



# C&L2019 ANNUAL SEMINAR

MARCH 24-27 | JW MARRIOTT DESERT RIDGE, PHOENIX, AZ



## SPONSORSHIP & EXHIBITOR PROSPECTUS

SPONSORSHIP

EXHIBIT & ADVERTISE

2018 PARTICIPANTS

To reserve your sponsorship, contact:

**Diana Serri** | 212.313.1258 | [dserri@sifma.org](mailto:dserri@sifma.org)

Vice President, Head of Exhibit and Sponsorship Sales | SIFMA



## An Annual Event you can't afford to miss with



### About SIFMA

SIFMA is the leading trade association for broker-dealers, investment banks and asset managers operating in the U.S. and global capital markets. On behalf of our industry's nearly 1 million employees, we advocate on legislation, regulation and business policy, affecting retail and institutional investors, equity and fixed income markets and related products and services. We serve as an industry coordinating body to promote fair and orderly markets, informed regulatory compliance, and efficient market operations and resiliency. We also provide a forum for industry policy and professional development. 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>.

### About SIFMA's Compliance & Legal Society

SIFMA's Compliance & Legal Society is the leading forum for compliance and legal professionals working in the financial services industry. The Society provides a platform for industry leaders and regulators to come together to share information and collaborate with the goal of ensuring our capital markets are the most fair, transparent and ethical in the world.

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## SIFMA C&L 2019 Annual Seminar - Sponsorship Opportunities

SIFMA's marquee event is designed for the Financial Services Compliance & Legal professionals to engage with leading industry experts and discuss the latest regulatory developments and industry trends.

### The Audience

The Annual Seminar attracts senior compliance and legal executives, decision makers and/or influencers of products and services their firms will purchase over the next year. During the 2018 Seminar, there were 2,000 registered participants in attendance.

### Sponsors & Exhibitors

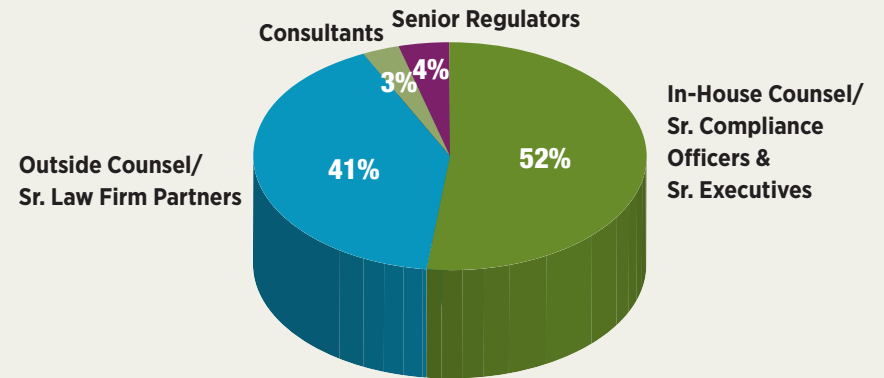
Law Firms, Consulting Firms and Service Providers who specialize in compliance and legal products and/or services are invited to exhibit and sponsor at this Annual Seminar. Industry vendors in fields such as compliance, surveillance systems, litigation, document management support, training and consulting are of prime interest to this targeted audience. Law firms who have an interest in supporting the event are encouraged to review the various sponsorship opportunities that are available and in addition to sponsorship, are invited to participate as an exhibitor.

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### C&L 2018 ANNUAL SEMINAR ATTENDEE PROFILE





# C&L 2019 ANNUAL SEMINAR

MARCH 24-27 | JW MARRIOTT DESERT RIDGE, PHOENIX, AZ



## SIFMA's C&L 2019 Annual Seminar Sponsorship Package offers maximum value with the following benefits:

### Pre-Seminar Benefits:

SIFMA's C&L 2019 Annual Seminar is a heavily marketed event that reaches more than 75,000 individuals throughout the 9-month Marketing Campaign. Sponsors will benefit from pre-marketing exposure that will include:

- Prominent placement of logo on SIFMA's dedicated emails, which include campaigns highlighting dates, program, etc. targeting more than 75,000 individuals
- Prominent placement of logo and firm profile on the Annual Seminar website
- Opportunity to link thought leadership to the event website
- Preliminary mailing lists of seminar participants who opt-in during the registration process will be shared with all sponsors. Information will be sent in electronic format four (4) weeks in advance of the seminar. Individuals who do not opt-in will be included on the preliminary list, however only Firm Name & Titles will be listed.

### Days of Seminar Benefits:

- Complimentary and/or Discounted Seminar Registration(s)
- Access to hotel rooms at the hosted venue. A block of rooms has been reserved for Annual Seminar Sponsors and Exhibitors. Room charges, including taxes and service fees will be at each individual's own expense. All reservations are based on availability
- Prominent brand recognition during the sponsored function (if applicable) with firm logo displayed on dedicated signage. Includes both print and digital formats strategically placed in various locations that include registration, general session slide deck, etc.
- Promotional brochure included on C&L Mobile App. The C&L 2019 Mobile App will be available to all registered participants downloading on all mobile devices during the event
- Dedicated sponsor listing placed on the Annual Seminar Website and Mobile App which includes company logo, contact name and company profile

### Post-Seminar Benefits:

- Company listing and firm description on the Annual Seminar website
- Final lists of seminar participants who opt-in during the registration process will be shared with all sponsors. Information will be sent in electronic format four (4) weeks post event. Individuals who do not opt-in will be included on the preliminary list, however only Firm Name & Titles will be listed.
- Acknowledgement of sponsorship, with placement of logo on all post-event marketing & survey email campaigns that include "SIFMA Thank You for Attending" and "Survey" emails.

