



FOUNDATION TRIBUTE DINNER

2020

F I N A N C I A L L I T E R A C Y



E C O N O M I C E Q U I T Y



O P P O R T U N I T Y

F O R A L L Y O U T H

HONOREES

EDUCATION CHAMPION

MIKE BODSON

INDUSTRY CHAMPION

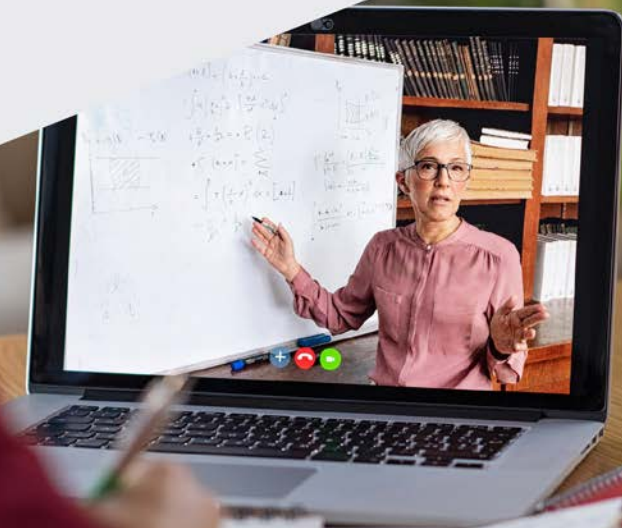
PENNY PENNINGTON





BNY Mellon is proud to support the SIFMA Foundation.

Congratulations to this year's Industry Champion, Penny Pennington, Managing Partner, Edward Jones and Education Champion, Mike Bodson, President & CEO, DTCC



PROGRAM**Welcome**

Bertha Coombs, Reporter, CNBC

Kenneth E. Bentsen, Jr., President & Chief Executive Officer, SIFMA

Vanessa Cooksey, President & Chief Executive Officer, Regional Arts Commission of St. Louis

SIFMA Foundation Highlights**Awards Presentation – 2020 Honorees****Education Champion**

Michael C. Bodson, President & Chief Executive Officer, DTCC

Introduced by Robert Druskin, Non-Executive Chairman, DTCC Board and Chairman, Board Executive Committee.

Industry Champion

Penny Pennington, Managing Partner, Edward Jones

Introduced by Ken Cella, Principal, Client Strategies Group, Edward Jones

Presentations

Miya Mathur, Student, Norton Elementary School

Tyrell Feaster, Student, University of Albany
and Stock Market Game Alumnus

Beverly Glover, Administrative Business Partner
and Stock Market Game Mom

Introduced by Melanie Mortimer, President, SIFMA Foundation

Final Remarks & Closing

Bertha Coombs, Reporter, CNBC



BERTHA COOMBS

Reporter
CNBC

Bertha Coombs is a reporter for CNBC, covering financial markets, business news stories and health care throughout the business day. She is based at the Nasdaq Marketsite in Times Square.

Her health care coverage at CNBC has ranged from covering the implementation of the Affordable Care Act and the failed launch of the Obamacare health insurance exchanges, to how cancer researchers are using IBM's Watson to improve cancer care, and how doctors are using mobile technology to treat patients in their own homes. She also covered the devastation of Hurricane Katrina in New Orleans, the impact of the financial crisis of 2008, and reported on the oil markets from the floor of the New York Mercantile Exchange.

Before joining CNBC, Coombs was a reporter and anchor for the pioneering online business network, Yahoo Finance Vision, and served as a freelance reporter for the former CNNfn financial network. Prior, she served as a reporter for ABC News One, and a substitute anchor for "World News Now" and "World News This Morning."

She began her career in general news, with previous reporting and anchoring positions at WABC-TV in New York, WPLG-TV in Miami and WFSB-TV in Hartford, Connecticut.

Coombs is a graduate of Yale University and was awarded the Leo Beranek Reporter Training Fellowship at WCVB-TV in Boston. Born in Havana, Cuba, she speaks fluent Spanish.

Follow Bertha Coombs on Twitter @**BerthaCoombs**

**KENNETH E. BENTSEN, JR.**

President & Chief Executive Officer

SIFMA

Mr. Bentsen is President and CEO of SIFMA. Mr. Bentsen is also the CEO of the Global Financial Markets Association (GFMA), SIFMA's global affiliate, Co-Chair of the British American Finance Alliance (BAFA), a coalition of 19 British and American trade associations and industry bodies representing both financial and professional services, and Chairman of Engage China, a coalition of 12 U.S. financial services trade associations united in support of high-level engagement with China.

Prior to being appointed CEO of SIFMA, Mr. Bentsen served as Executive Vice President of Public Policy and Advocacy, overseeing SIFMA's legal, legislative and regulatory affairs and advocacy initiatives. Prior to joining SIFMA, Mr. Bentsen was president of the Equipment Leasing and Finance Association.

From 1995 to 2003, Mr. Bentsen served as a Member of the U.S. House of Representatives from Texas, where he sat on the House Financial Services Committee, and its predecessor House Banking and Financial Services Committee, and separately on the House Budget Committee. Prior to his service in Congress, Mr. Bentsen was an investment banker with George K. Baum & Company and before that Drexel Burnham Lambert, Inc., where he specialized in municipal and mortgage finance.

Mr. Bentsen is a trustee of the Hirshhorn Museum and Sculpture Garden of the Smithsonian Institution and United States Capitol Historical Society.

Mr. Bentsen has a B.A. from the University of St. Thomas and an M.P.A. from American University.



