

SIFMA's Asset Management Group

The Benefits of Membership

Welcome to SIFMA's Asset Management Group, your voice in the capital markets.

SIFMA AMG brings together the asset management community to advocate for effective and resilient capital markets, providing views on U.S. and global policy and creating industry best practices. SIFMA AMG's members represent U.S. and global asset management firms whose combined assets under management exceed \$45 trillion. The clients of our member firms include, among others, tens of millions of individual investors, registered investment companies, endowments, public and private pension funds, UCITS and private funds such as hedge funds and private equity funds.

As part of SIFMA, you are joining the leading trade association for broker-dealers, investment banks and asset managers operating in the U.S. and global capital markets. Guided by a board of directors that represents the diversity of our member firms, SIFMA and SIFMA AMG bring together the shared interests of our members to advocate on legislation, regulation and business policy affecting retail and institutional investors, equity and fixed income markets and related products and services. We serve as an industry coordinating body to promote fair and orderly markets, informed regulatory compliance, and efficient market operations and resiliency. We also provide a forum for industry policy and professional development. All with the goal of ensuring deep, liquid and efficient capital markets finance the real economy, allocate risk, and support economic growth and financial stability.

SIFMA AMG's unique strength is the deep engagement of our members on our committees. With participation from each of our member firms, nearly 2,000 individuals participate on approximately 60 AMG committees, forums and task forces. With a member-driven approach to our issue portfolio, SIFMA AMG staff draws on subject matter expertise and deep relationships to engage with regulators, policymakers and standard setters through meetings, comment letters, testimony, research and more. SIFMA AMG further leverages the markets, regulatory, advocacy and legal expertise of the broader SIFMA organization.

Policy Engagement and Industry Coordination

SIFMA AMG has deep relationships with regulators and policymakers in the U.S. and around the world, working closely to analyze, provide input on and influence public policy affecting the sector. We coordinate the industry on sector-wide efforts to ensure the resiliency of capital markets, including operations, cybersecurity and business continuity planning. SIFMA's committee structure provides members with buy-side only forums as well as opportunities to coordinate with the sell-side.

US Regulatory Policy and Legislation

SIFMA AMG leverages its core policy staff and the broader SIFMA advocacy, policy and legal team to advocate before the Executive branch, regulatory agencies and Congress.

International Policy

SIFMA AMG is committed to promoting good global policy and coherent international standards for asset managers operating across borders. We do this, first and foremost, by focusing on the work on international standard setters such as the Financial Stability Board and the International Organization of Securities Commissions. Where there are particularly impactful proposals from individual jurisdictions on overarching AMG priorities, we are guided by our members. Our international work leverages our network of relationships around the world including with other trade associations who hold local relationships and regional expertise.



Benefits of Membership

SIFMA's Asset Management Group offers a distinct set of customized benefits for the buy-side, access to forums to collaborate with the sell-side, and more:

<p>Committees</p> <p>SIFMA AMG committees are comprised of member firm experts and engage with policymakers and regulators through advocacy, comment letters, testimony, research and more. Standing committees include:</p> <ul style="list-style-type: none"> • AMG Steering Committee • AMG Government Affairs Committee • AMG International Regulatory Committee • AMG Operations Committee • AMG Steering Committee • AMG U.S. Regulatory Committee 	<p>Forums</p> <p>SIFMA AMG Forums comprised of member firm experts focus on industry compliance and operations practices and include:</p> <ul style="list-style-type: none"> • AMG CCO and Enforcement Forum • AMG Collateral Operations Forum • AMG Counterparty Risk Forum • AMG Custodian Operations Forum • AMG Derivatives Forum • AMG ETF Forum • AMG Fixed Income Market Structure Forum • AMG Operational Risk Forum • AMG Securitization Forum • AMG Tax Forum 	<p>Task Forces</p> <p>Task forces are convened to address individual initiatives as they arise including issues such as:</p> <ul style="list-style-type: none"> • Alternative Investments • Antitrust Aggregation • Bankruptcy & Special Resolution • Corporate Culture Roundtable • Cross Trading Task Force • CSDR • Fixed Income Market Structure • LIBOR Replacement • Money Market Mutual Funds • Private Funds • SEC Advertising • Soft Dollar Advocacy • Sustainable Finance/ESG • Tax • Uncleared Swaps Margin
<p>Research and Insights</p> <p>SIFMA's authoritative research is a key component of our fact-based, substantive advocacy. Our research includes statistical coverage across multiple asset classes, a semiannual economic survey, and the comprehensive Capital Markets Fact Book. SIFMA Insights publishes regular reports on key market trends, metrics and themes as well as a primer series that provides a fundamental understanding of the marketplace and sets the scene to address complex issues arising in today's markets.</p>	<p>Events and Executive Education</p> <p>SIFMA events foster meaningful conversations about the capital markets and provide valuable professional development opportunities. We convene thousands of industry professionals for conferences including:</p> <ul style="list-style-type: none"> • Asset Management Derivatives Forum • Compliance & Legal Society Annual Seminar • Operations Conference & Exhibition • The Securities Industry Institute @ Wharton • Annual Meeting 	<p>Cybersecurity and BCP</p> <p>Financial services is a critical infrastructure sector. Through SIFMA, the industry has a robust infrastructure for dealing with incidents that can interrupt business and market functions. Our efforts, including the sector-wide Quantum Dawn cybersecurity exercise and Industry-Wide Business Continuity Planning exercise, help prepare the industry and government for eventualities that allow firms to simulate responding to attacks, global pandemics and more.</p>
<p>Foundation</p> <p>The SIFMA Foundation is dedicated to fostering knowledge and understanding of the financial markets for individuals of all backgrounds.</p> <p>Drawing on the support and expertise of the financial industry, it provides financial education programs and tools - including the award-winning Stock Market Game™ - that strengthen economic opportunity across communities and increase individuals' awareness of and access to the benefits of the global marketplace.</p>	<p>Diversity, Equity & Inclusion</p> <p>SIFMA advocates for a diverse and inclusive financial industry. Together with our members, we strive to provide resources needed to achieve, expand and promote workforce, client, and supplier diversity and inclusion.</p> <p>With six pillars to guide our efforts, SIFMA provides our members benchmarking and reporting through biennial member surveys and programs such as SIFMA Invest!, a platform to identify diverse talent from accredited colleges and universities.</p>	<p>Newsletters</p> <p>SIFMA members stay up to date with concise, regular communications from our staff experts including:</p> <ul style="list-style-type: none"> • SIFMA AMG Update: A regular update from AMG staff on regulatory priorities, policy proposals and more. • SIFMA Dashboard: A weekly snapshot of activity at SIFMA • SIFMA SmartBrief: AMG Edition: A weekly roundup of news that matters to asset managers active in the capital markets

Learn more about SIFMA AMG and the benefits of membership:
www.sifma.org/amg | Emily Lamb | 202.962.7315 | elamb@sifma.org