



FOUNDATION TRIBUTE DINNER

2021

FINANCIAL LITERACY

ECONOMIC EQUITY



& OPPORTUNITY FOR ALL YOUTH

HONOREES

LIFETIME LEADERSHIP AWARD

PAUL E. PURCELL

Former Chairman & President & CEO, Baird

Presented in Memoriam

EDUCATION CHAMPION

JAMES REYNOLDS, JR.

Founder, Chairman & CEO, Loop Capital

INDUSTRY CHAMPION

KATHLEEN A. MURPHY

President, Personal Investing, Fidelity Investments





BNY Mellon is proud to support the SIFMA Foundation.

Congratulations to this year's champions:

Industry Champion: Kathleen A. Murphy,
President, Personal Investing, Fidelity Investments

Education Champion: James Reynolds, Jr.,
Founder, Chairman, & CEO, Loop Capital

Lifetime Leadership Award: Paul E. Purcell,
Former Chairman, President & CEO, Baird
(in memoriam)





2021 PROGRAM

Welcome

Bertha Coombs, Reporter, CNBC

Kenneth E. Bentsen, Jr., President & CEO, SIFMA

Richard J. Daly, Executive Chairman, Broadridge Financial Solutions, Inc.
& Chair, SIFMA Foundation Board of Directors

SIFMA Foundation Highlights

Awards Presentation – 2021 Honorees

Lifetime Leadership Award

Paul E. Purcell, Former Chairman & President & CEO, Baird,
Presented in Memoriam

Accepted by Steven G. Booth, Chairman, President & CEO, Baird

Industry Champion

Kathleen A. Murphy, President, Personal Investing, Fidelity Investments

Introduced by Robert W. Cook, CEO, FINRA

Education Champion

James Reynolds, Jr., Founder, Chairman & CEO, Loop Capital

Introduced by Mike Nicholas, CEO, Bond Dealers of America

Presentations

Faith Ang, Student, Ericson Elementary School

Kaylin Gordon, Student, Parkside Preparatory Academy

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 & CEO
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, Chair of the International Council of Securities Associations (ICSA), 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. Previously, Mr. Bentsen served as President, and earlier as the Executive Vice President of Public Policy and Advocacy for SIFMA, responsible for SIFMA's legal, regulatory, and legislative affairs and advocacy initiatives.

Mr. Bentsen has deep experience in the industry and public policy. Prior to joining SIFMA, Mr. Bentsen served as a Member of the United States House of Representatives from Texas (1995-2003), 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. Mr. Bentsen was an active participant in the drafting and enactment of the Sarbanes-Oxley Act, the Gramm-Leach-Bliley Act, the Commodities Futures Modernization Act and the Terrorism Risk Insurance Act. During his tenure in the Congress, he played an active role in legislation and oversight of regulations affecting bank and thrift charters, federal deposit insurance, securities, derivatives, and the federal government sponsored enterprises (Fannie Mae, Freddie Mac, and the FHLB system). Mr. Bentsen was also instrumental in the passage of the landmark Balanced Budget Act of 1997, particularly with respect to health care policy.

Prior to his service in Congress, Mr. Bentsen was an investment banker at George K. Baum & Co. and previously 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 the Center for Congressional and Political Studies at the American University. He also serves on the boards of the Martin Luther King, Jr. Memorial Foundation and the Committee on Capital Markets Regulation.



RICHARD J. DALY

Executive Chairman

Broadridge Financial Solutions, Inc.

In 2019 Rich became Executive Chairman of Broadridge Financial Solutions, Inc. (NYSE: BR), a global fintech company and part of the S&P 500® Index, with more than \$5 billion in annual revenue and a leading provider of communications, operations technology and data and analytics solutions to financial firms and businesses.

Rich has been a member of the Broadridge Board of Directors since 2007 and served as Chief Executive Officer since Broadridge became an independent company in a 2007 spin-off from ADP until 2019. An entrepreneur who built Broadridge from the ground up, Rich has been at the forefront of financial innovation, a pioneer in the fintech space, leveraging technology to enrich customer communication and drive industry transformation.

