



SECURITIES INDUSTRY INSTITUTE[®]

EXCELLENCE IN LEADERSHIP DEVELOPMENT

MARCH 4-9, 2018 | THE WHARTON SCHOOL, PA

SPONSORSHIP OPPORTUNITIES



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SIFMA's 67th Annual Securities Industry Institute Sponsorship Opportunities

The Securities Industry Institute[®] (SII) is the premier executive development program for securities industry professionals. For more than 67 years, SIFMA and The Wharton School have partnered to develop the industry's high-potential rising leaders. Each March, SII brings together 750 high-potential, rising talent from across the industry with a world-class facility at The Wharton School of The University of Pennsylvania.

Participants meet for one week over three consecutive years to develop leadership and managerial skills, and enhance investment and industry knowledge. SII's cost-effective talent development approach delivers actionable knowledge that is implementable today: the mission of the Institute is to equip each participant with practical information, ideas, and answers directly applicable to their present and future responsibilities. Its customized curriculum is redesigned each year to reflect the needs of an ever-changing industry landscape.

**NETWORKING
SPONSORSHIPS**

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**SPEAKER
SPONSORSHIPS**

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**BRANDING
SPONSORSHIPS**

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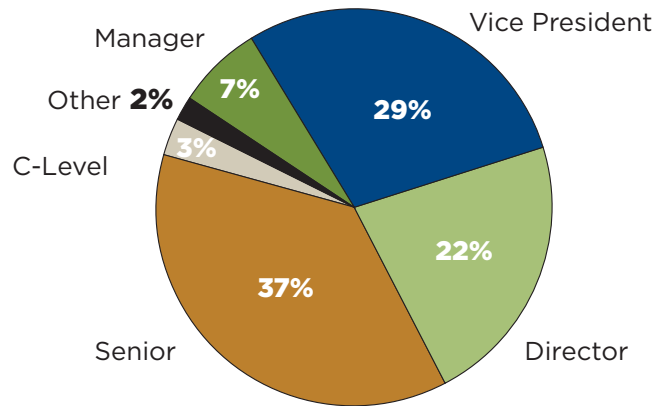
Sponsor Contact:

Tamara Tondou | 212.313.1240 | ttondu@sifma.org
Senior Associate, Conference & Event Sales | SIFMA