VANESSA COOKSEY

**President & Chief Executive Officer
Regional Arts Commission of St. Louis**

As the Regional Arts Commission's third leader and first President and CEO, Vanessa Cooksey leads the largest public funder of the arts in St. Louis. Celebrating its 35th anniversary in 2020, RAC has been pivotal in nurturing the vibrant art scene throughout the region, awarding more than 7,000 grants totaling over \$100 million since its inception in 1985.

Vanessa has more than 25 years of business and civic leadership experience, holding leadership positions at companies including Mary Kay Cosmetics, The City of Atlanta Mayor's Office, Cartoon Network, Anheuser Busch, Wells Fargo and Washington University in St. Louis. Vanessa is known for her ability to build results-driven partnerships, facilitate dynamic collaborations, create high-performing teams and effectively convene diverse stakeholders.

Always willing to serve in her community, Vanessa's humanitarian efforts over the last three decades have helped promote and advance human welfare and social reform across the United States. Highly sought-after for her expertise in governance, organizational culture and reputation risk management, she has served and continues to serve on multiple local and national non-profit boards including the SIFMA Foundation for Investor Education, Harris-Stowe State University, Vote Run Lead and Mercy Hospitals.

Vanessa earned her bachelor's degree in Radio-Television-Film from the University of Texas at Austin, a master's degree in Business Administration from Webster University and has studied and traveled extensively in Europe, Africa and Asia. Vanessa has received more than 50 awards for her industry and community work including the 2016 Eisenhower Fellowship and the 2018 St. Louis American Corporate Executive of the Year. Not one to take life for granted, Vanessa enjoys cycling, cooking and spending quality time with her friends and family.

**ROBERT DRUSKIN**

Non-Executive Chairman, Board
Chairman, Board Executive Committee
DTCC

Robert Druskin is Non-Executive Chairman of DTCC's Board and Chairman of the Board Executive Committee. Druskin served as Executive Chairman from April 2011 to December 31, 2015.

Previously, Druskin was Lead Director of E*Trade from May through December 2009, interim Chief Executive Officer from December 2009 to March 2010, and Chairman of the Board from December 2009 to March 2011.

Prior to that, Druskin spent nearly 16 years at Citigroup and its predecessor companies in a number of senior executive positions across the organization, including Chief Operating Officer and Member of the Office of the Chairman, Chief Operations and Technology Officer, and Chief Executive Officer of the Global Corporate and Investment Banking Division.

Druskin was with Salomon Smith Barney (and previously Smith Barney) for nine years and held a number of senior positions, including Chief Administrative Officer. Prior to joining Smith Barney, he was Chief Financial Officer of Shearson Lehman Brothers.

SIFMA FOUNDATION 2020 EDUCATION CHAMPION



MICHAEL C. BODSON

President & Chief Executive Officer
DTCC

Michael C. Bodson is President and Chief Executive Officer of DTCC. He is also President and Chief Executive Officer of DTCC's principal operating subsidiaries, DTC, FICC and NSCC and a member of DTCC's Board of Directors.

In his prior position as DTCC's Chief Operating Officer, Bodson had enterprise-wide responsibility for all Information Technology and Operations and oversaw DTCC Deriv/SERV LLC and EuroCCP. He previously served as Chairman of various DTCC subsidiaries, including Deriv/SERV and Omgeo.

Bodson joined DTCC in 2007 as Executive Managing Director for Business Management and Strategy. Prior to this, he held a number of senior management positions with Morgan Stanley over a 20-year period. In his last position at Morgan Stanley, Bodson was Global Head of the Institutional, Retail and Asset Management Operations Department. He previously served as Divisional Operations Officer for the Institutional Securities Group and Head of the Enterprise Information Group. He served as Head of Finance, Administration and Operations for Morgan Stanley Japan in Tokyo, and prior to that, he held similar responsibilities for Morgan Stanley Asia in Hong Kong. Prior to joining Morgan Stanley, Bodson worked at Bear Stearns and Price Waterhouse.

Bodson is a CPA and graduated Magna Cum Laude from Boston College. He currently is a member of the Board of Digital Asset Holdings and is a Trustee of the World Economic Forum's Financial Services Initiative. He is also a member of the Federal Reserve Bank of New York Fintech Advisory Group as well as the Federal Deposit Insurance Corporation (FDIC) Systemic Resolution Advisory Committee.

**KEN CELLA**

Principal, Client Strategies Group
Edward Jones

Ken Cella leads the Edward Jones Client Strategies Group (CSG), which includes the Marketing, Advice and Guidance, Products, Trading and Solutions areas. He also serves on the Edward Jones Executive Committee, the team responsible for defining the future state for Edward Jones to improve the lives of clients, their families and their communities.

Ken began his Edward Jones career in 1990 as a financial advisor in O'Fallon, Mo. In 2002, Ken was named a principal and relocated to the firm's St. Louis head- quarters, where he was charged with expanding the Edward Jones Trust Company.

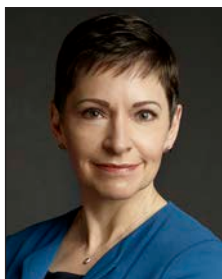
He was asked to lead Branch Training in 2012. His experience as a financial advisor proved invaluable in this role, and in 2014, he assumed shared responsibility for the entire Branch Development division. He has led the Client Strategies Group since August 2018.

Ken helps others realize their potential by serving as the senior executive sponsor of the Edward Jones Inclusion Council and the Hispanic Business Resource Group. He also serves on the SIFMA Board of Directors, Executive Committee and the Private Client Wealth Management Committee.

