SIFMA is the voice of the U.S. securities industry. We represent the broker-dealers, banks and asset managers whose nearly 1 million employees provide access to the capital markets, raising over $2.9 trillion for businesses and municipalities in the U.S., serving clients with over $20 trillion in assets and managing more than $72 trillion in assets for individual and institutional clients including mutual funds and retirement plans. SIFMA, with offices in New York and Washington, D.C., is the U.S. regional member of the Global Financial Markets Association (GFMA). For more information, visit http://www.sifma.org.
SIFMA’s Sales Team is dedicated to working with you to develop a customized program to help you achieve your business objectives. Our unique organization presents you with the opportunity to engage key decision-makers in the capital markets at hundreds of financial services companies, from small and regional firms to the largest global players.

We are pleased to offer several opportunities to engage with our unique audience demographic:

- Strategic Partner Program
- Premium Associate Membership
- Sources: A Resource Directory
- SIFMA SmartBrief Suite
- SIFMA Dashboard
- SIFMA Conferences and Events
- Media Partnerships
- Network Group Partnerships

Our Premium Associate Members / Strategic Partners:
- Amazon Web Services
- Broadridge Financial Solutions, Inc.
- Deloitte
- EY
- FICO
- FIS
- Google Cloud
- Hearsay Systems
- IBM
- PwC
- Tata Consultancy Services

Our Strategic Partner:
- Fidelity Clearing & Custody Solutions

Our Premium Associate Members:
- American Express Company
- IHS Markit
- Protiviti
- Refinitiv

Just some of our past supporters include:
- Accounting/Consulting: Deloitte, EY, KPMG, PwC
- Banking/Asset Management: BNY Mellon, Charles Schwab, TD Ameritrade, Wells Fargo
- Clearing: DTCC, Pershing
- Data/Analytics: Refinitiv
- Exchanges: CBOE, NYSE, Nasdaq, OCC
- Law: Allen & Overy, Davis Polk, Greenberg Traurig, Schulte Roth & Zabel, Sidley Austin
- Media: American Banker, Barron’s, Wall Street Journal
- Social Media: Broadridge, Hearsay Systems, ProofPoint, Smarsh
- Technology and Operations: Broadridge, Google Cloud, IBM
- Trade Execution: MarketAxess

Opportunities to engage with our unique audience demographic:

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- Premium Associate Membership
- Sources: A Resource Directory
- SIFMA Dashboard
- SIFMA SmartBrief Suite
- SIFMA Events
- Media Partnerships
- Network Group Partnerships

Contact us:

SALES
Diana Serri
212.313.1258
dserri@sifma.org

MEMBER ENGAGEMENT
Tom Tierney
212.313.1237
ttierney@sifma.org
Zach Weaver
212.313.1113
zweaver@sifma.org

COMMUNICATIONS AND MARKETING
Emily Reinus
212.313.1339
ereius@sifma.org
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**SIFMA's Board of Directors, representing a sampling of our corporate members, includes:**

| • AB                                      | • Fidelity Management and Research, LLC                                      | • PNC Capital Markets         |
|                                          | • Advisor Group                                                            | • Raymond James               |
|                                          | • Ameriprise Financial, Inc.                                               | • Robert W. Baird & Co., Inc. |
|                                          | • B. Riley Wealth Management                                              | • Siebert Williams            |
|                                          | • Bank of America Merrill Lynch                                            | Shank & Co., LLC             |
|                                          | • Barclays                                                                | • Societe Generale            |
|                                          | • BNP Paribas                                                             | • Stifel                      |
|                                          | • Charles Schwab & Co., Inc.                                               | • TD Ameritrade               |
|                                          | • Citi                                                                    | • U.S. Bancorp                |
|                                          | • Credit Agricole                                                         | • UBS                        |
|                                          | • Credit Suisse Holdings                                                  | • Virtu Financial             |
|                                          | • D.A. Davidson                                                           | • Wells Fargo                 |
|                                          | • Deutsche Bank                                                           | • William Blair              |
|                                          | • Edward Jones                                                            |                             |

For a full list of SIFMA's corporate members, please visit [www.sifma.org/about/member-directory](http://www.sifma.org/about/member-directory)
SIFMA is a member-driven organization. As the voice for the U.S. securities industry, we convene financial professionals from hundreds of broker-dealers, investment banks and asset managers. Through our members’ work on our committees, we engage with policymakers and regulators through comment letters, testimony, research and more. SIFMA has 33 standing committees, 24 forums and 8 advisory councils overseen by 6 Board subcommittees.