Prior to the Broadridge IPO, Rich served as Group President of the Brokerage Services Group of ADP, as a member of the Executive Committee and as Corporate Officer since June 1996. Rich joined ADP as Senior Vice President of the Brokerage Services Group in 1989, when ADP acquired his Investor Communications Solutions (ICS) business. ICS had two employees when he sold it to ADP in 1989, and today the business, now Broadridge, has over 14,000 associates in 18 countries.

Before joining ADP in 1989, Rich served as Senior Vice President of Operations and member of the Board of Directors at Thomson McKinnon Securities. Prior to Thomson, he spent 7 years at The Independent Election Corporation of America in various senior management positions including Senior Vice President and Chief Operating Officer.

Rich is Chairman of the SIFMA Foundation, a financial literacy program that serves 600,000 students a year through a stimulated stock market game. He is the founding Treasurer of the Make-A-Wish Foundation of Suffolk County, Inc. and now serves as an Honorary Director. Rich has been an honoree for dozens of charities in the New York metropolitan area, primarily affiliated with children in need.

Rich was the recipient of the Ernst & Young 2003 Entrepreneur of the Year Award and Arthur Andersen's world wide "Best Practices Award" for "Organization" and "People". Under Rich's leadership, Broadridge was named to Fortune Magazine's "World's Most Admired Companies" list for Finance Data Services Category, the last five years in row. During Rich's tenure as CEO, Broadridge was added to the S&P 500.

**STEVEN G. BOOTH**

Chairman, President & CEO
Baird

Steve Booth is Chairman, President & Chief Executive Officer, and a member of the board of directors of Baird Financial Group and affiliated entities including Robert W. Baird & Co. Incorporated. Steve joined Baird's Investment Banking group in 1994, went on to lead its Industrial and Global M&A teams and, in 2004, became head of Investment Banking, a position he held until January 2014. He was named Chief Operating Officer of Baird in early 2013, became President & COO in 2014 and President & CEO in 2016, and Chairman, President & CEO in 2021.

Prior to joining Baird, Steve was at Kidder, Peabody & Co. in its Chicago Corporate Finance Office. Steve received his MBA degree from the Kellogg School of Management at Northwestern University and holds a Bachelor of Business Administration in finance and a Bachelor of Arts in economics from Southern Methodist University. He serves on the Board of Directors of The Water Council, the United Performing Arts Fund, United Way of Greater Milwaukee and Waukesha County, and the Carmen School of Science and Technology. Steve also serves on the Executive Board of Dedman College of Humanities and Sciences at SMU, the Executive Board of the Cox School of Business at SMU, and the Board of Regents of the Milwaukee School of Engineering.

SIFMA FOUNDATION 2021 LIFETIME LEADERSHIP AWARD

PRESENTED IN MEMORIAM



PAUL E. PURCELL

Former Chairman & President & CEO

Baird

On February 28, 2020, Paul E. Purcell, Baird Former Chairman, President & CEO, passed away 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 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.

He was instrumental in the formation of Baird's private equity business and helped pioneer the first expansions 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 and be selective about whom we hire. He believed that would ensure the best experience for clients. Under his leadership Baird was recognized as one of the FORTUNE 100 Best Companies to Work For® every year from 2004-2021.

The idea that things could always be better drove Paul and inspired everyone around him. This was evident in his leadership of Baird and his commitment to the community. His belief in the power of education led him to help found the board of Cristo Rey Jesuit High School in Chicago and chair the advisory council of Notre Dame Mendoza School of Business for 10 years. He also served on the boards of Teach for America – Milwaukee, Alverno College, Junior Achievement of Chicago, The United Way of Greater Milwaukee, the United Performing Arts Fund and Discovery World.

**ROBERT W. COOK**

CEO

FINRA

Robert W. Cook is President and CEO of FINRA, and Chairman of the FINRA Investor Education Foundation.