In addition, Ken serves on the St. Louis Regional Chamber Executive Committee, AllianceSTL Board, University of Missouri-St. Louis Chancellor's Council, and Concordance Academy of Leadership Board of Directors.

Ken is a native of St. Louis, and he and his wife, Melissa, have three teenagers. He is a graduate of the University of Pennsylvania Wharton School's Securities Industry Institute and earned his undergraduate degree from University of Missouri-St. Louis and his MBA from Washington University in St. Louis.

SIFMA FOUNDATION 2020 INDUSTRY CHAMPION



PENNY PENNINGTON

Managing Partner

Edward Jones

Penny Pennington is the managing partner of Edward Jones, a Fortune 500 financial services firm. As sixth managing partner in the firm's 98-year history, Penny is responsible for the firm's strategic direction, working together with more than 47,000 associates across North America to make a meaningful difference in the lives of more than 7 million clients by helping them financially achieve their most important goals. She was recently named No. 45 in her first appearance on the Fortune Most Powerful Women in Business list.

Penny began her Edward Jones career in 2000 as a financial advisor in Livonia, Mich. In 2006, she was named a principal and relocated to the firm's St. Louis headquarters where she held leadership roles in New Financial Advisor Training, Branch Office Administrator Development and Branch and Region Development before leading the Client Strategies Group in 2015. Penny is a senior executive sponsor of the firm's LGBT+ & Allies Business Resource Group.

Penny earned a bachelor's degree in commerce with a concentration in finance from the University of Virginia and an MBA from Kellogg School of Management at Northwestern University. She is a graduate of Wharton's Securities Industry Institute and holds the Chartered Financial Analyst® designation.

A native of Nashville, Tenn., Penny now calls St. Louis home after relocating from Michigan 14 years ago with her husband, Mike Fidler, and two children. She is an active member of the St. Louis community, serving on the boards of the Federal Reserve Bank of St. Louis, United Way of Greater St. Louis, the Donald Danforth Plant Science Center, the Whitaker Foundation, Shakespeare Festival St. Louis, and Saint Louis Fashion Fund. She also actively champions Edward Jones' national presenting sponsorship with the Alzheimer's Association and is a board member for Catalyst.

**MELANIE MORTIMER**

President
SIFMA Foundation

Melanie Mortimer is President of the SIFMA Foundation, leading the Foundation and its award-winning investor education programs, which have served 20 million students to date promoting financial capability and capital markets literacy in all 50 US states and beyond. The Foundation's innovative, hands-on technology-based programs engage youth of all learning types, improve their test results, and convene government, business, education and nonprofit leaders in support of investor education.

From 1999-2009, Mortimer served as Director of Global Philanthropy at Merrill Lynch, enhancing the firm's reputation and philanthropic presence in 72 countries worldwide, bringing tangible resources and impacts to communities in need, and overseeing global signature programs including Investing Pays Off, an integrated financial literacy initiative reaching millions of youth in 70 countries. Mortimer also led the firm's arts/culture grants, scholarship programs, and global volunteer initiatives.

Prior to Merrill Lynch, Mortimer managed international employee, shareholder and executive communications at the Tokyo headquarters of Itochu Corporation. She also conducted intercultural communications and coordinated management seminars for international executives at ITOCHU Academy. While in Japan, Mortimer served as Senior Editor and contributing writer at Tokyo Journal magazine for more than four years.

Mortimer obtained her MBA from Aoyama Gakuin University in Tokyo and her Japanese graduate degree from Osaka Gaikokugo Daigaku as a Mombusho Fellow, and her BA in English from Agnes Scott College. Mortimer's board service includes: Jumpstart Coalition (Secretary), Philanthropy New York (Vice Chair), Virtual Enterprises International (Advisory Board Chair), NYC Department of Education CTE Advisory Council, CTE Business & Finance Industry Commission (Past Chair), and Association of Corporate Contributions Professionals. She was selected to the 2018 Sterling Network, a network of systems leaders working together to enhance economic mobility across NYC.



MIYA MATHUR

Student

Norton Elementary School

Miya Mathur is a sixth-grade student at Norton Elementary School in Allen, Texas. The older of two children, Miya is a natural-born leader, and navigates the world with an intellectual curiosity that guides her personal and academic interests. At only eleven years of age, Miya enjoys learning new languages - currently adding Spanish to her expertise of English, Tamil and Malayalam, she excels at the violin and is an avid reader.

Miya participated in the Stock Market Game program in fifth grade at Bethany Elementary School and utilized her newly acquired investment education to creatively address a financial scenario in the SIFMA Foundation's InvestWrite essay competition. Despite the challenging year experienced by students due to Covid-19, Miya defied the challenges of distance learning. Remaining motivated and engaged, Miya utilized her new virtual class experience to deepen her understanding of companies and sharpen her investment strategy. From P/E ratios and betas to fixed-income and growth stocks, Miya's impressive investment plan was remarkably demonstrated in her essay submission, leading to the honor of placing first in the nation and first in the state of Texas in the elementary school division of the Spring 2020 InvestWrite competition.

Miya's talent knows no bounds as she has been the recipient of several academic, leadership and performance awards including the 2019-2020 Bethany Elementary Spelling Bee, being selected to audition to be a part of the 2020-2021 Texas Youth Chorale, securing second in the Continental Mathematics League at Bethany Elementary, and she also won a scholarship to attend the DFW WOW Suzuki String Institute (violin summer camp) in 2018. In her spare time, Miya can be found baking, reading Harry Potter, watching movies, and is looking forward to being able to travel again. In addition to her achievements, Miya is a confident, kind, savvy young girl who is preparing for the brightest of futures.

