



FINANCIAL MANAGEMENT SOCIETY



NATIONAL CONFERENCE ON THE SECURITIES INDUSTRY

OCTOBER 17–18, 2018
NEW YORK LAW SCHOOL, NYC

SPONSORSHIP OPPORTUNITIES



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Co-hosted by the American Institute of Certified Public Accountants (AICPA) and the SIFMA Financial Management Society (SIFMA FMS), the National Conference on the Securities Industry features senior executives on the latest developments in securities regulation, auditing and accounting requirements.

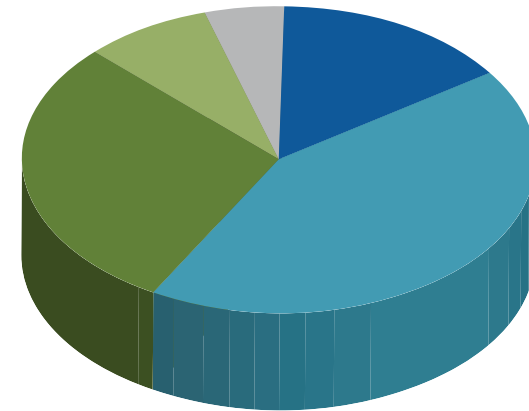
Discussions will include:

- A senior executive's view of the securities industry
- The analyst perspective of the banking and securities industries
- Recent and pending accounting and auditing pronouncements from FASB and industry experts
- PCAOB feedback on inspections of broker-dealer audits
- Open Q&A session with representatives from the SEC, FINRA and CFTC

Target Audience: Senior level professionals responsible for finance, accounting and regulatory issues representing Member Firms from SIFMA and The American Institute of Certified Public Accountants (AICPA). Anticipated number of participants: 300.

Our goal is to provide participants with the opportunity to participate in very timely and interactive sessions that address current industry issues as well as to provide a forum for networking among the finance, accounting and regulatory professionals attending this conference. Please join us in sponsoring this important conference!

2017 FMS-AICPA NATIONAL CONFERENCE DELEGATE PROFILE



- C-Suite - 15%
- Managing Director/Senior Execs - 43%
- Vice President/Director - 29%
- General Counsel/Attorney - 8%
- Other (includes government officials and academics) - 5%

To reserve your sponsorship, please contact:

Tamara Tondu | 212.313.1240 | ttondu@sifma.org
Senior Associate, Conference and Event Sales | SIFMA

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Lectures. Networking. Market Intelligence

35

A Prestigious List of Over **35** Speakers

16

16 Essential Panels for Senior Executives responsible for Finance, Accounting and Regulatory Issues

250+

250+ Industry Leaders Participating

SPONSORSHIP PACKAGES	DIAMOND SPONSOR	PLATINUM SPONSOR	GOLD SPONSOR	SILVER SPONSOR
Advance Use of Attendee List	4 Weeks	4 Weeks	4 Weeks	4 Weeks
Company name and logo on all marketing collateral - website, signage and agenda	✓	✓	✓	✓
1 Full Color Marketing Brochure to be inserted on the website and digital event app	✓	✓	✓	✓
150-word company description published on the IAS Annual website and event app	✓	✓	✓	✓
Number of Complimentary registrations	2 (value \$2,000 member/ \$2,600 non-member)	2 (value \$2,000 member/ \$2,600 non-member)	1 (value \$1,000 member/ \$1,300 non-member)	N/A
Number of Reduced Rate registrations	1 (50% discount)	N/A	N/A	1 (50% discount)
Dedicated Tabletop exhibit area				
2018 Sponsorship Cost	\$10,000 SIFMA Member Rate	\$8,000 SIFMA Member Rate	\$5,500 SIFMA Member Rate	\$4,500 SIFMA Member Rate
	\$11,500 Non-Member Rate	\$9,500 Non-Member Rate	\$6,500 Non-Member Rate	\$5,500 Non-Member Rate

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Available Sponsorship Opportunities

DIAMOND	Sponsorship	
<p>Investment</p> <p>\$10,000 SIFMA MEMBER RATE</p> <p>\$11,500 NON-MEMBER RATE</p> <p>Benefits Include</p> <ul style="list-style-type: none"> • Two Conference Registrations • One Reduced Registration (50% discount) • Table Display & Two (2) Table Personnel Registrations 	<p>VIP President's Dinner</p> <p>Attendees will include committee members, speakers and other senior accounting regulatory and financial distinguished guests.</p> <p><i>In addition Includes Two Dinner Invitations</i></p>	<p>SOLD</p> <p>Thursday, October 18, 2018</p> 