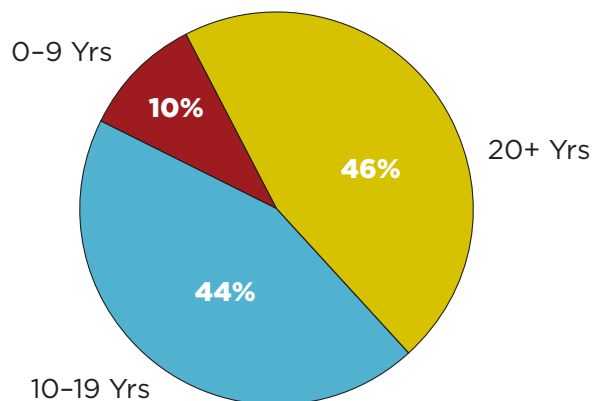


2017 Securities Industry Institute Participant Profile

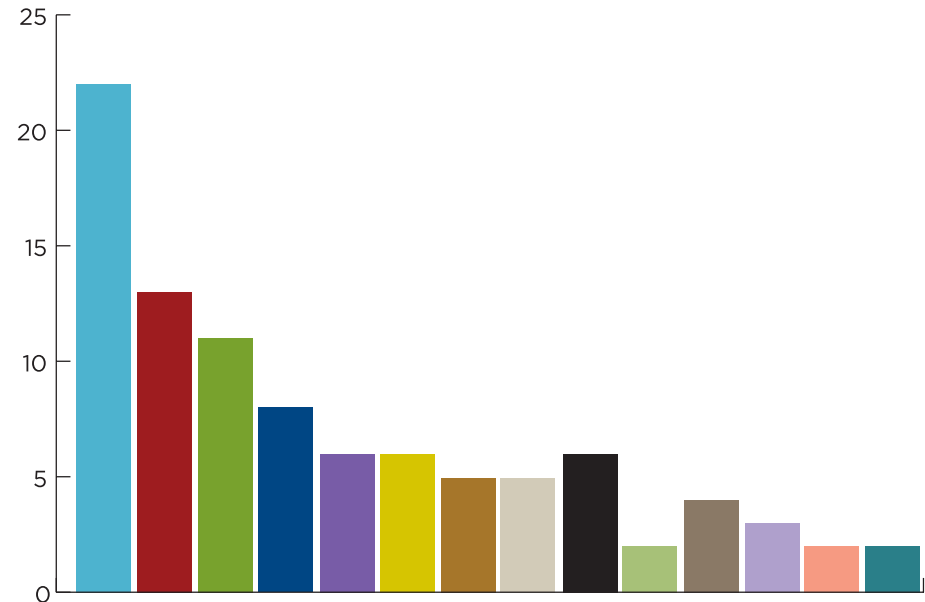
Participant Titles



Years in industry



Participant Profile (By Function)



- Other* - 22%
- Operations - 13%
- Technology Services - 10%
- Client/Relationship Management - 8%
- Wealth Management - 6%
- Accounting/Finance - 5%
- Product Development & Support - 4%
- Branch Management - 5%
- Sales - 6%
- Business Development - 2%
- Risk Management - 4%
- Compliance/Regulation - 3%
- Marketing - 2%
- Regional Management - 2%

*Other contains less than 2% in the following areas: asset management, audit, government relations, HR, employee relations and training, legal, platform development, sales technology, trading, servicing technology, retirement planning, financial advisors, alternative investments, portfolio management, PR and communications, research and more.

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SIFMA Securities Industry Institute Sponsorship Packages offer maximum value with:

Pre-Program Benefits

- Pre-event marketing exposure listing company name, prominent placement of logo and firm profile on SIFMA's Securities Industry Institute 2018 website.
- PDF file of promotional brochure in firm profile included on SIFMA Securities Industry Institute 2018 website.
- Preliminary mailing lists of all institute participants sent in electronic format, four weeks in advance of the program.

Program-on-Site Benefits

- Reduced Rate institute Registration (s)
- Prominent brand recognition during the sponsored function (if applicable), with company logo displayed on dedicated signage. Includes both print and digital formats strategically placed in various outlets that include registration area, general session slide deck, etc.
- Recognition at the sponsored function during opening remarks (if applicable)
- Promotional brochure in pdf format, included in Event Mobile App, downloaded and used on all mobile devices during event.
- Company Listing and firm description on Securities Industry Institute website as well as on the Event Mobile App which includes a banner.

Post-Program Benefits

- Company listing and firm description on the Securities Industry Institute website.
- Complete mailing list of all institute attendees in excel format sent at the conclusion of the program.
- Sponsor recognition on Thank You for Attending and Survey email.

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SIFMA's 67th Annual Securities Industry Institute Sponsorship Tiers

DIAMOND	\$45,000 SIFMA MEMBER RATE \$50,000 NON-MEMBER RATE
PLATINUM	\$35,000 SIFMA MEMBER RATE \$40,000 NON-MEMBER RATE
GOLD	\$20,000 SIFMA MEMBER RATE \$25,000 NON-MEMBER RATE
SILVER	\$15,000 SIFMA MEMBER RATE \$20,000 NON-MEMBER RATE
BRONZE	\$10,000 SIFMA MEMBER RATE \$15,000 NON-MEMBER RATE