**BOARD & BOARD SUBCOMMITTEES**

SIFMA’s staff and the president and CEO report to SIFMA’s Board of Directors, which manages the business and affairs of the association. The Board sets SIFMA’s priorities and determines positions on matters of public policy.

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**2020 Board of Directors**

There are between 36 and 40 Directors, exclusive of the president and CEO, at any given time whose three-year terms are staggered. The Board includes representatives from both broker-dealer and asset manager members.

- **Chair**: Joseph E. Sweeney, President, Advice & Wealth Management, Products and Services Delivery, Ameriprise Financial, Inc.
- **Chair Elect**: John F. W. Rogers, Executive Vice President, Chief of Staff and Secretary to the Board, Goldman Sachs & Co.
- **Vice-Chair**: Thomas Pluta, Co-Head of Global Rates Trading, JP Morgan Chase & Co.
- **Treasurer**: James Wallin, Senior Vice President, AB
- **Chair Emeritus**: James R. Allen, Chairman & CEO, Hilliard Lyons

The full Board may be found at [www.sifma.org/board](http://www.sifma.org/board).
COMMITTEE AND SOCIETY MEMBERS

C-Level Executives

<table>
<thead>
<tr>
<th>Role</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chair</td>
<td>2.0%</td>
</tr>
<tr>
<td>Chief Administrative Officer</td>
<td>2.0%</td>
</tr>
<tr>
<td>Chief Compliance Officer</td>
<td>0.8%</td>
</tr>
<tr>
<td>Chief Diversity Officer</td>
<td>2.4%</td>
</tr>
<tr>
<td>Chief Economist</td>
<td>1.7%</td>
</tr>
<tr>
<td>Chief Executive Officer/President</td>
<td>6.3%</td>
</tr>
<tr>
<td>Chief Financial Officer</td>
<td>5.6%</td>
</tr>
<tr>
<td>Chief Information Officer</td>
<td>1.7%</td>
</tr>
<tr>
<td>Chief Investment Officer</td>
<td>2.0%</td>
</tr>
<tr>
<td>Chief Legal Officer</td>
<td>2.0%</td>
</tr>
<tr>
<td>Chief Marketing Officer</td>
<td>0.8%</td>
</tr>
<tr>
<td>Chief Operating Officer</td>
<td>0.7%</td>
</tr>
<tr>
<td>Chief Regulatory Officer</td>
<td>4.3%</td>
</tr>
<tr>
<td>Chief Risk Officer</td>
<td>1.6%</td>
</tr>
<tr>
<td>Chief Technology Officer</td>
<td>14.6%</td>
</tr>
<tr>
<td>General Counsel</td>
<td>10.9%</td>
</tr>
</tbody>
</table>

Geographical Location

<table>
<thead>
<tr>
<th>Region</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Midwest (East North Central)</td>
<td>6.23%</td>
</tr>
<tr>
<td>Midwest (West North Central)</td>
<td>8.41%</td>
</tr>
<tr>
<td>Northeast (Mid-Atlantic)</td>
<td>7.02%</td>
</tr>
<tr>
<td>Northeast (New England)</td>
<td>0.82%</td>
</tr>
<tr>
<td>South (East South Central)</td>
<td>15.34%</td>
</tr>
<tr>
<td>South (South Atlantic)</td>
<td>2.26%</td>
</tr>
<tr>
<td>South (West South Central)</td>
<td>2.52%</td>
</tr>
<tr>
<td>West (Mountain)</td>
<td>4.60%</td>
</tr>
<tr>
<td>West (Pacific)</td>
<td>52.79%</td>
</tr>
</tbody>
</table>
SIFMA invites you to join us as a Strategic Partner. Strategic Partners have special access to senior-level decision-makers at SIFMA’s member firms – hundreds of securities firms, banks, and asset managers. Partner benefits include:

- Year-round, sustained exposure at SIFMA’s leading industry events.
- Featured presence on SIFMA’s website.
- Direct marketing opportunities to SIFMA’s membership.

Sources: A Resource Directory
Featured space in “Sources,” an easy-to-use buyer’s guide of products and services for the securities and financial industry. Sources grants your firm exposure to hundreds of financial services firms – it is featured on SIFMA’s website, which receives over 100k unique visits each month from a range of decision-makers at our member firms.