From 2010 to 2013, Mr. Cook served as the Director of the Division of Trading and Markets of the U.S. Securities and Exchange Commission. Under his direction, the Division's professionals were responsible for regulatory policy and oversight with respect to broker-dealers, securities exchanges and markets, clearing agencies and FINRA. In addition, the Division reviewed and acted on proposed rule filings from self-regulatory organizations, including the securities exchanges and FINRA, and was responsible for implementing a range of initiatives and studies generated by the Dodd-Frank and JOBS Acts. He also directed the staff's review of equity market structure.

Immediately prior to joining FINRA, and before his service at the SEC, Mr. Cook was a partner at Cleary, Gottlieb, Steen & Hamilton, LLP, based in Washington, DC. His practice focused on the regulation of securities markets and market intermediaries, including securities firms, exchanges, alternative trading systems and clearing agencies. During his years of private practice, Mr. Cook worked extensively on broker-dealer regulation, advising large and small firms on a wide range of compliance matters.

Mr. Cook earned his J.D. from Harvard Law School in 1992, a Master of Science in Industrial Relations and Personnel Management from the London School of Economics in 1989, and an A.B. in Social Studies from Harvard College in 1988.

SIFMA FOUNDATION 2021 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 & 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 is 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.

**MIKE NICHOLAS**

CEO

Bond Dealers of America

Mike Nicholas is CEO of the Bond Dealers of America, the only DC based trade association exclusively representing securities dealers and banks focused on the U.S. bond markets. In this role, Mike is responsible for all aspects of BDA growth, strategy and operations. This includes federal lobbying and advocacy, marketing, communications, member relations and agenda development. Prior to the BDA, Mike spent ten years as Managing Director at the Securities Industry and Financial Markets Association and Vice President at The Bond Market Association. At SIFMA and the BMA, Mike directed all regional dealer fixed income activities while also managing a variety of other departments including, at the BMA, the political action committee, issuer relations and member outreach.

Prior to joining the BMA, Mike worked in the fixed income capital markets division at Morgan Keegan & Company in Memphis, Tennessee. Prior to that, Mike served as the district field representative to former U.S. Representative Don Sundquist. Mike lives in Vienna, VA with his wife and three children.

SIFMA FOUNDATION 2021 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 U.S. Additionally, Loop Capital is 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 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 SIFMA and a member of the CFA Institute. Mr. Reynolds holds a Masters 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.

**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.



FAITH ANG

Student

Ericson Elementary School

Faith Hosanna Ang is a ten-year-old fifth grader at Ericson Elementary School in San Diego, California. She first participated in The Stock Market Game™ in fourth grade and placed first in the state of California and third in the nation for the Spring 2021 InvestWrite® essay competition. Her various achievements and natural academic prowess led to her recognition and admission as a Mensa Youth member. Always intellectually curious, Faith loves coding and is currently teaching herself Python.

Faith has a love of biology and technology and hopes to one day pursue a career that combines both fields. In her free time, Faith can be found creating things with Legos, reading, and exploring the great outdoors.

**KAYLIN GORDON**

Student

Parkside Preparatory Academy

Kaylin Gordon is an eighth grader at Parkside Preparatory Academy. Though her parents hail from Costa Rica, Kaylin was born and raised in Brooklyn, NY and is the youngest of three siblings. Described by family and teachers alike as solutions oriented and a natural problem solver, Kaylin is ever ready and willing to address both academic and personal challenges head on. With an affinity for numbers and direct answers, it may come as no surprise that Kaylin's favorite subject is mathematics.

Kaylin participated in The Stock Market Game™ program in sixth grade and utilized her love of math to guide her investment journey. Known for her practical thinking, sound judgement, and strong analytical skills, Kaylin was appointed lead researcher during her SMG experience. As a young woman with demonstrated success both in and out of the classroom, Kaylin was the recipient of the Chancellors Academic Award. In her spare time, she enjoys dancing, connecting with friends and family, trying new recipes, primarily her favorites, Japanese and Korean food, and learning French. She regards her mother as her constant support and source of inspiration and hopes to one day become a dermatologist.