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## Sponsorship Benefits

| SPONSORSHIP BENEFITS   | PRESIDENTIAL                              | DIAMOND                                      | PLATINUM                                     | GOLD   | SILVER                                       | BRONZE                                       | PREMIUM PATRON                            |
|--|---|--|--|--|--|--|---|
| <b>Pre-Seminar Benefits</b>  |   |  |  |  |  |  |   |
| Prominent placement of logo on SIFMA's dedicated sends throughout the 9-month marketing campaign   | √   | √  | √  | √  | √  | √  | √   |
| Opportunity to link thought leadership to the event website  | √   | √  | √  | √  | √  | √  | √   |
| Preliminary mailing lists of all seminar participants who opt in to share their contact details will be sent in electronic format, sent four (4) weeks in advance of the seminar | √   | √  | √  | √  | √  | √  | √   |
| Menu of sponsorship offerings available to choose from included in a tier sponsorship.   | √   | √  | √  | √  | √  | √  |   |
| Learning Lab Sessions (limited opportunities) - additional investment Required.  | √   | √  | √  | √  | √  | √  | √   |
| Lunch & Learn Sessions (limited opportunities) - additional investment Required.   | √   | √  | √  | √  | √  | √  | √   |
| <b>Days of Seminar Benefits</b>  |   |  |  |  |  |  |   |
| Total Complimentary Registrations Offered  | 4   | 2  | 1  | 1  | 1  | x  | x   |
| Total Discounted Registration (s) Offered  | 3   | 2  | 2  | 1  |  | 1  | 1   |
| Total Complimentary Guest/Significant Other Registrations Offered  | 1   | 1  | 1  | x  | x  | x  | x   |
| Access to Hotel Rooms at the hosted venue (all related fees are the responsibility of the individual utilizing these rooms)  | 7   | 4  | 3  | 2  | 2  | 1  | 1   |
| Promotional brochure in pdf format, included on C&L Mobile App   | √   | √  | √  | √  | √  | √  | √   |
| Dedicate Sponsor Listing placed on C&L 2019 Website & Mobile App   | √   | √  | √  | √  | √  | √  | √   |
| Dedicated Sponsorship listing by Tier in print & digital format, placed in various locations at the hosted venue.  | √   | √  | √  | √  | √  | √  | √   |
| <b>Post-Seminar Benefits</b>   |   |  |  |  |  |  |   |
| Company Listing and firm description on the C&L 2019 Annual Meeting Website  | √   | √  | √  | √  | √  | √  | √   |
| Complete mailing lists of all seminar attendees who opt in to share their contact details, sent in excel format sent at conclusion of the seminar.                               | √   | √  | √  | √  | √  | √  | √   |
| Acknowledgement of sponsorship, with placement of logo on all post-event marketing & survey email campaigns that include "SIFMA Thank You for Attending" and "Survey" emails.    | √   | √  | √  | √  | √  | √  | √   |
| <b>2019 Sponsorship Cost</b>   |   |  |  |  |  |  |   |
|  | \$50,000 Member<br>\$55,000<br>Non-Member | \$35,000<br>Member<br>\$40,000<br>Non-Member | \$28,500<br>Member<br>\$33,500<br>Non-Member | \$25,000<br>Member<br>\$30,000<br>Non-Member | \$18,500<br>Member<br>\$22,500<br>Non-Member | \$15,500<br>Member<br>\$18,500<br>Non-Member | \$10,500 Member<br>\$13,500<br>Non-Member |

To reserve your exhibit location, contact:

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## Sponsorship Tiers & Cost

### PRESIDENTIAL

The Presidential Tier offers a sponsoring firm an escalated level of sponsorship, which is determined by a firm's overall investment during the SIFMA C&L Annual Seminar, which includes investment of exhibit space, à la carte sponsorship, as well as branding and advertisement opportunities. Firms who invest in sponsorship of \$50,000 (Member Firm) / \$55,000 (Non-Member) or more will be escalated to this tier of sponsorship.

Investment:

\$50,000+ SIFMA Member Rate / \$55,000+ Non-Member Rate

All benefits associated with Diamond Tier, as well as...

- Two (2) additional Complimentary Seminar Registrations
- One (1) additional Discounted Seminar Registration
- Access to Three (3) additional hotel rooms

### DIAMOND

Benefits Include:

- Two (2) Complimentary Seminar Registrations
- Two (2) Discounted Seminar Registrations
- One (1) Complimentary Guest Registration
- Access to Four (4) Hotel Rooms

Investment:

\$35,000 SIFMA Member Rate / \$40,000 Non-Member Rate

### PLATINUM

Benefits Include:

- One (1) Complimentary Seminar Registration
- Two (2) Discounted Seminar Registrations
- One (1) Complimentary Guest Registration
- Access to Three (3) Hotel Rooms

Investment:

\$28,500 SIFMA Member Rate / \$33,500 Non-Member Rate

### GOLD

Benefits Include:

- One (1) Complimentary Seminar Registration
- One (1) Discounted Seminar Registration
- Access to Two (2) Hotel Rooms

Investment:

\$25,000 SIFMA Member Rate / \$30,000 Non-Member Rate

### SILVER

Benefits Include:

- One (1) Complimentary Seminar Registration
- Access to One (1) Hotel Room

Investment:

\$18,500 SIFMA Member Rate / \$22,500 Non-Member Rate

### BRONZE

Benefits Include:

- One (1) Reduced Rate Seminar Registration
- Access to One (1) Hotel Room

Investment:

\$15,500 SIFMA Member / \$18,500 Non-Member Rate

### PREMIUM PATRON

Benefits Include:

- One (1) Discounted Seminar Registration
- Access to One (1) Hotel Room

Investment:

\$10,500 SIFMA Member / \$13,500 Non-Member Rate

### EXHIBITOR

Benefits Include:

- Two (2) Complimentary Exhibit Personnel Registration - Offers access to Exhibition Hall Only
- One (1) Discounted Seminar Registration
- Access to Two Hotel Rooms

Investment:

\$9,500 SIFMA Member / \$12,500 Non-Member Rate

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## Sponsors

### PRESIDENTIAL



### DIAMOND

ALLEN & OVERY

BRESSLERAMERYROSS

CRAVATH

crowell moring

Davis Polk



KIRKLAND & ELLIS

Morgan Lewis

Paul | Weiss

ROPES & GRAY

SULLIVAN & CROMWELL LLP

### PLATINUM

accenture

AlixPartners  
when it really matters



CLEARY GOTTlieb

Moore & VanAllen

WACHTELL  
LIPTON  
ROSEN &  
KATZ

### SILVER



Debevoise & Plimpton

GOODWIN

Grant Thornton

KING & SPALDING

LATHAM  
LATHAM & WATKINS

NEAL GERBER EISENBERG

orrick

Skadden

WILMERHALE

### BRONZE

MURPHY & GONIGLE  
A Professional Corporation

O'Melveny

Schulte Roth & Zabel  
WWW.SRZ.COM

### PREMIUM PATRON

Drinker Biddle

Katten  
Katten Muchin Rosenman LLP

MAYNARD  
COOPER CALE

Nardello  
& Co.

SheppardMullin

Snell & Wilmer  
LAW OFFICES

VedderPrice

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## PRESIDENTIAL

### Investment

\$50,000+ SIFMA MEMBER RATE

\$55,000+ NON-MEMBER RATE

### All benefits associated with Diamond Tier plus

- Two (2) additional Complimentary Seminar Registrations
- One (1) additional Discounted Seminar Registration
- Access to Three (3) additional hotel rooms.

