

# SECURITIES INDUSTRY INSTITUTE®



## General Information

### Participants

The Securities Industry Institute® (SII) exists to bring together high-potential, rising talent from across the industry to learn from authorities on topics which enhance their leadership and managerial abilities and augment their investment and industry knowledge. Participants are encouraged to bring back what they've learned at SII and share this unique educational experience with co-workers. Graduates of the program are expected to exemplify and enforce standards of business conduct consistent with our public trust.

A list of participants is available on the SII mobile app and includes searchable functions for firm, responsibility, location and year. There is no limit to the number of participants a given firm can nominate to the program, however, overall space at SII is limited. We regret that we are unable to allow guests to attend Institute sessions or organized events.

### Location and Key Dates & Times

The Institute is conducted each year in March on the campus of The Wharton School of the University of Pennsylvania, located in Philadelphia, PA, during the University's spring break. The 2019 Securities Industry Institute will take place on March 3-8, 2019.

September 2018	Registration Opens
December 14, 2018	Registration Deadline*
December 14, 2018	Cancellation with refund (less \$2,750) deadline
January 2019	Elective selection begins
January 18, 2019	Hotel cancellation deadline
February 1, 2019	Substitution deadline
March 3-8, 2019	Securities Industry Institute

\*Late registrations can be requested by calling 212-313-1108

The opening session begins on Sunday, March 3<sup>rd</sup>, 2019 at 5:45pm (5:00pm for Year One participants). Participants are advised to book travel to arrive in Philadelphia by 4:00pm Sunday, and depart Friday, March 8<sup>th</sup>, no sooner than 1:00pm.

### 2019 Tuition Fees

SIFMA/ASIFMA member firms: \$5,500

Non-member firms: \$7,500

### Faculty Information and Preparatory Material

The Institute draws top professors from Wharton and other leading universities as well as business leaders and industry experts to deliver an unparalleled, globally-accredited faculty. Faculty biographies will be available on the SII website and mobile app.

Some faculty members may require pre-reading or course work prior to attending their session. If applicable, you will receive any pre-course preparatory material via email about two to three weeks prior to the start of the program.

Kristin Sheehan | Erin McNicholas

[sii@sifma.org](mailto:sii@sifma.org) | 212-313-1108

# SECURITIES INDUSTRY INSTITUTE®



## Networking

Networking is a major benefit of participation at the Institute. With over 800 attendees annually, the Institute provides excellent networking opportunities as well as exposure to new viewpoints and experiences for future career development. The interaction between classes, during receptions, meal times and off hours, as well as throughout one's career, represents a never-ending extension of the learning experience.

## Attendance

The Institute's policies require participants to complete the full curriculum for each consecutive year they attend. If a participant arrives late to the Institute and/or departs early, the registrant may be required to re-enroll the following year in order to complete the required course work to graduate. Participants will be required to document the reasons, business or personal, for late arrival and/or early departure and may be subject to additional penalties

## Accommodations and Transportation

There is a five-night minimum stay policy at all designated SII hotels and reservations MUST be made directly with SII to secure discounted rates. You will be billed for the hotel reservations if cancellation is not received prior to January 18, 2019, or if your stay is less than the guaranteed five nights. Participants can choose not to book housing through the SII registration process.

SIFMA provides buses from the Marriott and Homewood Suites to campus. All other housing is adjacent to campus.

The Philadelphia Marriott (\$245/night)  
1201 Market Street  
Philadelphia, PA 19107

Homewood Suites (\$199/night)  
4109 Walnut Street  
Philadelphia, PA 19104

Steinberg Conference Center (\$225/night)  
255 S. 38<sup>th</sup> Street  
Philadelphia, PA 19104

The Inn at Penn --Year 3 Participants Only (\$259/night)  
Sansom Common  
3600 Sansom Street  
Philadelphia, PA 19104

The Study at University City – Limited Availability (\$204/night)  
20 South 33rd Street  
Philadelphia, PA 19104

Parking in the vicinity of The Wharton School is extremely limited. Unless you are commuting to the program, you will not need a car during your stay. SIFMA and Wharton are not responsible for parking arrangements and are not liable for any loss or damages.

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## Organized Meals

Tuition fees include Institute-organized meals and receptions that are planned as a means to encourage discussion among participants, but these meals are not mandatory.

Many firms organize a group dinner for their participants. If you elect to arrange an organized dinner, we recommend that you make a reservation far in advance. Please ensure dinners do not conflict with SII-organized events.

## Year One Welcome Reception

As a first time attendee, don't miss the Year One Welcome Reception on Sunday, March 3, 2019 starting at 5:00pm at The Philadelphia Marriott. This event welcomes newcomers to SII and provides the opportunity to meet and networking with fellow Year One participants as well as the SII Board of Trustees.

## Communications

All SII communications are managed by SIFMA. You will receive email communications to confirm your enrollment, notify you of the elective selection process, distribute any pre-course materials (where applicable), and provide any program updates prior to Institute week. Please make sure to add [sii@sifma.org](mailto:sii@sifma.org) to your address book as an authorized email address.

## Changing Firms

Participants are expected to notify SIFMA at [sii@sifma.org](mailto:sii@sifma.org) or 212-313-1108. Please advise your new firm if you wish to continue in the SII program. SIFMA does not take responsibility for managing participants' enrollment process.

## Registration Cancellation / Substitution Policy

Due to program demand and the volume of pre-program preparation, cancellations are subject to a charge of one-half of the program fee (\$2,750 for members) until the registration deadline of December 14, 2018. No refunds will be given after midnight on December 14, 2018. All cancellation and substitution requests must be submitted in writing to SIFMA at [sii@sifma.org](mailto:sii@sifma.org).

If you find that a candidate is unable to attend, you may substitute someone in their place providing the following criteria are met:

- Substitutions must be submitted in writing, no later than February 1, 2019.
- Candidates must be of the same participating year (e.g., Year One for Year One, etc.). Alternating year substitutions (e.g., Year One for Year Two) are permitted only on a space available basis.

Refunds will not be given for no-shows, partial attendance or early departures.

## Ethics

The Institute is a learning experience conducted in cooperation with the SIFMA member firms. Accordingly, faculty, students and other participants are not permitted to engage in any activity that might be construed as being for the purpose of recruiting personnel from other firms.

# SECURITIES INDUSTRY INSTITUTE®



## **Recommended Dress Code**

Business casual is standard dress for sessions and events. Please note that the campus is lined with cobblestone streets, so please choose appropriate footwear.

## **Feedback**

The most important tool SIFMA and the SII Trustees use in planning the Institute is the feedback from participants. You will be asked to complete a short survey after every session via the SII Mobile App. This feedback from you is invaluable to the Trustees in planning and developing the following year's Institute.