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Networking	Sponsorship	Availability
<p>DIAMOND</p> <p>\$45,000 SIFMA MEMBER RATE \$50,000 NON-MEMBER RATE</p> 	<p>BREAKFAST Monday, March 5th - Friday, March 9th Philadelphia Marriott, Inn at Penn (*with the exception of Inn at Penn on Friday, March 9th), Aresty/Steinberg Conference Center, Homewood Suites, The Study</p> <p>The breakfast sponsor will receive brand recognition throughout the entire SII week (Monday - Friday) and at all five locations (*with the exception of the Inn at Penn on Friday, March 9th). In addition, this sponsorship includes a variety of breakfast options, allowing for one-on-one networking opportunities with industry colleagues. Signage displayed onsite.</p> <p>Includes: Two (2) Reduced Rate Institute Registrations * Can be offered a-la-carte & Reduced Registrations</p>	<p>AVAILABLE</p>
	<p>CLOSING RECEPTION Thursday, May 8th The National Constitution Center</p> <p>The Closing reception sponsorship offers your firm a high visibility opportunity in a relaxed atmosphere. This is ideal for a firm wishing to achieve maximum exposure and is attended by all of the SII registrants.</p> <p>Includes: Five (5) Complimentary Institute Registrations</p>	<p>SOLD!</p> 
<p>PLATINUM</p> <p>\$30,000 SIFMA MEMBER RATE \$35,000 NON-MEMBER RATE</p>	<p>OPENING NIGHT DINNER Sunday, March 4th Philadelphia Marriott</p> <p>The Opening Night Dinner will be hosted at the Philadelphia Marriott with an expected attendance of 775 institute registrants.</p> <p>Includes: Three (3) Complimentary Institute Registrations Two (2) Reserved VIP Seats during the dinner</p>	<p>AVAILABLE</p>
<p>GOLD</p> <p>\$20,000 SIFMA MEMBER RATE \$25,000 NON-MEMBER RATE</p>	<p>YEAR 1, 2, 3 NETWORKING RECEPTION Sunday, March 4th Philadelphia Marriott</p> <p>Networking Reception for all participants to meet and network with fellow participants as well as the SII Board of Trustees.</p> <p>Includes: One (1) Reduced Rate Institute Registration</p>	<p>AVAILABLE</p>





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<p>SILVER</p> <p>\$15,000 SIFMA MEMBER RATE \$20,000 NON-MEMBER RATE</p> 	<p>DEAR WORLD YEAR 3 RECEPTION Tuesday, March 6th Inn at Penn</p> <p>Dear World is part business, art project and social experiment. Year 3 attendees along with SII Board of Trustees explore stories of hope, struggle and brighter days by expressing these emotions in messages written on themselves and captured in photography. This very inter-active session brings a closer bond between attendees and provides for continued dialogue at the reception. For more information on "Dear World" and its story visit dearworld.me/story. Sponsor may provide co-branded frame with sponsoring firm logo and SIFMA logo for each attendee's photo. Photographer from www.Dearworld.me will lead the exciting opportunity.</p> <p>Includes: One (1) Reduced Rate Institute Registration</p>	<p>AVAILABLE</p>
	<p>VIP RECEPTION DINNER Wednesday, March 7th Estia Restaurant</p> <p>Reception and Dinner allowing for one-on-one networking with VIP's that include, SII Trustees, industry and academic speakers and other distinguished guests. Prominent branding as the dinner sponsor.</p> <p>Includes: Two (2) Reduced Rate Institute Registrations Two (2) Reserved VIP Seats at the Dinner</p>	<p>AVAILABLE</p>
	<p>YEAR 1 WELCOME ORIENTATION & RECEPTION</p> <p>This event welcomes Year 1 newcomers to the Securities Industry Institute and provides the opportunity to meet and network with fellow Year 1 participants as well as the SII Board of Trustees. The orientation and networking reception will kick off Institute week.</p> <p>Includes: One (1) Reduced Rate Institute Registration</p>	<p>AVAILABLE</p>
	<p>GRADUATION BREAKFAST Friday, March 9th Inn at Penn</p> <p>The Graduation Breakfast includes guest speaker from Wharton, special presentations from the Chairman and Academic Director, and the awarding of certificates.</p> <p>Includes: One (1) Reduced Rate Institute Registration</p>	<p>SOLD!</p>  <p><i>Own your tomorrow™</i></p>