## Sponsorship

**\*Co-Branded Attendee Bag - SOLD!**

*Co-Branded Tote Bag produced by SIFMA and distributed to all participants during registration.*



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## DIAMOND

### Investment

\$35,000 SIFMA MEMBER RATE

\$40,000 NON-MEMBER RATE

### Benefits Include

- Two (2) Complimentary Seminar Registrations
- Two (2) Discounted Seminar Registrations
- One (1) Complimentary Guest Registration
- Access to Four (4) Hotel Rooms



## Sponsorship

### Audio Visual (Monday - Wednesday) - Available

*Prominent brand recognition of sponsorship included on General Session slide deck, viewed by all attendees as they enter the Ballroom each morning to listen to General Session Key Note Speaker presentations.*

### Evening Networking Reception

**Co-Sponsorship offered to Four (4) firms at each reception**

*Networking Receptions, which are scheduled for two (2) hours each evening, are set with hot & cold buffet stations, passed hors d'oeuvres and open bar. Each event will be set in an outdoor atmosphere (weather permitting) offering attendees the opportunity to come together and catch up on the day's events in an enjoyable, informal setting. **Open to all attendees.***

#### Sunday, March 24

**(2) SOLD!**  
**(2) Available**

#### Monday, March 25

**(3) SOLD!**  
**(1) Available**

#### Tuesday, March 26

**(3) SOLD!**  
**(1) Reserved**

### After Hours Reception - **(2) SOLD! (2) Available**

**Co-Sponsorship offered to Four (4) firms**

*After Dinner Cocktails and light fare, deserts and beverages, offering attendees an opportunity to come together and catch up on the day's events in an enjoyable setting.*

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## DIAMOND

### Investment

\$35,000 SIFMA MEMBER RATE

\$40,000 NON-MEMBER RATE

### Benefits Include

- Two (2) Complimentary Seminar Registrations
- Two (2) Discounted Seminar Registrations
- One (1) Complimentary Guest Registration
- Access to Four (4) Hotel Rooms

## Sponsorship

### Co-Branded Bottled Water (Exhibit Hall / Session Panels) – Available

*Co-Branded with SIFMA C&L Society, Bottled Water, available to all attendees during refreshment breaks throughout the seminar, as well as on all panel tables during breakout sessions branding sponsoring firm with logo displayed on each individual bottle.*

### WiFi for Attendees – Available

*Wi-Fi Access will be available to all C&L 2019 Seminar participants while in Convention Center of the JW Marriott Desert Ridge, acknowledging sponsoring firm with logo displayed on opening splash page viewed on all electronic devices and offers an opportunity to use a unique SSID which can be customized with the sponsoring firms name.*



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## PLATINUM

### Investment

\$28,500 SIFMA MEMBER RATE

\$33,500 NON-MEMBER RATE

### Benefits Include

- One (1) Complimentary Seminar Registration
- Two (2) Discounted Seminar Registrations
- One (1) Complimentary Guest Registration
- Access to Three (3) Hotel Rooms

## Sponsorship

### Badge Lanyard - **SOLD!**

Name badge lanyards are worn around the neck of each attendee to gain access to all sessions and event networking functions.

\*Co-Branded, pre-approved lanyards are produced by sponsoring firm and distributed with registration materials to all seminar participants. Charger Cord Lanyards Preferred.

### Charging/Networking Lounge - **SOLD!**

The C&L Charging Lounge is designed with comfortable seating, allowing individuals to charge their personal devices in a comfortable setting.

### Hotel Room Key Cards - **SOLD!**

Co-Branded Hotel Room Key Cards produced by SIFMA, distributed to all participants as they register for their hotel rooms - includes Sponsoring firm's logo printed on the face of each key card.



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## PLATINUM

### Investment

\$28,500 SIFMA MEMBER RATE

\$33,500 NON-MEMBER RATE

### Benefits Include

- One (1) Complimentary Seminar Registration
- Two (2) Discounted Seminar Registrations
- One (1) Complimentary Guest Registration
- Access to Three (3) Hotel Rooms



## Sponsorship

### Lunch

**Co-Sponsorship offered to two firms each day**

*Networking Buffet Lunch, offering sponsoring firm prominent brand recognition, set in an indoor/outdoor environment, allowing for one-on-one conversations with industry colleagues, clients and potential prospects.*

**Monday, March 25**  
**(2) Available**

**Tuesday, March 26**  
**SOLD!**

**Wednesday, March 27**  
**(2) Available**

### Mobile App - **SOLD!**

*The C&L Annual Seminar Mobile App offers a sponsoring firm maximum exposure with branding on the Mobile App Splash page, as well as on a dedicated rotating banner advertisement. This exclusive sponsorship opportunity is a downloadable app, at no additional cost to participants. The Mobile App captures all program materials including the meeting agenda, schedule, speaker bios, attendee list, sponsors and exhibitors, LinkedIn/Twitter options, and more.*

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## GOLD

### Investment

\$25,000 SIFMA MEMBER RATE

\$30,000 NON-MEMBER RATE

### Benefits Include

- One (1) Complimentary Seminar Registration
- One (1) Discounted Seminar Registration
- Access to Two (2) Hotel Rooms

## Sponsorship

### Continental Breakfast - 2 Co-Sponsorships Available on each day

*Networking opportunity offering prominent brand recognition, serving a variety of healthy breakfast choices along with hot & cold beverages, set in the Expo Area, allowing for one-on-one conversations with industry colleagues, clients and potential prospects.*

#### Monday, March 25

**(1) SOLD!**  
**(1) Available**

#### Tuesday, March 26

**(1) SOLD!**  
**(1) Available**

#### Wednesday, March 27

**(2) Available**

### Golf Tournament, Tuesday, March 26 - **SOLD!**

*Acknowledgment of Tournament Sponsorship includes signage strategically displayed on Golf Course Greens as well as on event-marketing materials which includes website sponsorship page, event app and event program materials. Sponsorship fees cover food, beverage and prizes for tournament participants as well as one complimentary foursome for sponsoring firm. Individual greens fees are pre-paid by each participant.*



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## SILVER

### Investment

\$18,500 SIFMA MEMBER RATE

\$22,500 NON-MEMBER RATE

### Benefits Include

- One (1) Complimentary Seminar Registration
- Access to One (1) Hotel Room



## Sponsorship

### NEW FOR 2019

#### SIFMA C&L 2019 Co-Branded Baseball Hats - Available

*Co-Branded Hats, produced by sponsoring firm, placed in attendee bag and distributed to all participants during registration.*

#### Charging Block - Available

*Co-Branded Charging Block, produced and provided by sponsoring firm, placed in attendee bag and distributed to all conference attendees during registration.*

#### Charging Stick - Available

*Co-Branded Charging Sticks, produced and provided by sponsoring firm, placed in attendee bag and distributed to all seminar participants during registration. Charging sticks are a great opportunity that offers additional brand awareness as the SIFMA C&L Annual Seminar is a paperless event that encourages attendees to use their handheld devices to download and access all event details placed on the Seminar App. Charging sticks will allow all participants to charge their devices on-the-go.*

#### Diversity Breakfast, Tuesday, March 26 - SOLD!

*Networking breakfast with a featured Speaker addressing issues and challenges firms are faced with in today's working environment. Sponsoring firm representatives are invited to sit at a reserved VIP table.*

#### Leadership and Diversity & Inclusion Lunch, Monday, March 25 - SOLD!

*Networking lunch with Featured Speaker.*

#### Women's Lunch, Tuesday, March 26 - SOLD!

*Networking lunch with a featured Speaker addressing issues and challenges women are faced with in today's working environment. Sponsoring firm representatives are invited to sit at one of the reserved VIP tables.*

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## SILVER

### Investment

\$18,500 SIFMA MEMBER RATE

\$22,500 NON-MEMBER RATE

### Benefits Include

- One (1) Complimentary Seminar Registration
- Access to One (1) Hotel Room



## Sponsorship

### Luggage Tags - **SOLD!**

*Co-Branded with SIFMA C&L, Luggage Tags allow your message to tag along with every SIFMA C&L Participant! Placed in the attendee bag, these premium luggage tag emblazoned with your firm's logo will receive repeated use on business or leisure travel. Your logo will be seen at the seminar and beyond. Luggage Tags produced and provided by sponsoring firm.*