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Available Sponsorship Opportunities

PLATINUM	Sponsorship	
<p><u>Investment</u></p> <p>\$8,000 SIFMA MEMBER RATE \$9,500 NON-MEMBER RATE</p> <p><u>Benefits Include</u></p> <ul style="list-style-type: none"> • Two Conference Registrations • Table Display & Two (2) Table Personnel Registrations 	<p>General Session Audio Visual & Live Video Webcast</p> <p>Exclusive Sponsorship of the General Session Audio Visual provides your firm with prominent branding on signage and program material. Logo with a link to your website on the live video webcast webpage. Sponsorship recognition during open remarks</p>	<p>Available Wednesday, October 17, 2018</p> <p>Available Thursday, October 18, 2018</p>
	<p>Lunch</p> <p>Networking Buffet Lunch that includes prominent brand recognition, buffet stations along with refreshments, allowing for one-on-one networking opportunities with industry colleagues.</p>	<p>Available Wednesday, October 17, 2018</p> <p>SOLD Thursday, October 18, 2018</p> 
	<p>Reception</p> <p>Networking reception that includes prominent brand recognition, open bar and hors d'oeuvres set in a relaxed atmosphere offering attendees the opportunity to network one-on-one with industry colleagues.</p>	<p>SOLD Wednesday, October 17, 2018</p> 

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GOLD	Sponsorship	
<p>Investment</p> <p>\$5,500 SIFMA MEMBER RATE</p> <p>\$6,500 NON-MEMBER RATE</p> <p>Benefits Include</p> <ul style="list-style-type: none"> • One Conference Registration • Table Display & Two (2) Table Personnel Registrations 	<p>Continental Breakfast</p> <p>Networking breakfast opportunity offering prominent brand recognition and a variety of healthy breakfast choices along with hot coffee and tea, during one-on-one networking with industry colleagues.</p>	<p>SOLD</p> <p>Wednesday, October 17, 2018</p>  <p>Available</p> <p>Thursday, October 18, 2018</p>
	<p>Cell Phone Re-Charge Zone</p> <p>Showcase your company, while providing attendees with this much-needed service. This promotion opportunity will allow your company to be branded on the charging station kiosk as well as via video messaging. The recharge zone will be strategically placed within the sponsor showcase area.</p>	<p>Available</p> <p>Wednesday, October 17, 2018</p> <p>Available</p> <p>Thursday, October 18, 2018</p>

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SILVER	Sponsorship		
<p>Investment \$4,500 SIFMA MEMBER RATE \$5,500 NON-MEMBER RATE</p> <p>Benefits Include</p> <ul style="list-style-type: none"> • One Reduced Rate Registration (50% discount) • Table Display & Two (2) Table Personnel Registrations 	<p>Networking Morning Refreshment Break</p> <p>Networking Afternoon Refreshment Break</p> <p>Networking refreshment break, that includes prominent brand recognition and a variety of healthy snacks, during one-on-one networking with industry colleagues.</p>	<p>Wednesday, October 17, 2018</p> <p>Available</p> <p>SOLD</p> <p>NEC</p>	<p>Thursday, October 18, 2018</p> <p>Available</p> <p>Available</p>
	<p>Digital Event Guide</p> <p>Sponsoring firm’s banner ad to be featured on screen and linked to an online ad (PDF). The digital event guide includes a program agenda, schedule, list of speaker and bios, sponsoring firms with their company profiles.</p>	<p>SOLD</p> 	
	<p>Badge Lanyard</p> <p>SIFMA pre-approved badge lanyard produced by sponsoring form and distributed with registration materials to all conference participants during registration.</p>	<p>SOLD</p> 	
	<p>Attendee Tote Bag</p> <p>SIFMA pre-approved tote bag distributed to all attendees during registration. Sponsoring firm responsible for production and delivery of tote bags.</p>	<p>Available</p>	

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SIFMA's FMS-AICPA National Conference on the Securities Industry Sponsorship Package offers maximum value with the following benefits:

Pre- Conference Benefits

- Complimentary Full Conference Registration(s) (up to a \$1,000 Member/\$1,300 Non-Member value per value!) per registrant
- Pre-Conference marketing exposure listing company name, prominent placement of logo and firm profile on conference website.
- Preliminary lists of all participants who opt in to share their personal data sent in electronic format in advance of the conference that includes participants name, title, firm affiliation and postal address, sent in advance of the conference. Individual Job title and firm name of those who do not opt in will be included on the preliminary list as well.