Thought Leader Library
Partners are offered two submissions to SIFMA’s Thought Leadership Library. SIFMA’s Thought Leader Library is a repository of original content generated and used by SIFMA Members, relating to critical issues in the financial services sector. The Library is visited several hundred times each month, and includes articles, white papers, research, case studies, webcasts/multi-media, presentations, briefing papers, surveys and other original content. Note: SIFMA member firms are entitled to three submissions to the Library as a benefit of SIFMA membership; this Strategic Partner benefit is incremental, for a total of five submissions.

Advertising in SIFMA’s Dashboard
Partners are offered two complimentary advertising opportunities in SIFMA’s Dashboard, each a minimum $1,000 value. Advertisements are available in a banner form. SIFMA’s Dashboard reaches 10k unique subscribers, in asset management, derivatives, municipal securities, private client & wealth management, securitization, and more.

Direct Mailings
Strategic Partners can send one promotional flyer or brochure annually to a targeted selection of SIFMA members. SIFMA will work with you to customize the mailing list by selecting criteria such as title, firm and past event participation (all materials subject to SIFMA approval).
**Sponsorship at All SIFMA Events**

Strategic Partners are recognized at all SIFMA events on conference signage, event website and event app, as well as in SIFMA’s heavily-utilized Conference Center, visited by over 6,500 industry professionals annually.

**Discounted and Preferred Exhibit Space**

Once a Strategic Partner has applied their allowance towards events and opportunities of their choosing, a 10% discount is applied towards any additional a la carte sponsorship investments. Strategic Partners gain maximum exposure at SIFMA events by selecting preferred exhibit space where applicable.

**Preferred Seating at Signature Events**

Strategic Partners are extended an opportunity to host a table of ten conference delegates in a preferred location at the SIFMA’s Annual Meeting luncheon program. Senior executives will also be invited to sit at a reserved VIP table at Signature Events including the Operations Conference & Exhibition, Private Client Conference, etc.

**Complimentary Event Registrations**

SIFMA will extend ten complimentary registrations annually to any public SIFMA event. These registrations can be extended to colleagues and/or clients and prospects, allowing for a broader networking opportunity. These registrations are in addition to the registrations offered with any selected sponsorships; they do not apply to the Securities Industry Institute.

**Conference Attendee Lists**

Strategic Partners receive a mailing list of attendees at each SIFMA event (name, firm, title and mailing address only) for use in a one-time mailing.

**Complimentary Event Space**

Three times annually, Strategic Partners have opportunity to host a private event using SIFMA’s state-of-the-art Conference Center at our New York City offices (food, beverages, equipment rentals, staffing and supplies are at the expense of the Partner; space will be reserved based on availability; attendance cannot exceed 120 people).

Please contact Diana Serri at dserri@sifma.org for more information.
SIFMA is pleased to offer an enhanced level of participation known as Premium Associate Membership (PAM). This opportunity provides custom-tailored partnership offerings focused on benefits such as:

- Engagement with SIFMA committees and working groups – PAM members will identify specific groups of interest and will have opportunities ranging from thought leadership presentations to advisory roles
- Speaking spots at conferences and events – subject matter experts from PAM members will be invited to speak on numerous programs throughout the year, showcasing thought leadership to SIFMA members, your clients and potential clients
- Introductions to key individuals at committee meetings, conferences, VIP networking receptions and other exclusive events
- Opportunities to address senior leaders of banks, broker-dealers and asset managers through participation in our suite of Roundtables
- Co-branded seminars – PAM members can develop a half-day seminar highlighting thought leadership, and market to SIFMA’s Full member firms, to showcase their subject matter expertise
- Securities Industry Institute (SII) – SII is the premier executive development program for securities industry professionals, and PAM members may have the opportunity to engage in this program, both to network on behalf of the firm and for invaluable career development

Premium Associate Membership is often combined with our Strategic Partner Program for added benefit. Please contact Tom Tierney at ttierney@sifma.org for more information.
Sources, compiled by SIFMA, is an easy-to-use buyer’s guide of products and services for the securities and financial industry. Sources grants your firm exposure to hundreds of financial services firms and is featured on SIFMA’s website.