### Morning Networking Refreshments

*Co-Sponsorship offered to 2 firms during each session. Networking opportunity offering prominent brand recognition, serving a variety of healthy snacks as well as hot and cold beverages, set in the Registration/Expo Area, allowing for one-on-one conversations with industry colleagues, clients and potential prospects.*

#### Monday, March 25

##### Session A

**(2) Available**

##### Session B

**(2) Available**

#### Tuesday, March 26

##### Session A

**(2) Available**

##### Session B

**(2) Available**

#### Wednesday, March 27

##### Session A

**(2) Available**

##### Session B

**(2) Available**

### Note Pads/Writing Tablet - **Available**

*Co-Branded Tablet, produced and provided by sponsoring firm, placed in attendee bag and distributed to all participants during registration.*

### Pocket Program Guide - **SOLD!**

*An at-a-glance program guide offers an opportunity to be an exclusive sponsor that attendees see each time they reference the pocket program guide.*

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## SILVER

### Investment

\$18,500 SIFMA MEMBER RATE

\$22,500 NON-MEMBER RATE

### Benefits Include

- One (1) Complimentary Seminar Registration
- Access to One (1) Hotel Room

## Sponsorship

### **Professional Headshot Photos, Monday & Tuesday - March 25 & 26 - **SOLD!****

*Professional Head Shots - Whether it's for LinkedIn, social media, or any other professional opportunity, a professional headshot offers participants an opportunity to convey a positive message about themselves to future clients, employers, and event participants.*

### **Run for a Purpose- Monday, March 25 - **SOLD!****

*Morning run/walk, organized by SIFMA, offers co-branded T-Shirts distributed to all participants, along with beverages & prizes. Donation to made to a TBD Charity. Details to be confirmed as the program develops.*

### **Smart Wallets - Available**

*Co-Branded Smart Wallets, produced and provided by sponsoring firm, placed in attendee bag and distributed to all participants during registration..*

### **Sport Bottle - **SOLD!****

*Co-Branded, environmental friendly sport bottle, produced and provided by sponsoring firm, placed in attendee tote bag and distributed to all participants during registration.*

### **Sun Screen - Available**

*Co-Branded Sun Screen Bottles, produced and provided by sponsoring firm, placed in attendee tote bag and distributed to all participants during registration.*

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## SILVER

### Investment

\$18,500 SIFMA MEMBER RATE

\$22,500 NON-MEMBER RATE

### Benefits Include

- One (1) Complimentary Seminar Registration
- Access to One (1) Hotel Room

## Sponsorship

### NEW FOR 2019

#### Tennis Tournament, Tuesday, March 26 - Available

*Acknowledgment of Tournament Sponsorship includes signage strategically displayed near Tennis Courts as well as on event-marketing materials which includes website sponsorship page, event app and event program materials. Sponsorship fees cover beverage and prizes for tournament participants, individual players are responsible for associated court fees.*

#### Welcome Hospitality, Sunday, March 24 - **SOLD!**

*Networking opportunity offering prominent brand recognition, serving a variety of healthy snacks as well as hot and cold beverages, set in the Registration/Expo Area, allowing for one-on-one conversations as industry colleagues, clients and potential prospects check in for the event.*



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## BRONZE

### Investment

**\$15,500 SIFMA MEMBER RATE**

\$18,500 NON-MEMBER RATE

### Benefits Include

- One (1) Discounted Seminar Registration
- Access to One (1) Hotel Room



## Sponsorship

### Daily Newspapers

Daily newspapers placed in high traffic location, offering convenient access for participants each morning.

Financial Times **Available**

New York Times **SOLD!**

Wall Street Journal **SOLD!**

### Specialty Coffee

**Co-Sponsorship offered to 2 firms each day**

Offering a variety of coffee that includes hot, iced, flavored, espresso, etc., served each day in the Exhibition Hall during peak hours for attendees to access continuously throughout each morning.

**Monday, March 25**  
10:00 a.m. – 1:00 p.m.  
**(2) Available**

**Tuesday, March 26**  
10:00 a.m. – 1:00 p.m.  
**(2) SOLD!**

**Wednesday, March 27**  
10:00 a.m. – 1:00 p.m.  
**(2) Available**

### Afternoon Hospitality

Networking opportunity offering prominent brand recognition, serving a variety of healthy snacks as well as cold beverages that includes iced tea, lemonade, water, etc. allowing for one-on-one conversations as industry colleagues, clients and potential prospects take some time for some well deserve R&R and enjoy the company of their professional peers.

**Monday, March 25**  
2:00 p.m. – 4:00 p.m.  
**Available**

**Tuesday, March 26**  
2:00 p.m. – 4:00 p.m.  
**Available**

To reserve your sponsorship, contact:

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## PREMIUM PATRON

### Investment

**\$10,500 SIFMA MEMBER RATE**

\$13,500 NON-MEMBER RATE

### Benefits Include

- One (1) Discounted Seminar Registration
- Access to One (1) Hotel Room

## Sponsorship

Sponsorship acknowledge with placement of logo displayed in multiple locations throughout the event venue as well as on printed materials distributed to seminar participants.

**(12) SOLD! Multiple Opportunities Available**



To reserve your sponsorship, contact:

**Diana Serri** | 212.313.1258 | [dserri@sifma.org](mailto:dserri@sifma.org)

Vice President, Head of Exhibit & Sponsorship Sales | SIFMA





## Advertising & Content Marketing Opportunities

### SIFMA EVENT PACKAGES - Available

Reach 60,000 SIFMA Smartbrief subscribers using our customized packages.

| GOLD PACKAGE  | SILVER PACKAGE   | BRONZE PACKAGE  |
|---|--|---|
| 1-Part Event Special Update   | 1-Part Event Special Update                              | N/A   |
| 5 Ads in SIFMA SmartBrief <ul style="list-style-type: none"> <li>• 2 Leaderboard</li> <li>• 3 Rectangle Text</li> </ul> | N/A  | 5 Ads in SIFMA SmartBrief <ul style="list-style-type: none"> <li>• 2 Leaderboard</li> <li>• 3 Rectangle Text</li> </ul> |
| Recognition as Event Sponsor  | Recognition as Event Sponsor                             | Recognition as Event Sponsor  |
| SIFMA Member Rate: \$20,000<br>Non-Member Rate: \$25,000  | SIFMA Member Rate: \$12,000<br>Non-Member Rate: \$15,000 | SIFMA Member Rate: \$10,000<br>Non-Member Rate: \$12,000  |



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## Custom Branded Light Boxes

### SIFMA LIGHT BOX PACKAGE

#### Investment

**\$7,000 SIFMA MEMBER RATE**

**\$9,000 NON-MEMBER RATE**

#### Benefits Include

- Installation, dismantle and utility fees

#### Dimensions

**36" wide x 72" tall x 7.5" deep**

SIFMA is offering all Sponsors and Exhibitors the opportunity to participate in our Light Box Showcase. This unique branding opportunity offers increased visibility throughout the event that further enhances your presence and the opportunity to meet your firm's brand up close.