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A portrait of Paul Purcell, a man with glasses, wearing a light blue shirt and a patterned tie, smiling. The background is a blurred office setting. The Baird logo is in the top right corner.**BAIRD**

A Lifetime of Leadership

Celebrating Paul Purcell's Vision, Passion and Timeless Values

For 25 years, Paul Purcell led Baird to new heights of growth and success while preserving and strengthening the values at the core of our clients-first culture. He was a friend, a mentor and an inspiration to many. And the positive impact he made through his commitment to education continues to resonate in the lives he touched and the communities he served.

All of us at Baird are grateful to the SIFMA Foundation for celebrating Paul's legacy with their 2021 Lifetime Leadership Award.

Discover the *Baird Difference*

rwbaird.com/kidswin

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Brighter Minds Build Better Futures

Financial education isn't just essential to equip a child for success in the future. It's the key to a better future for all.

Baird shares the SIFMA Foundation's commitment to financial literacy, economic equity and opportunity for all youth. And we're proud to join them in saluting this year's honorees:

Industry Champion

Kathleen Murphy
President, Personal Investing
Fidelity Investments

Education Champion

James Reynolds, Jr.
Founder, Chairman & CEO
Loop Capital

Lifetime Leadership Award

Paul E. Purcell
Former Chairman, President
& CEO
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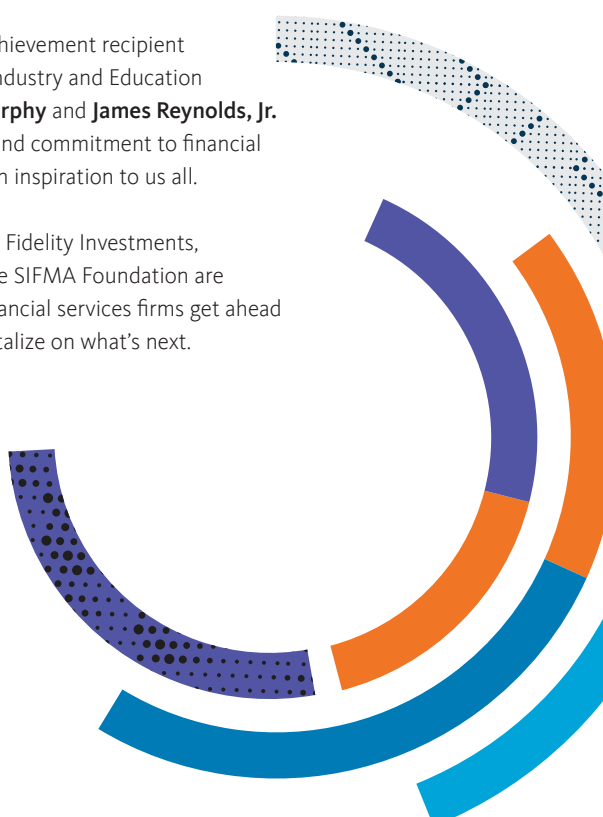


Broadridge congratulates the SIFMA Foundation's 2021 Honorees

We congratulate Lifetime Achievement recipient **Paul E. Purcell**, along with Industry and Education Champions, **Kathleen A. Murphy** and **James Reynolds, Jr.** Your leadership, dedication and commitment to financial services and education are an inspiration to us all.

Our relationships with Baird, Fidelity Investments, Loop Capital Markets and the SIFMA Foundation are examples of how we help financial services firms get ahead of today's challenges to capitalize on what's next.

Ready for Next



broadridge.com

We salute those who are committed to
advancing financial capability among youth.



Congratulations to our own
Kathy Murphy for being recognized
as an Industry Champion.



Fidelity Investments® is proud to sponsor:

SIFMA Foundation Tribute Dinner



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Loop Capital is proud to support the 2021 SIFMA Foundation Tribute Dinner

Congratulations to this year's honorees

Industry Champion: Kathleen A. Murphy
President, Personal Investing
Fidelity Investments

Educational Champion: James Reynolds, Jr.
Chairman and CEO
Loop Capital

Lifetime Leadership Award: Paul E. Purcell
Former Chairman, President and CEO
Robert W. Baird & Co.
Presented In Memoriam



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FINRA Congratulates Tonight's Honorees

Congratulations to Industry Champion **Kathleen A. Murphy**, President, Personal Investing, Fidelity Investments and former member of FINRA's Board of Governors; Education Champion **James Reynolds, Jr.**, Vice Chair, SIFMA Board of Directors and Chairman & CEO, Loop Capital Markets, LLC; and Lifetime Achievement awardee (posthumous) **Paul E. Purcell**, Former Chairman, President & CEO, Robert W. Baird & Co.