Strategic Partners and Associate Members are included as part of their partnership with SIFMA. If you are not a Strategic Partner or Associate Member, you are still welcome to apply for a fee.
SIFMA offers the Dashboard, a snapshot of the week ahead, economic news, and happenings at SIFMA. We reach 10k unique subscribers, with highly-engaged audiences in asset management, derivatives, municipal securities, private client & wealth management, securitization, rates and more. Advertisements are available in tile or banner form, each starting a minimum $1,000 value.

<table>
<thead>
<tr>
<th>Name</th>
<th>Distribution Frequency</th>
<th>Subscribers</th>
</tr>
</thead>
<tbody>
<tr>
<td>SIFMA Dashboard</td>
<td>Weekly</td>
<td>10k</td>
</tr>
</tbody>
</table>

**Ad Specs**

Advertisements are available in Billboard form:

**Billboard Ad:**
- Size: 970 x 250 pixels
- Max k: 250k
- File type: jpg or gif
- No animation
SIFMA Smartbrief is a concise, comprehensive briefing on top industry news that drives best-in-class click through rates and consistent reader engagement.

**SIFMA SmartBrief**
A daily snapshot of the capital markets  
**Frequency:** Daily (Monday to Friday)  
**Subscriber Count:** 56k

**SIFMA SmartBrief: AMG Edition**
A weekly digest of curated and thoughtful pieces on the evolution of the asset management industry  
**Frequency:** Weekly (Tuesday)  
**Subscriber Count:** 15k

**SIFMA SmartBrief: Ops/Tech Edition**
News on the capital markets for operations and technology professionals  
**Frequency:** Weekly (Thursday)  
**Subscriber Count:** 12k

### Subscribers by Company Type
- Securities Firms: 45%
- Banks/Trusts: 25%
- Asset Management/Hedge Funds: 25%
- Clearing Firm & Exchanges: 10%
- Other (Consultants, Law Firms, IT): 5%

### Subscribers by Position Function
- Front Office Decision Makers: VP/SVP/EVP, Managing Directors, Brokers, Financial Advisors & Planners: 55%
- Back Office Decision Makers: Company Mgmt (C-level, CIO/COO/CTO/CFO, President): 35%
- Other: 10%
Advertising & Content Marketing Opportunities

SIFMA Event Packages

Reach a targeted audience using our customized packages for SIFMA’s best-in-class events, including the SIFMA Annual Meeting, Compliance & Legal Annual Seminar and Operations Conference & Exhibition. We offer multiple packages which can be customized to maximize your firm’s marketing goals and objectives.

For more information, please contact Diana Serri at dserri@sifma.org.

Display & Native Advertising

Billboard, rectangle-text and featured content advertisements are available directly through SmartBrief. Please contact Abiy Bekele, Associate Publisher at 646.462.4527 or abekele@smartbrief.com for more information.

**Billboard**
- Size: 970 x 250 pixels. 250k maximum; GIF or JPEG
- Click Through URL
- Alternate text (100 characters maximum) can be
- Embedded behind image
- No animation

**Rectangle-Text**
- Logo Image: 120 x 60 pixels. 30k maximum; GIF or JPEG
- Click Through URL
- Ad Image: 180 x 150 pixels. 30k maximum; GIF or JPEG
- Headline: 40 characters, excluding spaces
- Copy: 250 characters maximum, excluding spaces
- Click Through URL
- Report can fit a maximum of three Rectangle-Text ad units

* Ads subject to availability; ad run dates served on a first-come, first-serve basis. Ads must be placed within one month of the sponsored event (30 days prior and after) or special update. Does not apply to the Securities Industry Institute (SII).
SIFMA delivers nearly 100 events every year to local, regional and international audiences, providing thought leadership, critical industry analysis, networking and professional development opportunities for employees at our member firms. Partnering with SIFMA offers your firm continuous visibility within our membership and enables you to target a specific group within our broad audience.