Sponsored Light Boxes are strategically placed in prominent locations throughout the Convention Center and will be displayed over the four days of the Seminar. Lightboxes will be seen by your target audience as well as your competitors as they network with their clients, prospects and peers during the event.

By displaying your brand, your company will have an additional point of presence and drive more attendees to your booth. **(7) SOLD!**



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| Sponsorship   |   |  |   |
|---|---|--|---|
| <p><b>Investment</b></p> <p><b>\$5,500 SIFMA MEMBER RATE</b><br/>\$6,500 NON-MEMBER RATE</p> <ul style="list-style-type: none"> <li>All Lunch &amp; Learn presentations are offered exclusively to a contracted Sponsors &amp; Exhibitors of the Seminar.</li> <li>Suggested format of presentation is Featured Speaker Presentation.</li> <li>Session title, description, speaker name and title will be listed on the program agenda, that includes the SIFMA C&amp;L 2019 Website, Event Mobile App as well as in all printed event material.</li> </ul> | <p><b>Lunch &amp; Learn</b></p> <p><i>Exclusive to contracted sponsors and exhibitors, the SIFMA C&amp;L 2019 Lunch &amp; Learn Sessions offer an opportunity to share thought leadership insight to a captive audience in a One-Hour or less Lunch &amp; Learn presentation. A meeting room with standard A/V as well as hot lunch will be provided to host a maximum of 50 participants during each session - up to three (3) sessions will run concurrently on both Monday &amp; Tuesday, March 25 &amp; 26.</i></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; vertical-align: top;"> <p><b>Monday, March 25</b></p> <p><b>(1) SOLD!</b><br/><b>(2) Available</b></p> </td> <td style="width: 50%; vertical-align: top;"> <p><b>Tuesday, March 26</b></p> <p><b>(1) SOLD!</b><br/><b>(2) Available</b></p> </td> </tr> </table>   | <p><b>Monday, March 25</b></p> <p><b>(1) SOLD!</b><br/><b>(2) Available</b></p>  | <p><b>Tuesday, March 26</b></p> <p><b>(1) SOLD!</b><br/><b>(2) Available</b></p>  |
| <p><b>Monday, March 25</b></p> <p><b>(1) SOLD!</b><br/><b>(2) Available</b></p>   | <p><b>Tuesday, March 26</b></p> <p><b>(1) SOLD!</b><br/><b>(2) Available</b></p>  |  |   |
| <p><b>Investment</b></p> <p><b>\$4,000 SIFMA MEMBER RATE</b><br/>\$5,000 NON-MEMBER RATE</p> <ul style="list-style-type: none"> <li>All Learning Lab presentations are offered exclusively to contracted Sponsors &amp; Exhibitors of the Seminar.</li> <li>Suggested format of presentation is Ted Talk Style - Featured Speaker.</li> <li>Session title, description, speaker name and title will be listed on the program agenda, that includes the SIFMA C&amp;L 2019 Website, Event App as well as in all printed event material.</li> </ul>           | <p><b>SIFMA C&amp;L Learning Labs</b></p> <p><i>Exclusive to contracted sponsors &amp; exhibitors, the SIFMA C&amp;L 2019 Learning Lab offers an opportunity to share thought leadership insight to a captive audience in a 20-minute or less Ted Talk style presentation. The Learning Lab is located on the Exhibition Hall Floor and will accommodate up to 50 participants. Learning Labs will include a/v, i.e. microphone and power point presentation capabilities. All sessions will be scheduled during Exhibition Hall Periods.</i></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; vertical-align: top;"> <p><b>Monday, March 25</b></p> <p>Breakfast <b>Available</b><br/>Networking Break 1 <b>Available</b><br/>Networking Break 2 <b>SOLD!</b></p> </td> <td style="width: 50%; vertical-align: top;"> <p><b>Tuesday, March 26</b></p> <p>Breakfast <b>Available</b><br/>Networking Break 1 <b>Available</b><br/>Networking Break 2 <b>Available</b></p> </td> </tr> </table> | <p><b>Monday, March 25</b></p> <p>Breakfast <b>Available</b><br/>Networking Break 1 <b>Available</b><br/>Networking Break 2 <b>SOLD!</b></p> | <p><b>Tuesday, March 26</b></p> <p>Breakfast <b>Available</b><br/>Networking Break 1 <b>Available</b><br/>Networking Break 2 <b>Available</b></p> |
| <p><b>Monday, March 25</b></p> <p>Breakfast <b>Available</b><br/>Networking Break 1 <b>Available</b><br/>Networking Break 2 <b>SOLD!</b></p>  | <p><b>Tuesday, March 26</b></p> <p>Breakfast <b>Available</b><br/>Networking Break 1 <b>Available</b><br/>Networking Break 2 <b>Available</b></p>   |  |   |

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Vice President, Head of Exhibit & Sponsorship Sales | SIFMA





## Hotel Room Distribution *(sponsor to provide deliverable items)*

### Investment

**\$3,000 SIFMA MEMBER RATE**

**\$5,000 NON-MEMBER RATE**

Have your company's information be the first thing attendees see when they return to their room at the conclusion of their evenings! Arrange a hotel room distribution, and your selected item will be delivered to the room of all attendees staying at the JW Marriott Desert Ridge. Participants **MUST** be a contracted Sponsor and/or Exhibitor with SIFMA C&L Annual Seminar and distribution item **MUST** be pre-approved by SIFMA before application is accepted. Hotel room-drop fees are the responsibility of each sponsoring firm.



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## Exhibit Opportunities

### 8'X10' EXHIBIT SPACE

#### Investment

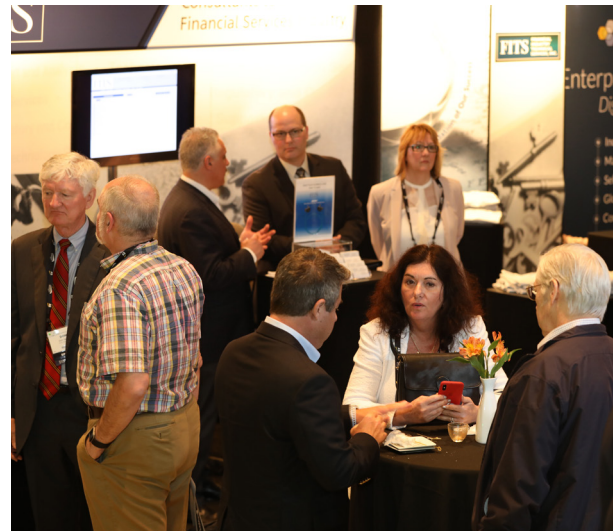
**\$9,500 SIFMA MEMBER RATE**

**\$12,500 NON-MEMBER RATE**

#### Benefits Include

- Two (2) Complimentary Exhibit Personnel Registration - Offers access to Exhibition Hall Only
- One (1) Discounted Seminar Registration
- Access to Three (3) Hotel Rooms

Vendors and consultants specializing in compliance and legal products and services are invited to exhibit at this Seminar. Industry vendors in fields such as compliance, surveillance systems, litigation and document management support, training, consulting, social media and communications, are of prime interest to the attendees. Law firms that are interested in supporting the event are encouraged to review the various Sponsorship opportunities available, and are welcomed to participate as an exhibitor in addition to their sponsorship commitment.