**TYRELL FEASTER**

Student

University of Albany

Stock Market Game™ Alumnus

Tyrell Feaster is an alumnus of The Stock Market Game Program. He participated in the game when he was a student at P.S./I.S. 208, and he spoke at the SIFMA Foundation's 2007 Tribute Dinner Honoring Chris Gardner, author of *The Pursuit of Happyness*.

After graduating from P.S./I.S. 208, Tyrell went on to attend St. Francis Preparatory H.S. in Fresh Meadows, Queens where he participated on multiple sports teams prior to graduating with his Regents Diploma in 2015.

After graduating from St. Francis Preparatory H.S. Tyrell attended Quinnipiac University for a short time. He is currently a senior at The University of Albany where he is majoring in Journalism with a minor in Business, and will be graduating in just two short months.

Tyrell has chosen to focus his attention on Sports Journalism, and has interned in the sports department of The Daily Gazette in Schenectady, NY. Prior to COVID-19, he was working part-time and as a Freelance Writer covering sports for both The Albany Times Union and The Buffalo News.

Tyrell was born and raised in NYC.



BEVERLY GLOVER

Administrative Business Partner
Stock Market Game™ Mom

Beverly Glover is an Administrative Business Partner and Human Resource Professional in NYC with more than 30 years of experience providing support to C-Level Executives and Senior Management Teams at JCDecaux, Cemusa, Inc., Bank of America and JPMorgan Chase.

She is the mother of alumnus Tyrell Feaster who participated in the Stock Market Game™ while he was a student at P.S./I.S. 208 in Queens, NY. While in fifth grade, Tyrell was on a winning team, and was selected to speak at SIFMA Foundation's 2007 Tribute Dinner honoring Chris Gardner, author of *The Pursuit of Happyness*.

The knowledge and financial literacy Beverly gained as a result of Tyrell playing the Stock Market Game™, inspired her to want to help others learn how to create their own financial footprint. Over the past five years, she has shared the importance of investing and building long term wealth with countless co-workers, family members, friends and single mothers. Beverly strongly believes in the importance of teaching youth financial literacy and that programs like the Stock Market Game teach them to invest in themselves, their families and their communities.

Glover is a graduate of York College-CUNY and was awarded academic honors in Business Administration. She was born in Brooklyn, NY and is the mother of two sons, Tyrell and Jaden.

SIFMA Foundation Tribute Dinner Sponsors
We Thank You for Your Generous Support!

TITLE SPONSORS



DTCC **Edward Jones**[®]

CHAIR

Morgan Stanley

PLATINUM



BNY MELLON

RAYMOND JAMES[®]



RECEPTION

Davis Polk



GOLD

Ameriprise Financial, Inc.	Hartford Funds	McKinsey & Company
Apex Clearing Corporation	IMC	Motive Partners Operating Company LP
Barclays	Infosys limited	PGIM Investments, LLC
Capital Group/ American Funds	Invesco Ltd.	RBC Wealth Management
Charles Schwab & Co, Inc.	John Hancock Investment Management	Stifel Financial Corp.
CME Group	Kingland Systems Corporation	Wells Fargo Clearing Services, LLC
Ernst & Young U.S. LLP	Korn/Ferry International	
Fidelity Institutional	London Stock Exchange Group	
First Horizon Foundation		

CONTRIBUTORS

State Street Securities LLC	Credit Agricole	Deborah Cunningham
Deloitte & Touche LLP	Richard Daly	Goal Group Limited
Dan Klores Communications, LLC	Jonathan & Lizzie Tisch Family Foundation	Lisa Kidd Hunt
D.A. Davidson & Co.	Franklin Templeton	Mr. & Mrs. Gerard McGraw
Arnold & Porter Kaye Scholer LLP	Hearsay Corporation	Eric Czervionke, Michael Wagner & Deepak Kollali on behalf of Oliver Wyman
BlackRock	KeyBanc Capital Markets, Inc.	Primerica, Inc.
Brian Ruane & Andrea Pfenning on behalf of BNY Mellon	Kristen Kimmell	Bryan Christian
Broadhaven Capital Partners	PIMCO	Vanessa Cooksey
J. Frank & Susan Brown	Piper Sandler Companies	Hefren-Tillotson, Inc.
	PwC	Evan & Rachele LaHuta
	James R. Allen	Thomas & Gail Price

ABOUT THE SIFMA FOUNDATION FOR INVESTOR EDUCATION

The SIFMA Foundation is an educational non-profit organization 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 and the financial industry, 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 markets.



The Stock Market Game™ 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 lives. More than 600,000 students take part every school year across all 50 states and around the globe. The Stock Market Game has reached 20 million students since its inception in 1977 and is proven to raise student scores on tests of mathematics, economics and financial knowledge. It is also proven to positively impact teachers' personal finance behavior.



InvestWrite® is a culminating activity for Stock Market Game students extending their classroom learning with a written challenge to address real-world financial issues and situations. Students must analyze, think critically and problem solve about a long-term saving and investing scenario. Some 20,000 student essays are evaluated annually by teachers and thousands of financial professionals serve as volunteer judges. Winners locally and nationally rise to the top to earn exciting prizes and recognition including a trip to New York City's famed financial district.