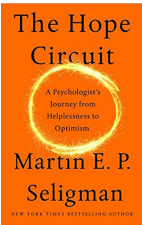



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Speaker	Sponsorship	Availability
<p>SILVER</p> <p>\$15,000 SIFMA MEMBER RATE \$20,000 NON-MEMBER RATE V</p>	 <p>KEYNOTE SPEAKER - ANDREW FRIEDMAN Friday, March 9th</p> <p>Andrew Friedman is “one of the nation’s most sought-after speakers on all things political.” An expert on political affairs, Andy explains the ever changing, sometimes confusing, and often crazy world of Washington in a straightforward bipartisan manner.</p> <p>This is a fantastic opportunity to leave a lasting impression with the SII '18 attendees. In addition, to having your organization associated with a remarkable featured speaker.</p> <p>Includes: One (1) Reduced Rate Institute Registration</p>	<p>AVAILABLE</p>
	<p>KEYNOTE SPEAKER - MARTIN SELIGMAN Monday, March 5th</p> <p>Martin Seligman is commonly known as the founder of Positive Psychology, Martin Seligman is a leading authority in the fields of Positive Psychology, resilience, learned helplessness, depression, optimism and pessimism. He is also a recognized authority on interventions that prevent depression, and build strengths and well-being.</p> <p>This is a fantastic opportunity to leave a lasting impression with the SII '18 attendees. In addition, to having your organization associated with a remarkable featured speaker.</p> <p>Includes: One (1) Reduced Rate Institute Registration</p>	<p>AVAILABLE</p>
<p>GOLD</p> <p>\$20,000 SIFMA MEMBER RATE \$25,000 NON-MEMBER RATE</p>	 <p>MARTIN SELIGMAN’S BOOK “THE HOPE CIRCUIT” DISTRIBUTED TO ALL STUDENTS</p> <p>Synopsis “One of the most influential living psychologists looks at the history of his life and discipline, and paints a much brighter future for everyone. When Martin E. P. Seligman first encountered psychology in the 1960s, the field was devoted to eliminating misery: it was the science of how past trauma creates present symptoms. Today, thanks in large part to Seligman’s Positive Psychology movement, it is ever more focused not on what cripples life, but on what makes life worth living--with profound consequences for our mental health”</p> <p>Sponsors branded logo will be displayed in the inside front cover of each book.</p> <p>Includes: One (1) Reduced Rate Institute Registration</p>	<p>SOLD!</p>  <p>HilltopSecurities A Hilltop Holdings Company.</p>



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<p>SILVER</p> <p>\$15,000 SIFMA MEMBER RATE \$20,000 NON-MEMBER RATE</p>	<div data-bbox="627 492 772 703"></div> <div data-bbox="793 496 934 698"></div> <p>JONAH BERGER'S BOOK, "INVISIBLE INFLUENCE" DISTRIBUTED TO YEAR 1 STUDENTS</p> <p>Synopsis "If you're like most people, you think that your choices and behaviors are driven by your individual, personal tastes and opinions. You picked a jacket because you liked the way it looked. You picked a particular career because you found it interesting. The notion that our choices are driven by our own personal thoughts and opinions seems so obvious that it is not even worth mentioning. Except that it's wrong."</p> <p>Sponsors branded logo will be displayed in the inside front cover of each book. Includes: One (1) Reduced Rate Institute Registration</p>	<p>AVAILABLE</p>
<div data-bbox="102 998 604 1404"></div>	<p>NEW SPEAKER LUNCHEON (YEAR 1 AND 2) Monday, March 5th - Thursday, March 8th</p> <p>We are offering a Lunch & Learn sponsorship opportunity. The Lunch & Learn sponsorship opportunity allows your firm to share thought leadership insight to a captive audience of 50 participants via a 30 minute or less presentation. The Lunch & Learn will be located on the Wharton campus. The room will be equipped with a/v, i.e. microphone and PowerPoint capabilities. Session title, description, speaker name and title will be listed on the program agenda, the conference website and in electronic materials distributed to all registered attendees. The Presentation will be held on one of the following days during Lunch on Monday, March 5th through Thursday, March 8th.</p> <p>We are offering the following Lunch & Learn Opportunities:</p> <ol style="list-style-type: none"> 1. Three (3) Lunch & Learns - \$20,000 Investment 2. Two (2) Lunch & Learns - \$14,000 Investment 3. One (1) Lunch & Learn - \$7,500 Investment 	<p>AVAILABLE</p>