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## Exhibitors



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# C&L 2019 ANNUAL SEMINAR

MARCH 24-27 | JW MARRIOTT DESERT RIDGE, PHOENIX, AZ



## Exhibitor Benefits

| Exhibitor Benefits   |                                       |
|--|---------------------------------------|
| <b>Pre-Seminar Benefits</b>  |                                       |
| Prominent placement of logo on SIFMA's dedicated sends throughout the 9-month marketing campaign   | √                                     |
| Opportunity to link thought leadership to the event website  | √                                     |
| Preliminary mailing lists of seminar participants who opt-in during the registration process will be shared with all exhibitors. Information will be sent in electronic format four (4) weeks in advance of the seminar. Individuals who do not opt-in will be included on the preliminary list, however only Firm Name & Titles will be listed. | √                                     |
| <b>Days of Seminar Benefits</b>  |                                       |
| Total Complimentary Exhibit Hall Only Registrations offered  | 2                                     |
| Total Discounted Registration (s) Offered  | 1                                     |
| Access to Hotel Rooms at the hosted venue (all related fees are the responsibility of the individual utilizing these rooms)  | 3                                     |
| Promotional brochure in pdf format, included on C&L Mobile App   | √                                     |
| Dedicate Exhibitor Listing placed on C&L 2019 Website & Mobile App   | x                                     |
| Dedicated Exhibitor Listing placed on C&L 2019 Website & Mobile App  | √                                     |
| Dedicated Exhibitor Listing in print & digital format, placed in various locations at the hosted venue.  | √                                     |
| Company listing and firm description on the C&L 2019 Annual Seminar website.   | √                                     |
| Complete mailing lists of seminar participants who opt-in during the registration process will be shared with all exhibitors. Information will be sent in electronic format four (4) weeks in advance of the seminar. Individuals who do not opt-in will be included on the preliminary list, however only Firm Name & Titles will be listed.    | √                                     |
| Acknowledgement of participation, with placement of logo on all post-event marketing & survey email campaigns that include "SIFMA Thank You for Attending" and "Survey" emails.  | √                                     |
| Menu of co-branded items available to choose from the sponsorship menu, placed in each attendee tote bag and distributed to all participants during registration.  | √                                     |
| Learning Lab Sessions (limited opportunities) - additional investment Required.  | √                                     |
| Lunch & Learn Sessions (limited opportunities) - additional investment Required.   | √                                     |
| <b>Post-Seminar Benefits</b>   |                                       |
| Company Listing and firm description on the C&L 2019 Annual Meeting Website  | √                                     |
| Complete mailing lists of all seminar attendees who opt in to share their contact details, sent in excel format sent at conclusion of the seminar.   | √                                     |
| Acknowledgement of sponsorship, with placement of logo on all post-event marketing & survey email campaigns that include "SIFMA Thank You for Attending" and "Survey" emails.  | √                                     |
| <b>2019 Sponsorship Cost</b>   |                                       |
|  | \$9,500 Member<br>\$12,500 Non-Member |

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## SIFMA's Exhibition Package offers maximum value with the following benefits:

**SIFMA's C&L Annual Seminar is a heavily marketed event that reaches more than 75,000 individuals throughout the Nine-Month Marketing Campaign. Exhibiting Companies will benefit from pre-/during and post marketing exposure that includes the following:**

### **SIFMA's Exhibition Package offers maximum value with the following benefits:**

#### **Pre-Seminar Benefits:**

SIFMA's C&L 2019 Annual Seminar is a heavily marketed event that reaches more than 75,000 individuals throughout the 9-month Marketing Campaign. Sponsors will benefit from pre-marketing exposure that will include:

- Prominent placement of logo on SIFMA's dedicated emails, which include campaigns highlighting dates, program, etc. targeting more than 75,000 individuals
- Prominent placement of logo and firm profile on the Annual Seminar website
- Opportunity to link thought leadership to the event website
- Preliminary mailing lists of seminar participants who opt-in during the registration process will be shared with all sponsors. Information will be sent in electronic format four (4) weeks in advance of the seminar. Individuals who do not opt-in will be included on the preliminary list, however only Firm Name & Titles will be listed.

#### **Days of Seminar Benefits:**

- Complimentary and/or Discounted Seminar Registration(s)
- Access to hotel rooms at the hosted venue. A block of rooms has been reserved for Annual Seminar Sponsors and Exhibitors. Room charges, including taxes and service fees will be at each individual's own expense. All reservations are based on availability
- Prominent brand recognition during the sponsored function (if applicable) with firm logo displayed on dedicated signage. Includes both print and digital formats strategically placed in various locations that include registration, general session slide deck, etc.
- Promotional brochure included on C&L Mobile App. The C&L 2019 Mobile App will be available to all registered participants downloading on all mobile devices during the event
- Dedicated sponsor listing placed on the Annual Seminar Website and Mobile App which includes company logo, contact name and company profile

#### **Post-Seminar Benefits:**

- Company listing and firm description on the Annual Seminar website
- Final lists of seminar participants who opt-in during the registration process will be shared with all sponsors. Information will be sent in electronic format four (4) weeks post event. Individuals who do not opt-in will be included on the preliminary list, however only Firm Name & Titles will be listed.
- Acknowledgement of sponsorship, with placement of logo on all post-event marketing & survey email campaigns that include "SIFMA Thank You for Attending" and "Survey" emails.

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## Hotel Room Block

A block of hotel rooms has been reserved at the JW Marriott Phoenix, Desert Ridge for SIFMA C&L 2019 Annual Seminar sponsors and exhibitors, all room charges, including taxes and service fees will be the responsibility of the individual utilizing the hotel room. All reservations are based on availability. Hotel room reservation links will be sent to all contracted sponsors and exhibitors when the hotel room block becomes available.



## Private Parties/Dinners

In the interest of the success of SIFMA's Compliance & Legal Seminar and in accordance with SIFMA's Sponsorship and Exhibitor Agreement, all Sponsoring & Exhibiting Firms agree to NOT extend invitations, host any events (social or business) or otherwise encourage absence of attendees from the Event during SIFMA's official Seminar Hours, which include educational as well as networking functions. Should any firm have an interest in hosting a private event, please refer to the program schedule so that you can plan accordingly. All events being hosted at the designated SIFMA C&L Annual Seminar Venue are subject to a pre-approval process by SIFMA. SIFMA requires all contracted partners, sponsors and exhibitors to use the Proper Title of the event and/or the official SIFMA Event Creative for use in promoting your firm's participation at the event, which includes, but is not limited to all promotional messaging, extending invitations (digital and/or print) to privately hosted functions, etc. Upon request, SIFMA will provide artwork of the event creative in multiple formats for use. All invitations and/or promotional materials must be submitted to SIFMA for final approved.

