

OCTOBER 27, 2021 | CIPRIANI, 25 BROADWAY, NYC | 6-9PM

FINANCIAL LITERACY, ECONOMIC EQUITY & OPPORTUNITY FOR ALL YOUTH



FOUNDATION

TRIBUTE  
DINNER

2021

SIFMA & THE SIFMA FOUNDATION cordially invite you to join us on Wednesday, October 27 as we celebrate the financial industry's 43rd landmark year of advancing investor education, economic equity and opportunity for youth of all backgrounds and proudly honor our 2021 Industry Champion and Education Champion, and present our Lifetime Leadership Award.

## HONORING



### INDUSTRY CHAMPION

**KATHLEEN A. MURPHY**

President, Personal Investing  
Fidelity Investments



### LIFETIME LEADERSHIP AWARD

**PAUL E. PURCELL**

Chairman & Former President & CEO  
Baird

*Presented In Memoriam*



### EDUCATION CHAMPION

**JAMES REYNOLDS, JR.**

Founder, Chairman, & CEO  
Loop Capital

For more information and to pledge your support, visit:

**[SIFMA.ORG/EVENT/FOUNDATION-TRIBUTE-DINNER](https://www.sifma.org/event/foundation-tribute-dinner)**

**SIFMA Foundation programs are made possible by the generous contributions of our supporters and SIFMA members that care deeply about advancing youth financial education.**

120 Broadway, 35th Floor, New York, NY 10271 | 212.313.1307  
[www.sifma.org/foundation](https://www.sifma.org/foundation)

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## SIFMA FOUNDATION 2021 TRIBUTE DINNER SPONSORSHIP LEVELS

### **\$250,000 Legacy Sponsor**

*Provides scholarships for Title I Schools in four states*

- VIP seating, 3 tables (30 seats)
- 2 full-page ads in journal, video message from company
- Special recognition on SIFMA Foundation social media
- Special recognition in program remarks
- Prominent recognition and logo placement on website, marketing materials, and event collateral
- Named underwriter options
- Career exploration and/or field trip host for SMG students, in-person or virtual
- Virtual program link

### **\$100,000 Title Sponsor**

*Supports business-education partnerships for 5,000 classrooms*

- Premium seating, 3 tables (30 seats)
- Full-page ad in journal
- Special recognition on SIFMA Foundation social media
- Special recognition in program remarks
- Prominent recognition and logo placement on website, marketing materials, and event collateral
- Career exploration and/or field trip host for SMG students, in-person or virtual
- Virtual program link

### **\$60,000 Chair Sponsor**

*Supports Stock Market Game participation for 10,000 students*

- Priority seating, 2 tables (20 seats)
- Full-page ad in journal
- Special recognition on SIFMA Foundation social media
- Special recognition in program remarks
- Prominent recognition and logo placement on website, marketing materials, and event collateral
- Career exploration and/or field trip host for SMG students, in-person or virtual
- Virtual program link

### **\$45,000 Vice Chair Sponsor**

*Funds InvestWrite Sur-Prize Patrols across the country*

- Preferred seating, 1 table (10 seats)
- Full-page ad in journal
- Recognition on SIFMA Foundation social media
- Recognition in program remarks
- Recognition and logo placement on website, marketing materials, and event collateral
- Virtual program link

### **\$30,000 Platinum Sponsor**

*Underwrites Professional Development for 300 classroom teachers*

- Reserved seating, 1 table (10 seats)
- Full-page ad in digital journal
- Recognition on SIFMA Foundation social media
- Recognition and logo placement on website, marketing materials, and event collateral
- Virtual program link

### **\$15,000 Gold Sponsor**

*Supports Year-End Award Ceremony for Stock Market Game winners*

- Select seating, 1 table (10 seats)
- Half-page ad in digital journal
- Listing on website, marketing materials, social media, and event collateral
- Virtual program link

### **\$2,000 Individual Ticket**

*Covers virtual classroom visits to an industry firm*

- Listing in event collateral
- Virtual program link

### **Additional Journal Ad Options**

Available at [www.sifma.org/event/foundation-tribute-dinner](http://www.sifma.org/event/foundation-tribute-dinner)

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## SIFMA FOUNDATION 2021 TRIBUTE DINNER JOURNAL ADS

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We would be delighted to include your company's advertisement or personalized message in the 2021 Tribute Dinner Journal.

Select from the options below to pay tribute to the 2021 Honorees.

