



*Invested in America*

# About SIFMA

Advocates for effective and resilient  
capital markets

“ The ability to interact and share ideas with a diverse group of firms of all sizes, and to develop lasting relationships has been invaluable. We know that our ability to grow has been enhanced by our membership and participation in SIFMA. ”

Kim Tillotson Fleming  
Chairman of the Board, Hefren-Tillotson, Inc.

# Who We are

SIFMA is the voice of the U.S. securities industry. We represent the broker-dealers, banks and asset managers whose nearly 1 million employees provide access to the capital markets, raising over \$2.5 trillion for businesses and municipalities in the U.S., serving clients with over \$18.5 trillion in assets and managing more than \$67 trillion in assets for individual and institutional clients including mutual funds and retirement plans. SIFMA, with offices in New York and Washington, D.C., is the U.S. regional member of the Global Financial Markets Association (GFMA). For more information, visit <http://www.sifma.org>.

## Our Global Alliances



# What We do: Our Industry

America has the deepest and most liquid capital markets in the world, providing nearly 80% of debt financing for business to grow and expand. Markets foster increased investment in capital stock, including plant, equipment and software; offer U.S. companies a greater diversity of funding sources; more efficiently allocate risk among investors; and promote economic growth and job creation.

The securities industry facilitates access to the capital markets, creating investor opportunity, capital formation, job creation and economic growth.

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As of December 31, 2016, market capitalization – the total value of all publicly traded securities – of the U.S. stock market was **\$28.9 trillion**

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107 companies conducted initial public offerings in 2016 in the U.S. raising over **\$17.8 billion**.

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The U.S. corporate bond market is the largest in the world: over 1,300 companies issued **\$1.5 trillion** in corporate bonds in the U.S. to fund their operations and growth in 2016.

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Municipal issuers raised over **\$445.8 billion** in 2016 to finance important community infrastructure projects including roads, bridges, hospitals and universities.

# What We do:

## The Industry's Advocate

SIFMA brings together the shared interests of hundreds of broker-dealers, banks and asset managers. We advocate in support of effective and resilient capital and financial markets.

### **10,000 professionals**

from hundreds of member firms work with our staff on approximately 100 product, policy, functional and enterprise committees

#### **SIFMA's members represent approximately:**

- **50%**, or \$34 trillion, of registered investment advisor assets under management
- **67.2%**, or 270,000, of U.S. financial advisors

In 2016, SIFMA committees filed **over 150** comment letters and 21 amicus briefs; met regularly with legislators, regulators and policymakers; hosted over 100 conferences and training and development sessions; and held numerous roundtables to exchange industry best practices.

# Critical Issues

SIFMA advocates for effective and resilient capital markets. We work on a number of critical and timely issues including:

- Cybersecurity
- DOL Fiduciary Standard
- Market Structure
- Senior Investors
- Shortened Settlement Cycle
- Tax Reform
- Infrastructure
- Municipal Bond Disclosure

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

# Committees

SIFMA is a member-driven trade association that represents a broad spectrum of the capital and financial markets. SIFMA has approximately 100 standing committees; additional task forces and subcommittees are formed to address specific needs as they arise.

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



<sup>1</sup> CMG includes: (1) Derivatives = OTC Derivatives; (2) Equity = Equity Capital Markets and Listed Option; and (3) FICC = Commodities (via GFMA), Credit Markets, Foreign Exchange (via GFMA), Municipal Securities, Rates and Funding and Securitization



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