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## 2018 C&L Annual Seminar Participating Firms:

|   |  |  |  |
|---|--|--|--|
| 8of9  | Association for Financial Markets in Europe (AFME) | Blueprint Software Systems, Inc.                 | Cboe Global Markets                    |
| ABN AMRO Clearing Chicago LLC                         | AxiomSL  | BMO Capital Markets Corp.                        | Cetera Financial Group                 |
| ACA Compliance Group                                  | Baker Botts LLP                                    | BNP Paribas                                      | Charles River Associates               |
| Accenture LLP   | Baker, Donelson, Bearman, Caldwell & Berkowitz, PC | BNY Mellon                                       | Charles Schwab & Co., Inc.             |
| Actiance, Inc.  | Ballard & Littlefield, LLP                         | Boenning & Scattergood, Inc.                     | China Renaissance Securities (US) Inc. |
| Affleck Greene McMurtry LLP                           | Banco Popular de Puerto Rico                       | Boies Schiller Flexner LLP                       | Choate Hall & Stewart LLP              |
| Akerman LLP   | Bank of America Merrill Lynch                      | BOX Options Exchange LLC                         | CIBC World Markets Inc.                |
| Akin Gump Strauss Hauer & Feld LLP                    | Bank of Montreal                                   | Bracewell LLP                                    | CION Securities, LLC                   |
| Alabama Securities Commission                         | Bank of the West                                   | Bressler, Amery & Ross, P.C.                     | Cipperman Compliance Services LLC      |
| AlixPartners LLP                                      | Barclays   | Bridge Capital Associates, Inc.                  | Citadel Securities LLC                 |
| Allen & Overy LLP                                     | Baritz & Colman LLP                                | Briggs and Morgan, PA                            | Citibank, N.A.                         |
| AllianceBernstein L.P.                                | Barnes & Thornburg LLP                             | Broad and Cassel                                 | Citigroup Inc.                         |
| Ally Invest Securities LLC                            | Barrasso Usdin Kupperman Freeman & Sarver, L.L.C.  | Brown White & Osborn LLP                         | Citizens Bank                          |
| Alston & Bird LLP                                     | Bass, Berry & Sims PLC                             | Brownstein Hyatt Farber Schreck, LLP             | Cleary Gottlieb Steen & Hamilton LLP   |
| American International Group, Inc.                    | Bates Group LLC                                    | Burr & Forman LLP                                | Clifford Chance US LLP                 |
| Ameriprise Financial Services, Inc.                   | BB&T Securities, LLC                               | Cadwalader, Wickersham & Taft LLP                | Coastal Equities, Inc.                 |
| Amherst Pierpont Securities LLC                       | BBVA Securities Inc.                               | Cahill Gordon & Reindel LLP                      | Cohen & Gresser LLP                    |
| Analysis Group  | BDO USA, LLP                                       | Cambridge Investment Research, Inc.              | Commerzbank AG                         |
| Andeavor  | Benjamin F. Edwards & Co.                          | Canadian Imperial Bank of Commerce (CIBC)        | Commonwealth Financial Network         |
| Ankura Consulting Group, LLC                          | BGC Partners, Inc.                                 | Cantor Fitzgerald & Co.                          | Compliance Science, Inc.               |
| Apex Clearing Corporation                             | BIA Protect  | Capital Forensics, Inc.                          | Conning & Company                      |
| Aplomb Strategies                                     | Bingham Greenebaum Doll LLP                        | Capital One Advisors, LLC                        | Consilio                               |
| AQR Capital Management, LLC                           | Blake, Cassels & Graydon LLP                       | Cardozo Law School                               | Cooley LLP                             |
| Aragon Mediation                                      | Bloomberg L.P.                                     | Carrington, Coleman, Sloman & Blumenthal, L.L.P. | COR Clearing LLC                       |
| Arnold & Porter Kaye Scholer LLP                      |  | Carter Ledyard & Milburn LLP                     | Cornerstone Research Inc               |
| Asset Management Compliance Consulting Solutions, LLC |  |  | Covington & Burling LLP                |



## 2018 C&L Annual Seminar Participating Firms:

|  |   |   |                                    |
|--|---|---|------------------------------------|
| Cozen O'Connor                                 | DST Market Services, LLC                            | Finn Dixon & Herling LLP                            | Gordon Rees Scully Mansukhani, LLP |
| Cravath, Swaine & Moore LLP                    | Duane Morris LLP                                    | First Bankers' Banc Securities, Inc.                | GrayRobinson PA                    |
| Credicorp Capital Securities, Inc.             | Duff & Phelps LLC                                   | First Manhattan Company                             | Greenberg Traurig, LLP             |
| Credit Agricole                                | Dynamic Securities Analytics, Inc.                  | First Republic Securities Company, LLC              | Greensfelder, Hemker & Gale, P.C.  |
| Credit Suisse Securities (USA) LLC             | Dynasty Financial Partners LLC                      | FIS   | Guggenheim Securities, LLC         |
| Crowe & Dunlevy, P.C.                          | E*TRADE Financial Corp.                             | Fisher & Phillips LLP                               | Hahn & Hessen LLP                  |
| Crowell & Moring LLP                           | ED&F Man Capital Markets Inc.                       | Fitch Ratings                                       | Halyard Compliance LLC             |
| D.A. Davidson & Co.                            | Edelman Financial Services LLC                      | FITS Consulting                                     | Haynes and Boone LLP               |
| Daiwa Capital Markets America Inc.             | Edward D. Jones & Co., L.P.                         | Florida Securities Dealers Association, Inc. (FSDA) | HD Vest Financial Services         |
| Danske Markets                                 | Ellenoff Grossman & Schole LLP                      | Flow Traders U.S. LLC                               | Hearsay Systems                    |
| David A. Noyes & Co.                           | Epstein Becker & Green, P.C.                        | FMR LLC   | Hedley May LLP                     |
| David A. Weintraub                             | Ernst & Young LLP                                   | FNC Consulting LLC                                  | Highbridge Capital Management LLC  |
| David Lerner Associates, Inc.                  | Eversheds Sutherland (US) LLP                       | Fordham University                                  | Hilltop Securities Inc.            |
| Davis Polk & Wardwell LLP                      | Exane, Inc.   | Fowler White Burnett P.A.                           | Hogan Lovells US LLP               |
| DCS Advisory                                   | Exari Systems                                       | Freddie Mac   | Holland & Knight LLP               |
| Debevoise & Plimpton LLP                       | Exiger  | Fredrikson & Byron P.A.                             | Hornor, Townsend & Kent, Inc.      |
| Dechert LLP                                    | ExpertSmith, LLC                                    | Fried, Frank, Harris, Shriver & Jacobson LLP        | Houlihan Lokey                     |
| Deloitte                                       | Federal Reserve Bank of New York                    | Frost Brokerage Services, Inc.                      | HSBC Bank USA, N.A.                |
| Dentons US LLP                                 | Federal Reserve Board                               | Gibbons P.C.  | HSBC Securities (USA) Inc.         |
| Depository Trust & Clearing Corporation (DTCC) | Fidelity Investments                                | Gibson, Dunn & Crutcher LLP                         | Hunter Taubman Fischer & Li LLC    |
| Deutsche Bank AG                               | Fieldpoint Private                                  | Global Markets Advisory Group                       | Huntington National Bank           |
| DLA Piper LLP (US)                             | Fifth Third Bank                                    | Global Relay Communications Inc                     | Ice Miller LLP                     |
| Drinker Biddle & Reath LLP                     | Financial Advisor IQ                                | Goldman, Sachs & Co.                                | IMC Financial Markets              |
| DriveWealth, LLC                               | Financial Industry Regulatory Authority Inc (FINRA) | Goodwin Procter LLP                                 | IMS ExpertServices                 |
| DRW Holdings, LLC                              | Financial Industry Service Group LLC                |   | Incapital LLC                      |
|  |   |   | ING Capital Markets LLC            |