Example Targeted Opportunities

- **Securities Industry Institute**: March 8-13, 2020 - Wharton School of the University of Pennsylvania, Philadelphia, PA [https://www.sifma.org/event/sii](https://www.sifma.org/event/sii)
  The premier executive development program for securities industry professionals, held in partnership with The Wharton School at the University of Pennsylvania
  - **Attendees**: High-potential, rising talent from across the securities industry, especially including marketing, sales and operations professionals
  - **2019 Delegates**:

    ![SII 2019](chart)

    - C-Level 3%
    - Senior Executive 42%
    - Vice President 22%
    - Director 22%
    - Manager 8%
    - AVP 1%
    - Other 2%

  The elite gathering of compliance and legal professionals to engage with leading industry experts and discuss the latest regulatory developments and industry trends
  - **Attendees**: Compliance and legal executives, including senior compliance officers, in-house counsel and outside counsel
  - **2019 Delegates**:

    ![C&L Annual Seminar 2019](chart)

    - In-House Counsel/Senior Compliance Officers and Senior Executives 55%
    - Outside Counsel / Sr. Law Firm Partners 40%
    - Consultants 2%
    - Senior Regulators 3%
Example Targeted Opportunities

- **SIFMA Operations Conference & Exhibition:** April 21–24, 2020 - Marriott Marquis, San Diego, CA
  
  The trusted resource for leading operations professionals for over 40 years
  
  - **Attendees:** Professionals in front-, middle- and back-office operations, compliance, risk management and technology across all asset classes
  
  - **2010 Delegates:**

- **SIFMA Annual Meeting:** October 20–21, 2020 - Conrad Hotel, Washington, DC
  
  SIFMA’s marquee event gathers senior industry leaders, policymakers, regulators and financial media and affords sponsors unprecedented business development opportunities.
  
  - **Attendees:** Financial services industry executives – including 75 chairmen, CEOs and presidents, 18 chief compliance officers and 17 chief operating officers – as well as business practitioners from capital markets, wealth management and asset management, legal and compliance professionals, operations and technology professionals, regulators, legislators and the financial media
  
  - **2019 Delegates:**
Media partnerships are effective and low-cost co-marketing tactics to reach targeted audiences at SIFMA’s events and webinars, raising a publication’s brand awareness and growing its subscriber base.

**Example Media Partnership:**

<table>
<thead>
<tr>
<th>The Media Partner</th>
<th>SIFMA receives</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Is listed on the Media Partners page for the agreed SIFMA event (logo and description with hyperlink to media partner’s web site).</td>
<td>1. A banner or button ad with hyperlink to SIFMA from the home page of the Media Partner’s web site, run from the date of the contract through the date of the event.</td>
</tr>
<tr>
<td>2. Logo is added to the conference notebook.</td>
<td>2. A print advertisement in the Media Partner’s print publication.</td>
</tr>
<tr>
<td>3. Receives one complimentary newsletter promotion, a minimum $1,000 value (select from SIFMA’s Dashboard; SIFMA SmartBrief advertisements available for an additional fee).</td>
<td>3. The agreed SIFMA event with hyperlink listed on the Media Partner’s calendar of events.</td>
</tr>
<tr>
<td>4. Can distribute publication at the media partner’s table at the agreed SIFMA event.</td>
<td>4. A print ad included in the Media Partner’s newsletters, newspapers and magazines.</td>
</tr>
<tr>
<td>5. Receives a post-conference attendee list (name, title, firm and address ONLY).</td>
<td>5. The Media Partner to send an email to their member/subscriber list on behalf of SIFMA.</td>
</tr>
<tr>
<td>6. Receives 1 to 2 complimentary event passes.</td>
<td>------------------------------------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
SIFMA partners with network groups that share our commitment to thought leadership, innovation through diverse perspectives, and building stronger and successful communities.

**Example Network Group Partnership:**

<table>
<thead>
<tr>
<th>The partner receives</th>
<th>The partner</th>
</tr>
</thead>
</table>
| • Complimentary use of our New York Conference Center, at a time and date mutually agreed upon with the network group and SIFMA (any Catering and Security fees to be paid by the network group).  
• One complimentary newsletter promotion for the agreed event in SIFMA’s Dashboard.  
• Two complimentary event passes to attend a related SIFMA event. | • Distributes one email to their subscriber database on behalf of SIFMA, or includes in their newsletter or similar marketing channel, featuring a SIFMA event.  
• Distributes one email to their subscriber database on behalf of SIFMA, featuring a SIFMA product or service.  
• Mentions an upcoming SIFMA event or distributes a printed SIFMA brochure at the agreed network group event to be held at the SIFMA Conference Center. |
SIFMA reserves the right to change any advertising or sponsorship offerings at any time with or without cause and without notice. In no event shall SIFMA be liable for indirect, incidental, consequential, special or exemplary damages such as but not limited to, loss of revenue or lost business. Certain Terms and Conditions may apply.