All advertisements are due to the SIFMA Foundation by **September 24, 2021**.

- \$15,000 Inside Cover or Back Cover *\*While Supplies Last*
- \$10,000 Full Page Gold Journal Ad
- \$7,500 Full Page Silver Journal Ad
- \$5,000 Full Page Journal Ad
- \$2,500 1/2 Page Journal Ad

### Ad Specs:

Color or Black and White

Dimensions: 5" x 8" (Full Page) or 5" x 4" (Half Page)

Format: JPG, TIF, or Illustrator EPS files (text must be converted to outlines)

Resolution: 300 dpi or higher

Ads will be placed alphabetically by level of sponsorship

For more information on advertising, please contact [tributedinner@sifma.org](mailto:tributedinner@sifma.org) or 212.313.1307.

Please make checks payable to:  
SIFMA Foundation for Investor Education  
120 Broadway, 35th Floor  
New York, NY 10271

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## SIFMA FOUNDATION 2021 TRIBUTE DINNER RESERVATION FORM

Please complete and email this form to [tributedinner@sifma.org](mailto:tributedinner@sifma.org) or register at [www.sifma.org/event/foundation-tribute-dinner](http://www.sifma.org/event/foundation-tribute-dinner)

### Sponsorship Level

Please scroll down to next page for details of each sponsorship level.

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> \$250,000 Legacy  | <input type="checkbox"/> \$100,000 Title   | <input type="checkbox"/> \$60,000 Chair |
| <input type="checkbox"/> \$45,000 Vice Chair   | <input type="checkbox"/> \$30,000 Platinum | <input type="checkbox"/> \$15,000 Gold  |
| <input type="checkbox"/> _____ (#) of tickets at \$2,000 each for a total of \$_____       |  |   |
| <input type="checkbox"/> I am unable to join, but have enclosed my contribution of \$_____ |  |   |

### Journal Ads

- |   |   |
|---|---|
| <input type="checkbox"/> \$15,000 Inside Cover/Back Cover (while supplies last) | <input type="checkbox"/> \$5,000 Full Page Ad |
| <input type="checkbox"/> \$10,000 Full Page Gold Ad                             | <input type="checkbox"/> \$2,500 Half Page Ad |
| <input type="checkbox"/> \$7,500 Full Page Silver Ad                            |   |

### Registration Information

Company/Firm: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Contact Telephone: \_\_\_\_\_ Contact Email: \_\_\_\_\_

### Please make checks payable to:

SIFMA Foundation for Investor Education  
120 Broadway, 35th Floor  
New York, NY 10271

### Contact SIFMA Foundation:

[tributedinner@sifma.org](mailto:tributedinner@sifma.org)  
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*All contributions are tax deductible to the full extent allowed by law.*

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# FOUNDATION TRIBUTE DINNER

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## HONORING



### INDUSTRY CHAMPION

#### KATHLEEN A. MURPHY

President, Personal Investing  
Fidelity Investments

Kathleen is president of Fidelity Personal Investing, where she leads a set of high-growth and award-winning businesses with over \$4.0 trillion in client assets, over 29 million client accounts and over 20,000 employees. These business units serve the full needs of investors of all ages and asset classes, including private wealth management, retirement, advisory, brokerage, insurance, and digital advice, and have delivered eight successive years of record results and growth.

Kathleen is also responsible for several of Fidelity's firm-wide businesses and capabilities, including its artificial intelligence center of excellence, its brand, advertising and social media programs, its advisory solutions business, and Fidelity's workplace solutions business for tax-exempt organizations. Kathleen has also led a comprehensive digital transformation of Fidelity Personal Investing that has further accelerated the organization's growth and productivity as well as the client experience it delivers.

Kathleen is a nationally recognized thought leader and speaker on such important topics as women investing and empowerment, financial literacy, client experience, digital transformation, talent and leadership, and more. Throughout her career, she has been recognized by a wide range of industry organizations, including one of the 50 Most Powerful Women in Business by Fortune magazine and Barron's Top 100 Women in US Finance, among others.

Kathleen sits on the Board of Governors of the Financial Industry Regulatory Authority (FINRA) and is chair of its Nominating and Governance Committee; the Board of Directors of the Markle Foundation and chair of its Audit Committee; and the Board of Directors of the National Football Foundation, where she is Vice Chairman. Ms. Murphy received a BA in economics and political science from Fairfield University and a JD with highest honors from the University of Connecticut School of Law.