The Capitol Hill Challenge™ is the nation's only financial education program supported by 100% of Congress. This special edition of The Stock Market Game™ is supported by the Charles Schwab Foundation. 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, the Capitol Hill Challenge has made 5,500 matches of U.S. Representatives and Senators with schools, reaching nearly 133,000 students across the country.



Invest It Forward® is an industry-wide capital markets literacy initiative convening hundreds of financial firms helping young Americans learn about and gain access to invaluable tools to achieve their dreams. Invest It Forward connects educators and classrooms with financial industry volunteers and their firms. The program features a capital markets curriculum for students and a variety of skills-based volunteer opportunities across the country and throughout the year.

SIFMA Foundation programs are made possible by the generous contributions of SIFMA Foundation supporters and SIFMA member firms that care deeply about providing financial education to people of all backgrounds.



Use this QR Code to learn more about SIFMA Foundation programs and how you and your firm can get involved or visit www.sifma.org/foundation.

Broadridge congratulates the SIFMA Foundation's 2020 Industry and Education Champions

We wish to recognize our longstanding relationship with Edward Jones and DTCC and we congratulate tonight's honorees **Penny Pennington** and **Mike Bodson**. Your leadership, dedication and commitment to financial services and education are an inspiration to us all.

Broadridge's support of the SIFMA Foundation is another way we help our financial services customers get ahead of today's challenges to capitalize on what's next.



Communications
Technology
Data and Analytics

broadridge.com

Ready for Next



INVESTING IN TODAY'S TALENT FOR TOMORROW'S FUTURE

DTCC is committed to developing the next generation of STEM leaders. We are proud to support the SIFMA Foundation and work together with them to advance education and financial literacy.

dtcc.com



DTCC



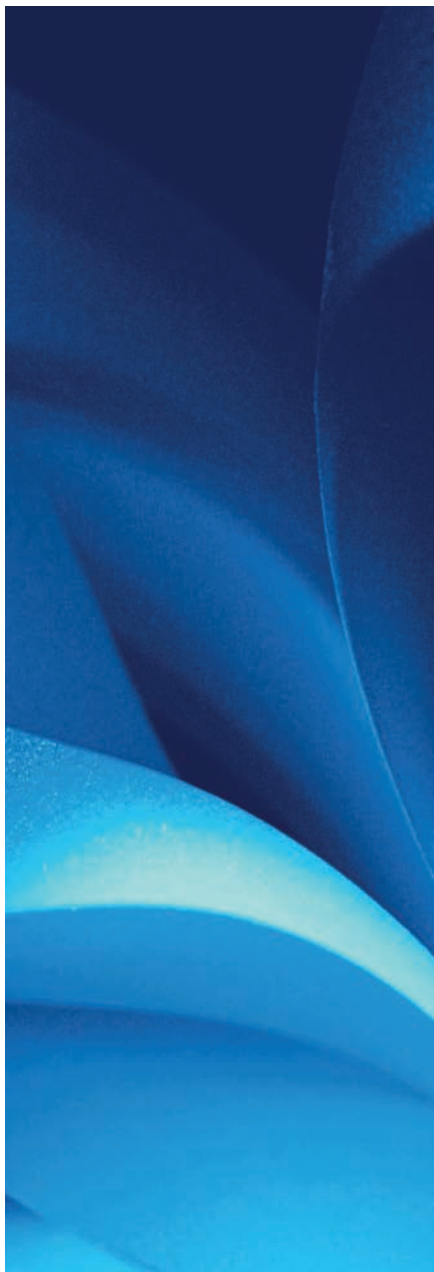
Committed to:

Education. Opportunity. Driving success.

Serving our clients and our communities starts with a commitment to support educators and provide access to financial education that builds confidence and resilience for the next generation. Financial literacy programs contribute to a lifetime of smart financial choices. It is a positive way our industry can make an impact and work together toward economic inclusion for more Americans in more communities.

Edward Jones[®]

Morgan Stanley



Morgan Stanley is proud to support the

SIFMA Foundation

and its commitment to advancing financial literacy.

Congratulations to this evening's honorees.

FINRA Congratulates Tonight's Honorees

Congratulations to Education
Champion **Mike Bodson**, President
and CEO, DTCC, and Industry
Champion **Penny Pennington**,
Managing Partner, Edward Jones, for
their outstanding contributions to
advancing youth financial capability.

FINRA®

Tech executive. STEM program founder. Leading donor.
A life well planned can offer each of us – any of us –

THE POWER TO GIVE.



The causes that inspire you are as unique as the life you lead. We all live and give differently, but the support of the right financial partner has the power to multiply generosity. It's our privilege to help people make an impact – and to make our own. RAYMONDJAMES.COM/GIVINGBACK

Raymond James is proud to give back to the communities in which we live and work by supporting the SIFMA Foundation.

RAYMOND JAMES
LIFE WELL PLANNED.

© 2020 Raymond James Financial. Raymond James® is a registered trademark of Raymond James Financial, Inc. Raymond James is not affiliated with the organization listed. 20-CC-CR-0722 TA 01/20

We're proud of our shared commitment to helping young people achieve their full potential.

UBS salutes the SIFMA Foundation's efforts to advance financial capability and economic opportunity.



ubs.com/fs



© UBS 2020. All rights reserved. UBS Financial Services Inc. is a subsidiary of UBS AG. Member FINRA/SIPC.
Expiration: 10/31/20 Review Code: IS1904903 Approval date: 10/8/19 2019-204346

Virtu is proud to sponsor the SIFMA Foundation

We stand by your
commitment to
education, transparency
and diversity in order to
strengthen our global
capital markets.



info@virtu.com | www.virtu.com

VIRTU
FINANCIAL 

Davis Polk is proud to support the SIFMA Foundation and joins in special recognition of Penny Pennington and Mike Bodson.