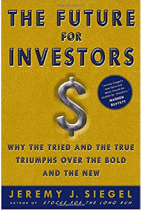


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<p>SILVER</p> <p>\$15,000 SIFMA MEMBER RATE \$20,000 NON-MEMBER RATE</p>	 <p>JEREMY SIEGEL'S BOOK "STOCKS FOR THE LONG RUN" DISTRIBUTED TO YEAR 1 STUDENTS</p> <p>Synopsis "Stocks for the Long Run is a book on investing by Jeremy Siegel. Its first edition was released in 1994. Its fifth edition was released on January 7, 2014. According to Pablo Galarza of Money, "His 1994 book Stocks for the Long Run sealed the conventional wisdom that most of us should be in the stock market." James K. Glassman, financial columnist for The Washington Post called it one of the 10 best investment books of all time."</p> <p>Sponsors branded logo will be displayed in the inside front cover of each book. Includes: One (1) Reduced Rate Institute Registration</p>	<p>AVAILABLE</p>
	 <p>JEREMY SIEGEL'S BOOK "FUTURE FOR INVESTORS" DISTRIBUTED TO YEAR 3 STUDENTS</p> <p>Synopsis "The new paradigm for investing and building wealth in the twenty-first century. The Future for Investors reveals new strategies that take advantage of the dramatic changes and opportunities that will appear in world markets."</p> <p>Sponsors branded logo will be displayed in the inside front cover of each book.</p> <p>Includes: One (1) Reduced Rate Institute Registration</p>	<p>SOLD!</p> <p>LEGG MASON GLOBAL ASSET MANAGEMENT</p>







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<p>PLATINUM</p> <p>\$30,000 SIFMA MEMBER RATE \$35,000 NON-MEMBER RATE</p>	<p>BRANDED WATER BOTTLES</p> <p>Firm Logo/artwork design exposure on every bottle of water served/consumed by attendees throughout the entire week of the event. The branded water bottles will be provided to all in strategic locations. Includes: Three (3) Reduced Institute Registrations</p>	<p>AVAILABLE</p>
	<p>SIFMA'S SII MOBILE APP</p> <p>SIFMA's approved Mobile App affords the sponsoring firm maximum exposure with branding on the app. The exclusive opportunity is downloadable at no additional cost to all participant's and contains all program materials such as program agenda, bios, attendee list, list of all sponsors that includes firm descriptions, linked-in/twitter. This enhanced mobile app will also be used for Audience Response System and etc. Includes: Includes: Three (3) Complimentary Institute Registrations</p>	<p>SOLD!</p> <p> BNY MELLON  PERSHING</p>
<p>SILVER</p> <p>\$15,000 SIFMA MEMBER RATE \$20,000 NON-MEMBER RATE</p> 	<p>MOBILE DEVICE CHARGING STICKS</p> <p>With the event being wireless attendees will be using their devices to access the mobile app, download their agendas, speaker bios, sponsor information and so much more, which means their device's battery will be dead in a matter of hours. The co-branded mobile device charging stick allows participants to charge their mobile device on the go. Branded with SIFMA SII, produced and provided by sponsoring firm. Includes: One (1) Reduced Rate Institute Registration</p>	<p>SOLD!</p> <p></p>
	<p>HOTEL ROOM KEY CARDS INN AT PENN, MARRIOTT AND THE STUDY</p> <p>SIFMA approved co-branded hotel room key cards. Attendees will receive cards upon check-in. Includes: One (1) Reduced Rate Institute Registration</p>	<p>AVAILABLE</p>
	<p>ATTENDEE MESSENGER BAG</p> <p>SIFMA approved co-branded messenger bag to be provided by the sponsoring firm. The messenger bag is an easy and effective way to get your message in the hands of every registered attendee. Includes: One (1) Reduced Rate Institute Registration</p>	<p>AVAILABLE</p>