We applaud their significant contributions to advancing youth financial capability. Through innovation and a fervent commitment to advancing youth financial capability, each has helped to foster strong capital markets and inspire young people across our diverse nation.

Morgan Stanley



Morgan Stanley is proud to support the

**SIFMA Foundation
and its commitment
to advancing
financial literacy.**

Congratulations to this evening's honorees.



Investing in education pays off for everyone.

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Learn more at [edwardjones.com/deeplyinvested](https://www.edwardjones.com/deeplyinvested).

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Investing in what matters

Since our founding in 1937, Mesirow has invested in what matters, including organizations that improve the lives of those around us.

Thank you, SIFMA Foundation, for fostering knowledge and understanding of the financial markets for individuals of all backgrounds.

Congratulations to 2021 SIFMA Foundation honorees, especially our friend Education Champion Jim Reynolds, whose dedication to lifting up communities is an inspiration.

[mesirow.com](https://www.mesirow.com)

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

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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.

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Financial well-being.

Everyone has the right to a better financial future. We're on a mission to democratize investing by providing more people around the world with the tools and technology to achieve financial well-being.

BlackRock.

blackrock.com

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Helping others
is always a smart
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CELEBRATING EXCEPTIONAL LEADERS IN OUR COMMUNITY

CIBC is pleased to congratulate the 2021 SIFMA Foundation Education Champion – James Reynolds Jr. – recognizing the impact he has made in advancing financial literacy, economic equity and opportunity for youth of all backgrounds.

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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.

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INVESTING IN OUR FUTURE



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IMC IS **PROUD** TO SUPPORT THE SIFMA FOUNDATION

Congratulations to this year's industry luminaries

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**SIFMA is proud to support the SIFMA
Foundation and join in recognizing the
individuals who help students around
the country become financially capable.**

We thank the 2021 honorees for their contributions

INDUSTRY CHAMPION

Kathleen A. Murphy, *President, Personal Investing*, Fidelity Investments

EDUCATION CHAMPION

James Reynolds, Jr., *Founder, Chairman, & CEO*, Loop Capital

LIFETIME LEADERSHIP AWARD

Paul E. Purcell, *Former Chairman, President & CEO*, Baird

Presented in memoriam

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Tonight, we pay tribute to the 2021 honorees for their remarkable contributions in advancing financial capability.

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Education
Champion:

James Reynolds, Jr.
Founder,
Chairman, & CEO,
Loop Capital

Lifetime Leadership Award,
in Memoriam:

Paul Purcell
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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, with a focus on youth in underserved communities and students of color. Drawing on the support and expertise of the financial services industry, the SIFMA Foundation provides high-quality financial education programming that strengthens economic opportunity across communities and increases individuals' access to the benefits of the global marketplace.



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 annually, across all classroom and virtual learning environments, in all 50 states and around the globe. The Stock Market Game has reached over 20 million students since its inception and is proven to raise student standardized test scores in math and economics and positively impact teachers' personal financial behavior.



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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™, presented by the Charles Schwab Foundation and offered each spring, matches Members of Congress with public middle and high schools nationwide. The top performing teams win prizes and national recognition, plus the opportunity to engage directly with government and business leaders. Since its inception, Capitol Hill Challenge has made 6,500 Congressional matches reaching nearly 143,000 students across the country.



Invest It Forward® is an industry-wide capital markets literacy and career exploration program connecting educators and classrooms, virtually and in-person, with financial industry volunteers and firms. The program features an award-winning capital markets curriculum for students, developed with the Federal Reserve Bank of St. Louis, and a variety of skills-based volunteer opportunities for industry professionals committed to helping young Americans learn about the global capital markets. Each year, Invest It Forward engages nearly 14,000 volunteers and hundreds of firms across the nation.



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