New York	Paris
Northern California	Madrid
Washington DC	Hong Kong
São Paulo	Beijing
London	Tokyo

Davis Polk

davispolk.com

© 2020 Davis Polk & Wardwell LLP



*Always committed to our
clients and communities.*

Ameriprise Financial is proud to support the SIFMA Foundation and its dedication to the financial education of today's youth.

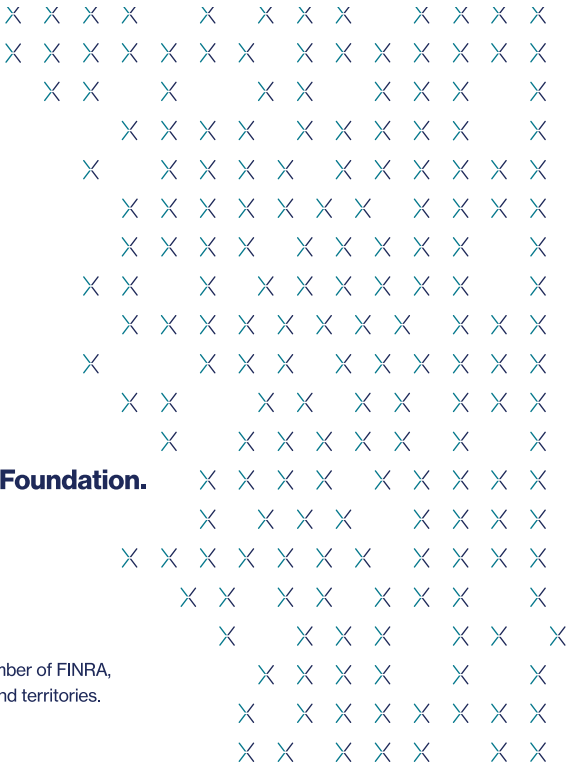
APEX Clearing™
a PEAK6 company

Together,
we're investing in
the future of what
ought to be.

A proud sponsor of the SIFMA Foundation.

© 2020 Apex Clearing Corporation
www.apexclearing.com

Apex Clearing is registered with the SEC, a member of FINRA,
a participant in SIPC and licensed in 53 states and territories.



Giving the next generation skills for success

Barclays proudly supports the SIFMA Foundation's Annual Tribute Dinner celebrating the success of advancing youth financial capability.



charles
SCHWAB

Own your tomorrow.

Helping others is always a smart investment.

Charles Schwab is proud to
support SIFMA Foundation.

©2020 Charles Schwab & Co., Inc.
All rights reserved. Member SIPC.
CC0422668 (0913-6637)
MKT90771B-00 (02/16) 00162725

CME Group salutes the SIFMA Foundation

and its dedication to fostering knowledge
and understanding of the financial markets
for individuals of all backgrounds.



CME Group is a trademark of CME Group Inc. The Globe logo is a trademark of Chicago Mercantile Exchange Inc.
All other trademarks are the property of their respective owners. Copyright © 2020 CME Group. All rights reserved.



Serving communities.
Changing lives.
What matters to
you matters to us.

At EY, we're proud to support the SIMFA Foundation.
It's one of the ways we're helping to make our community
a better place to work and live. A better and brighter
future starts with all of us.

Visit ey.com

© 2020 Ernst & Young LLP. All Rights Reserved. CSG No. 2010-3601268



**INVESTING IN
OUR FUTURE**



FHN Financial Capital Markets, FHN Financial Portfolio Advisors, and FHN Financial Municipal Advisors are divisions of First Horizon Bank. FHN Financial Securities Corp., FHN Financial Main Street Advisors, LLC, and FHN Financial Capital Assets Corp. are wholly owned subsidiaries of First Horizon Bank. FHN Financial Securities Corp. is a member of FINRA and SIPC — <http://www.sipc.org>. FHN Financial, through First Horizon Bank or its affiliates, offers investment products and services. Investment products are not FDIC insured, have no bank guarantee, and may lose value.

Celebrating More than 40 Years of Making a Difference

SIFMA Foundation Tribute Dinner
October 28, 2020

Fidelity® congratulates **SIFMA Foundation** honorees:

Industry Champion: Penny Pennington, Managing Partner
Edward Jones

Education Champion: Mike Bodson, President & CEO
DTCC



Fidelity, the Fidelity Investments and pyramid design are registered service marks of FMR LLC.
Fidelity Brokerage Services LLC, Member NYSE, SIPC, 900 Salem Street, Smithfield, RI 02917
© 2019 FMR LLC. All rights reserved. 861629.2.0



To learn more, go to
hartfordfunds.com

**HARTFORD
FUNDS**

Our benchmark is the investor.®

IMC IS PROUD TO BE SUPPORTING FINANCIAL EDUCATION AND THE SIFMA FOUNDATION.



Infosys is honored to support the SIFMA Foundation's commitment to educate our children and youth about financial wellness for a brighter future.

Infosys®
Navigate your next

Investing in a *brighter* future

Thank you to the SIFMA Foundation for its critical work promoting financial education and congratulations to 2020 honorees Penny Pennington of Edward Jones and Mike Bodson of DTCC!

 **FOUNDATION**

A company of  **Manulife** Investment Management



**Thank you
for your
contribution
Penny &
Mike!**

THE MOST IMPORTANT QUESTION
IN BUSINESS RIGHT NOW?