## 2018 C&L Annual Seminar Participating Firms:

|   |   |   |   |
|---|---|---|---|
| Instinet, LLC   | John Davenport Maine                          | Law Office of James A. Nofi, LLC              | MassMutual Financial Group                          |
| Intapp  | John Hancock Financial Services, Inc.         | Law Offices of Alan Brodherson                | Matasar Jacobs LLC                                  |
| Integreon Inc   | Jones Day                                     | Law360  | Maxim Group LLC                                     |
| Intelligize   | Jones Walker LLP                              | Lawrence, Kamin, Saunders & Uhlenhop, LLC     | Mayer Brown LLP                                     |
| Interactive Brokers LLC                                       | Jones, Bell, Abbott, Fleming & Fitzgerald LLP | Lehman Brothers                               | Maynard, Cooper & Gale, P.C.                        |
| Intercontinental Exchange (ICE)                               | JPMorgan Chase & Co.                          | Level ATS                                     | McDermott Will & Emery LLP                          |
| International Assets Advisory, LLC                            | Jump Trading, LLC                             | Levenfeld Pearlstein, LLC                     | McDougald & Cohen, P.S.                             |
| International Business Research                               | K&L Gates LLP                                 | Levine Lee LLP                                | McGuireWoods LLP                                    |
| INTL FCStone Inc.   | Kapco Group, Inc.                             | Lewis Roca Rothgerber Christie LLP            | Merrill Lynch, Pierce, Fenner & Smith Incorporated  |
| Inventus  | Katten Muchin Rosenman LLP                    | Lincoln Financial Distributors, Inc.          | Michael Pysno Mediation                             |
| Invesco Ltd.  | Kauff Laton Miller LLP                        | Liquidnet, Inc.                               | Micro Focus   |
| Investment Industry Association of Canada (IIAC)              | Kaufmann Gildin & Robbins LLP                 | Lloyd S. Clareman, A Professional Corporation | Milbank, Tweed, Hadley & McCloy LLP                 |
| Investment Industry Regulatory Organization of Canada (IIROC) | Kean Miller LLP                               | Loeb & Loeb LLP                               | Miles & Stockbridge P.C.                            |
| Investment News   | Keesal, Young & Logan, P.C.                   | Lombardi & Donohue LLP                        | Millennium Management LLC                           |
| Iron Mountain   | Kelley Drye & Warren LLP                      | Lowenstein Sandler PC                         | Miller, Canfield, Paddock & Stone, LLP              |
| J.J.B. Hilliard, W.L. Lyons, LLC                              | Kern Consulting                               | LPL Financial LLC                             | Mindcrest   |
| J.P. Morgan Securities LLC                                    | Kessler & Collins P.C.                        | Luminex Trading & Analytics LLC               | Mintz, Levin, Cohn, Ferris, Glovsky and Popeo, P.C. |
| Jackson Walker L.L.P.   | KGS-Alpha Capital Markets, LP                 | M Financial                                   | Mitsubishi UFJ Financial Group, Inc. (MUFG)         |
| Jaffe Raitt Heuer & Weiss                                     | Kilpatrick Townsend & Stockton LLP            | Mackie Research Capital Corp                  | Mizuho Securities USA Inc.                          |
| Janney Montgomery Scott LLC                                   | King & Spalding LLP                           | Macquarie Capital (USA) Inc.                  | Moore & Van Allen, PLLC                             |
| Janus Henderson Distributors                                  | Kirkland & Ellis LLP                          | Maine Office of Securities                    | Morgan Stanley & Co. LLC                            |
| Jarislowsky, Fraser Limited                                   | KKR   | Mainstay Capital Markets Consultants, Inc.    | Morgan, Lewis & Bockius LLP                         |
| Jefferies LLC   | Koehler Fitzgerald LLC                        | Markun Zusman Freniere Compton LLP            | Morvillo Abramowitz Grand Iason & Anello PC         |
| Jenks & Harvey LLP  | KPMG LLP                                      | Marshall Dennehey Warner Coleman & Goggin PC  | Mound Cotton Wollan & Greengrass                    |
| Jenner & Block LLP  | LaSalle Investment Management                 |   |   |
|   | Latham & Watkins LLP                          |   |   |



## 2018 C&L Annual Seminar Participating Firms:

|  |   |  |   |
|--|---|--|---|
| MUFG Securities Americas Inc.                                | Ontario Municipal Employees Retirement System (OMERS) | PriceMetrix  | Riverside Financial Group                         |
| Munger, Tolles & Olson LLP                                   | Ontario Securities Commission                         | Primerica  | Robert W. Baird & Co. Incorporated                |
| Municipal Securities Rulemaking Board (MSRB)                 | Ontario Teachers' Pension Plan                        | Professional Dispute Resolutions Inc.              | Ropes & Gray LLP                                  |
| Murphy & McGonigle, P.C.                                     | Oppenheimer & Co. Inc.                                | Proskauer Rose LLP                                 | ROTH Capital Partners, LLC                        |
| MyComplianceOffice   | Options Clearing Corporation                          | Prospera Financial Services, Inc.                  | Royal Bank of Canada (RBC)                        |
| Nardello & Co. LLC   | Optiver Holding BV                                    | Protective Life Corporation                        | Ruberto Israel & Weiner                           |
| NASDAQ   | Orrick, Herrington & Sutcliffe LLP                    | Prudential Financial, Inc.                         | Rumberger, Kirk & Caldwell                        |
| National Futures Association (NFA)                           | Osler, Hoskin & Harcourt LLP                          | Pryor Cashman LLP                                  | S&P Global Ratings                                |
| Natixis Securities Americas LLC                              | Oyster Consulting, LLC                                | PwC  | S.D. Krasner Associates                           |
| Navigant Consulting, Inc.                                    | Oz Management   | Quarles & Brady LLP                                | Safra Securities LLC                              |
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| NERA Economic Consulting                                     | Pastore & Dailey LLC                                  | Rabo Securities USA, Inc.                          | Sapiens Decision                                  |
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| O'Melveny & Myers LLP  | Preston Financial Law & Consulting PLLC               | Reuters Breakingviews                              | Securities America, Inc.                          |
|  |   | Richards Kibbe & Orbe LLP                          | Securities Arbitration Commentator                |
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