOUNDATION

120 Broadway, 35th Floor  
New York, NY 10271-0080

[www.sifma.org/foundation](http://www.sifma.org/foundation)