HOW ARE YOU TODAY?

For more information please visit
kornferry.com/leadershipU.



KORN FERRY®
BE MORE THAN



London
Stock Exchange Group

Proud to support the SIFMA Foundation.

Congratulations

London Stock Exchange Group supports global financial stability and economic growth by enabling businesses and economies to fund innovation, manage risk and create jobs.

To find out more, visit www.lseg.com



Drawing
on the
support and
expertise of
the financial
industry to
reinvent the
future.

MOTIVE PARTNERS

Motive Partners is a next-generation investment firm focused on technology enabled companies that power the financial services industry.

Established to invest, operate and innovate to create value and lead the financial services industry towards success with technology at the core. Led by passion, Motive Partners' ambition is to enable economic and social improvement through financial technology.

Nurturing diversity to enhance insight within financial markets, Motive Partners supports the SIFMA Foundation dinner.

To find out more visit motivepartners.com

PGIM INVESTMENTS is proud to support

THE SIFMA FOUNDATION AND IT'S COMMITMENT TO ADVANCING YOUTH FINANCIAL CAPABILITY.

Congratulations to this year's Industry Champion, Penny Pennington, Managing Partner, Edward Jones, for helping make this important work possible.



PGIM INVESTMENTS



Proud to support the SIFMA
Foundation and its dedication
to promoting financial literacy

www.rbcwealthmanagement.com



Wealth
Management

© 2020 RBC Wealth Management, a division of RBC Capital Markets, LLC, Member NYSE/FINRA/SIPC.
All rights reserved.

20-82-03694 (10/20)

Investing in our future.

Stifel is proud to support **SIFMA Foundation**



To find a location near you, visit www.stifel.com

One Financial Plaza | 501 North Broadway | St. Louis, Missouri 63102
Stifel, Nicolaus & Company, Incorporated | Member SIPC & NYSE

STIFEL

We are pleased to support financial education programs and SIFMA's Foundation Tribute Dinner

*And we applaud the distinguished service of
Penny Pennington and Mike Bodson.*

Wells Fargo Advisors is a trade name used by Wells Fargo Clearing Services, LLC, Member SIPC, a registered broker-dealer and non-bank affiliate of Wells Fargo & Company. © 2020 Wells Fargo Clearing Services, LLC. All rights reserved. CAR-1018-01068 IHA-6240012



“I must say out of all of the online learning activities I have seen during the pandemic, The Stock Market Game is the one the students yearn to do! Kudos!”

- Teacher, North Carolina

SMG connects learning to life, teaches practical life skills through hands-on learning and reinforces academic performance. An independent study by the American Institutes for Research found that students participating in SMG performed better on math and financial literacy assessments than their non-participating peers.

Teams of 3-5 students invest a hypothetical \$100,000 in real stocks, bonds and mutual funds, learning cooperation, communication and leadership as they manage their online portfolios. The SMG reinforces their math, economics and long-term saving and investing know-how, while engaging them in financial news and current events.

stockmarketgame.org

The background of the entire page is a dark, monochromatic collage of financial data. It features various types of charts, including bar charts and line graphs, overlaid with a grid pattern. Scattered throughout are numbers, some in a large, bold font (like '6,586.87' at the top) and others in a smaller, more integrated font (like '10' and '0' appearing multiple times). The overall aesthetic is high-tech and professional, typical of a financial services firm's branding.

Arnold & Porter proudly supports
SIFMA Foundation's
efforts to advance youth financial
education and joins in recognizing
this year's honorees, especially
our client and friend **Mike Bodson**,
DTCC President & CEO.

Arnold & Porter

Brussels | Chicago | Denver | Frankfurt | Houston | London | Los Angeles | Newark | New York
San Francisco | Seoul | Shanghai | Silicon Valley | Washington, DC

© Arnold & Porter Kaye Scholer LLP 2020 All Rights Reserved

**Tonight, we
celebrate a force
for good.**

**Leaders who've had
a profound impact
on many lives.**

Penny Pennington
Managing Partner
Edward Jones

Mike Bodson
President & CEO
DTCC

BlackRock®

blackrock.com



committed partner



Crédit Agricole Corporate and Investment Bank is also a responsible community member concerned about culture, solidarity, the environment, and research.

We are proud to support the SIFMA Foundation to provide financial literacy, economic equity & opportunity for all youth.

www.ca-cib.com



CRÉDIT AGRICOLE
CORPORATE & INVESTMENT BANK



Thank You

We applaud the SIFMA Foundation
and its dedication to advancing
financial literacy among youth.

dadavidson.com



D|A|DAVIDSON

The Strength of Advice®

Corporate Offices | Denver | Great Falls | Los Angeles | Portland | Seattle

Deloitte.



Celebrating excellence

Deloitte applauds The SIFMA Foundation for efforts in advancing financial capability, economic equity, and opportunity among individuals and communities.