Day of Seminar Benefits

- Access to food and networking functions
- Prominent brand recognition during the conference, with logo displayed on dedicated signage, that includes both print and digital formats, strategically placed in various outlets that include registration area, general session slide deck, etc.
- Company listing and description on Conference Website.

Post- Seminar Benefits

- Listing company name, placement of logo and firm profile on Conference Website following the event for an additional three (3) months.
- Complete lists of all participants who opt in to share their personal data sent in electronic format in advance of the conference that includes participants name, title, firm affiliation and postal address, sent in advance of the conference. Individual Job title and firm name of those who do not opt in will be included on the preliminary list as well.

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Participating Firms

ABN AMRO Clearing Chicago LLC
 American Financial Exchange
 American Institute of CPAs (AICPA)
 AxiomSL
 Bank of America Merrill Lynch
 Barclays
 BB&T Securities, LLC
 BBVA Securities Inc.
 BDO USA, LLP
 Bloomberg BNA
 BMO Capital Markets Corp.
 BMO Capital Markets Corp.
 BNP Paribas Prime Brokerage, Inc.
 Broadridge Business Process Outsourcing, LLC
 BrokerTec Americas LLC
 Brown Brothers Harriman & Co.
 Cadwalader, Wickersham & Taft LLP
 CFO Financial Partners
 Charles Schwab & Co., Inc.
 Citi
 Citigroup Inc.
 Citrin Cooperman
 Cleary Gottlieb Steen & Hamilton LLP
 CME Group
 Corporate Secretary
 Coviello Vito LLC
 Cowen, Inc.
 Cowen, Inc.
 Credit Suisse Securities (USA) LLC
 Crowe Horwath LLP

Dash Regulatory Technologies LLC
 Deloitte
 Depository Trust & Clearing Corporation (DTCC)
 Deutsche Bank Securities Inc.
 Dixon Hughes Goodman, LLP
 Edward D. Jones & Co., L.P.
 EisnerAmper LLP
 Ensign Peak Advisors
 Ernst & Young LLP
 Fidelity Investments
 Financial Accounting Standards Board (FASB)
 Financial Industry Regulatory Authority Inc (FINRA)
 Florida State Board of Administration
 FMR LLC
 FOLIOfn Investments, Inc.
 Goldman, Sachs & Co.
 Goldman, Sachs & Co.
 Grant Thornton LLP
 Guggenheim Partners, LLC
 Hilltop Securities Inc.
 IBM Corp
 ICAP Securities USA LLC
 Infinex Financial Group
 ING Financial Services LLC
 ITG Inc.
 J.P. Morgan Securities LLC
 Jane Street Capital, LLC
 Jefferies LLC

JPMorgan Chase & Co.
 KGS-Alpha Capital Markets, LP
 Kobre & Kim LLP
 KPMG LLP
 Leerink Partners LLC
 Leumi Investment Services Inc.
 Liquidnet, Inc.
 Lloyds Securities Inc.
 MacKay Shields LLC
 Merrill Lynch Professional Clearing Corp.
 Mizuho Securities USA Inc.
 MML Investors Services, LLC
 Morgan Stanley & Co. LLC
 Morgan, Lewis & Bockius LLP
 Morrison, Brown, Argiz & Farra, LLP
 MUFG Securities Americas Inc.
 National Financial Services LLC
 Natixis Securities Americas LLC
 Neuberger Berman LLC
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 Nomura Securities International, Inc.
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RBC Capital Markets, LLC
 RSM US LLP
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 Schiff Hardin LLP
 Scottrade Financial Services, Inc.
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 SK Advisory
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 TD Ameritrade Holding Corporation
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 U.S. Commodity Futures Trading Commission (CFTC)
 UBS Financial Services Inc.
 UBS Securities LLC
 US Securities and Exchange Commission (SEC)
 Vanguard Brokerage Services
 Virtu Americas LLC
 VTB Capital Inc.
 Wells Fargo & Company
 Wells Fargo Securities, LLC
 WithumSmith+Brown
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