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<p>BRONZE</p> <p>\$10,000 SIFMA MEMBER RATE \$15,000 NON-MEMBER RATE</p> <p>BRONZE</p> <p>\$10,000 SIFMA MEMBER RATE \$15,000 NON-MEMBER RATE</p>	<p>BUS TRANSPORTATION (BRANDING OPPORTUNITY) FOR PARTICIPANTS MARRIOTT HOTEL/CAMPUS</p> <p>Sponsor firm's logo placed on each headrest. Get your message in front of the attendees as they ride the shuttle buses to the Wharton School everyday. Includes: One (1) Reduced Rate Registration</p>	<p>SOLD!</p> <p>Federated®</p>
	<p>ATTENDEE LANYARD</p> <p>SIFMA approved co-branded lanyard to be provided by the sponsoring firm. The lanyards will be worn by all attendees and this is a great way to get your message in the hands of every registered attendee. Includes: One (1) Reduced Rate Institute Registration</p>	<p>AVAILABLE</p>
<p>\$5,000 SIFMA MEMBER RATE \$6,500 NON-MEMBER RATE</p>	<p>BRANDED TRAVEL UMBRELLAS</p> <p>During the week of SII in the past because this event is held in March there has been rain during the week of the event. This is a great opportunity. The co-branded travel umbrellas will need to be produced and provided by sponsoring firm. Includes: One (1) Reduced Rate Institute Registration</p>	<p>AVAILABLE</p>
	<p>NOTEPADS AND PENS</p> <p>SIFMA approved branded notepads and pens to be provided by the sponsoring firm. This is an easy and effective way to get your message in the hands of every registered attendee. Includes: One (1) Reduced Rate Institute Registration</p>	<p>AVAILABLE</p>
	<p>NEW SII CO-BRANDED RED CAPS</p> <p>SIFMA approved branded hats worn by SIFMA Temp Staff ("Red Caps"). "Red Caps" serve as directional on the Wharton campus and assist with the SII program throughout the week. The caps are worn at all times throughout the week and it's a great way to get your firm's visibility across to all attendees. Includes: One (1) Reduced Rate Institute Registration *** Sponsorship Opportunity available to only Contracted Sponsors ***</p>	<p>AVAILABLE</p>



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SIFMA Securities Industry Institute 2017 Participating Firms

1st Global, Inc
Abbot Downing
Aberdeen Asset Management
Alliance Bernstein
Amalga Systems Inc
Ameriprise Financial Services, Inc.
Ameritas Investment Corp
Baird
Bank Of America / Merrill Lynch
Bats Global Markets
BB&T Securities, LLC
Benjamin F Edwards & Co.
BNP Paribas
BNY Mellon / Pershing
Broadridge Financial Solution, Inc.
Canadian Investor Protection Fund
Capital One Financial Corporation
Capital One Investing
CBOE Chicago Board Option Exchange
Cetera Financial Group
Cetera Investment Services
Charles Schwab & Co. Inc.
CIBC World Markets
Clariant Global LLC
D.A. Davidson & Co.
Delaware Investments
Deloitte & Touche LLP
Deutsche Asset & Wealth Management
DTCC
E*TRADE Financial Corporation

Eagle Asset Management
Edward D. Jones & Co., L.P.
Federal Reserve Bank of New York
Fidelity Investments
Financial Services Institute
FINRA
FourBlock
GuideStone
Halyard Compliance LLC
Hightower Securities
Hilliard Lyons
HilltopSecurities
Hornor, Townsend & Kent, Inc
HSBC
Janney Montgomery Scott LLC
John Hancock Investments
Legg Mason Global Asset Management
Lincoln Financial Group
LPL Financial
MacKay Shields LLC
Mizuho Securities USA
MML Investors Services
Morgan Stanley Wealth Management
Nasdaq
National Financial Services
Northwestern Mutual Investment Services, LLC
OCC
OppenheimerFunds Inc.
Pacific Life Distributors
Pershing LLC, a BNY Mellon Company

PriceMetrix
Pricewaterhousecoopers (PwC)
Raymond James & Associates, Inc.
Raymond James Ltd.
RBC Capital Markets, LLC
Safra Securities LLC
Sage Ruddy & Company, Inc.
Scivantage
ScotiaMcLeod
ScotiaWealth
Scottrade, Inc.
Securities Commission of The Bahamas
Shenzhen Stock Exchange
State Street Bank & Trust Company
SunTrust Investment Services
Talisys
TCB Capital Markets
TD Ameritrade
The Securities Commission of The Bahamas
The Vanguard Group
Thomson Reuters
TIAA
TMX
Total Bank Solutions
Tradeweb Direct, LLC
U.S. Trust
UBS Financial Services, Inc.
Vanguard
Wells Fargo Advisors, LLC
William Blair

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