We proudly join in celebrating the achievements of this year's honorees, **Mike Bodson** and **Penny Pennington**.

www.deloitte.com/financialservices



South Street SECURITIES

A member of **FINRA** and **SIPC**

The largest independent provider of matched-book
Repo Finance solutions

■ *90+ bank, broker dealer, REIT, non-bank
finance and asset management clients*

Repo Liquidity/Investments

Mortgage Origination Hedging



MATRIX APPLICATIONS

Fintech service bureau offering a suite
of software products and services for
institutional fixed income trading

*Bespoke managed services for
firms of all sizes*

*Extensive technical experience and
team of Ops, Regulatory & Legal gurus*



**AmeriVet
Securities**

Service-Disabled Veteran Owned
Small Business (SDVOB)
Minority Business Enterprise (MBE)

*Full-service SEC/FINRA broker-
dealer and institutional
investment banking firm,
launched in 2019*



**South Street
CAPITAL MANAGEMENT**

Specialized asset management
company serving principally as
external manager of a privately
held mortgage REIT, ACM Trust

*Registered Investment
Advisor*

www.southstreetsecurities.com
www.matrixapps.com
www.amerivetsecurities.com
www.southstreetcm.com

South Street Securities Holdings Inc.
1155 Avenue of the Americas, FL 14
New York, NY 10036
212-803-5050

INVESTING IN A BETTER WORLD

We proudly support all those invested in a better future. Thank you to the SIFMA Foundation, and congratulations to this year's honorees Penny Pennington and Mike Bodson.



FRANKLIN
TEMPLETON

REACH FOR BETTER®

Congratulations,
Penny! Thank you
for making the
world a better
place.

From your team at Hearsay,

*Mike, Pradeep, Tom, Adrian,
Jen, Iain, Michele, Damon,
John, Chris and Clara.*



Thriving communities are built on investment.

KeyBanc Capital Markets congratulates Penny Pennington and Mike Bodson for their remarkable SIFMA Foundation contributions.

KeyBanc Capital Markets



KeyBanc Capital Markets is a trade name under which corporate and investment banking products and services of KeyCorp and its subsidiaries, KeyBanc Capital Markets Inc., Member FINRA/SIPC, and KeyBank National Association ("KeyBank N.A."), are marketed. Securities products and services are offered by KeyBanc Capital Markets Inc. and its licensed securities representatives, who may also be employees of KeyBank N.A. Banking products and services are offered by KeyBank N.A. ©2020 KeyCorp. 190104-520977-1174659980

PIMCO

Proud Supporter Of SIFMA Foundation Tribute Dinner 2020



Tonight, we pay tribute to the 2020 honorees for their remarkable contributions in advancing financial capability.

Industry Champion:
Penny Pennington,
Managing Partner, Edward Jones

Education Champion:
Mike Bodson,
President & CEO, DTCC

Champions of change

PwC and its 1200+ financial literacy volunteers are proud to support SIMFA's dedication to fostering knowledge and understanding of the financial markets for individuals of all backgrounds. We congratulate Penny Pennington and Mike Bodson for their contributions to the Foundation.

www.pwc.com



© 2020 PricewaterhouseCoopers LLP, a Delaware limited liability partnership.
All rights reserved.



Support Financial Literacy Today!
Access hundreds of volunteer opportunities at

InvestItForward.sifma.org

Invest It Forward® is an industry-wide financial education and capital markets literacy campaign that equips financial professionals to volunteer with classrooms nationwide and bring learning to life.

Be part of the solution. Join us. Learn more.



A program
of the

sifma

FOUNDATION

Register today to be an InvestWrite judge!

The SIFMA Foundation is seeking volunteers to judge essay submissions from students in grades 4-12 who participate in InvestWrite®, an innovative national writing competition that challenges students to research and recommend long-term financial plans.

- Judging is a simple process that takes about one hour of your time.
- Judging takes place entirely online.
- No meetings! No phone calls! All contact takes place via email and online.



For more information visit
investwrite.org/judges



CHC
Capitol Hill Challenge™

Generously underwritten for
the SIFMA Foundation by



The Capitol Hill Challenge™ (CHC) presented by the Charles Schwab Foundation, is a special edition of The Stock Market Game™ that matches Members of Congress with students, teachers and schools in their jurisdiction.

CHC provides Members of Congress an opportunity to connect with schools in their districts and to inspire and serve as role models for the students, who gain a better understanding of the global economy, develop personal financial skills, and improve their knowledge of math, economics, and business.

stockmarketgame.org/capitol-hill-challenge.html

SIFMA FOUNDATION THANKS ITS STRATEGIC PARTNERS





Board of Directors

James Allen, Vice Chairman, Robert W. Baird & Co. Incorporated

James Anderson, Senior Vice President, Communications, WarnerMedia

Bryan Christian, Head of Business Development/Strategy, Old Mission Capital

Vanessa Cooksey, President & CEO, Regional Arts Commission of St. Louis

Richard Daly, Executive Chairman, Broadridge Financial Solutions, Inc.

David Dawkins, Managing Director, Diverse Client Segments,
Wells Fargo Advisors

Todd Diganci, Executive Vice President, Chief Financial Officer &
Chief Administrative Officer, FINRA

Thomas Guba, Lead Independent Director, ARMOUR Residential Reit, Inc.

Jay Hershenson, Vice President, Communications & Marketing,
Queens College, CUNY

Lisa Kidd Hunt, Executive Vice President, International Services,
Charles Schwab & Co., Inc.

Kristen Kimmell, Head of Advisor Recruiting and Field Marketing,
RBC Wealth Management

Michael Kisber, President, FHN Financial

Evan LaHuta, Managing Director, Advisor Solutions, BNY Mellon|Pershing

Matthew Scogin, President, Hope College

Joan Steinberg, Managing Director & Global Head of Philanthropy,
Morgan Stanley

Lawrence Thomas, Principal, Edward Jones

Stay in touch!

Follow the Foundation on social media
@sifmafoundation
on Facebook, Instagram, LinkedIn,
and Twitter

To get involved write smg@sifma.org

Visit our website at
www.sifma.org/foundation