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## HONORING



### EDUCATION CHAMPION

#### JAMES REYNOLDS, JR.

Founder, Chairman, & CEO  
Loop Capital

James Reynolds, Jr. is Founder, Chairman and Chief Executive Officer of Loop Capital. Mr. Reynolds founded Loop Capital in 1997 with a simple motto as a guide: "To provide client service beyond expectations." The motto still serves as the foundational driving force of the firm. Mr. Reynolds currently oversees all aspects of Loop Capital, including investment banking, brokerage, project finance, financial advisory services and asset management.

A 30-year veteran of the financial services industry, Mr. Reynolds held senior-level positions at several global Wall Street firms prior to founding Loop Capital—then a municipal bond firm. Since, Loop Capital has grown into one of the most dynamic and diversified investment banking firms in the country, expanding into corporate finance, global equity trading, taxable fixed income trading, tax-exempt fixed income trading, mergers and acquisitions, public finance, infrastructure investment and financial consulting. As Chairman and CEO, Mr. Reynolds spearheaded the accelerated growth and diversification of the firm, which is now one of the largest privately held investment banks in the United States. Additionally, Loop Capital is a partner in multiple business enterprises including, Loop-Counterpointe joint venture, which manages the City of Chicago PACE Program and JLC Infrastructure, an investor and asset management firm formed in 2015 with Magic Johnson Enterprises.

A passionate advocate of giving back to the community, Mr. Reynolds currently serves on the boards of the Chicago Community Trust, Chicago Urban League, Cornell Program in Infrastructure Policy, Intersect Illinois, Power Construction and World Business Chicago. Additionally, he is on the board of the Securities Industry and Financial Markets Association (SIFMA) and a member of the CFA Institute.

Mr. Reynolds holds a Master of Management in Finance from Northwestern University's Kellogg Graduate School of Management and a Bachelor of Arts in Political Science from the University of Wisconsin, La Crosse. He received his Chartered Financial Analyst designation from the AIMR in 1991 and holds 7, 24, 52, 53, 63 and 79 licenses.

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### LIFETIME LEADERSHIP AWARD

*Presented In Memoriam*

#### PAUL E. PURCELL

Chairman, Former President & CEO  
Baird

*Paul E. Purcell, Baird Chairman and former President & CEO, passed away on February 28, 2020 at the age of 73 surrounded by his wife and four children. For more than 25 of Baird's 100 years, Paul's vision, acumen and transformational leadership helped Baird achieve new heights of growth and success. And the deeply personal, positive impact he made on Baird's clients, associates and communities will resonate for many years to come. Our thoughts and prayers are with Paul's family and everyone whose lives he touched and changed for the better.*

#### **Visionary Leader, Champion of Culture, Caring Community Partner**

Recruited by past Baird Chairman Fred Kasten, Paul joined Baird in 1994 from Kidder Peabody & Co., bringing with him a relentless work ethic. Several of his colleagues from Kidder came with him, including current Baird Chairman, President & CEO Steve Booth. When Paul became President in 1998, his vision was for Baird to be the best middle market firm in the world.

Paul was instrumental in the formation of Baird's private equity business and helped pioneer the expansion of Baird's now global equities platform into Europe and Asia. He engineered the buyback of the majority of Baird's outstanding shares from Northwestern Mutual in 2004, citing the importance of being able to control one's own destiny. His foresight and long-term thinking kept the firm strong and stable through the depths of the Global Financial Crisis. And he consistently reinvested in Baird's capabilities to serve clients' evolving needs.

Paul's focus on Baird's clients was integral to his growth strategy, but he felt the quality of Baird's people was equally important to the firm's success. He knew being a great place to work would enable Baird to attract our industry's best talent, ensuring the best experience for clients. Under his leadership, Baird was first named to the FORTUNE 100 Best Companies to Work For® list, a legacy that continued in 2021 for the 18th consecutive year.

The idea that things could always be better drove Paul and inspired everyone around him. Paul was passionate about education and firmly believed in ensuring that everyone – regardless of where they live or their circumstances – has access to a quality education. His belief in the power of education led him to help found the board of Cristo Rey Jesuit High School in Chicago, chair the advisory council of Notre Dame Mendoza School of Business for 10 years and serve on numerous other education-oriented boards including Teach for America - Milwaukee. In his memory, Baird established the Paul Purcell "Kids Win!" Annual Baird Education Grant to benefit qualified nonprofit educational organizations that share this passion and purpose.

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