

# SPONSORSHIP & EXHIBITOR PROSPECTUS



To reserve your sponsorship, please contact:

Diana Serri, Vice President, Head of Exhibit & Sponsorship Sales, SIFMA | 212.313.1258 | dserri@sifma.org



# **About SIFMA**

SIFMA is the leading trade association for brokerdealers, 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 <a href="http://www.sifma.org">http://www.sifma.org</a>.





**46TH ANNUAL OPERATIONS CONFERENCE + EXHIBITION** 

# **SIFMA Ops 2019 Sponsorship Opportunities**

Returning to Boca Raton, Florida, on May 6–9, the 46th annual SIFMA Operations Conference + Exhibition will bring together operations, technology and regulatory leaders from across the securities industry to collaborate on innovation, priorities and address challenges.

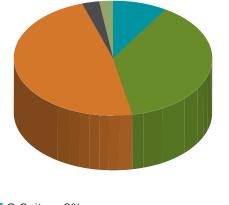
Join us to explore how industry operations are powering the capital markets to better serve our clients, improve efficiencies, manage risk and meet evolving regulatory requirements.



## The Audience:

In 2018 more than 900 participants attended the Operations Conference + Exhibition. The attendee profile was as follows.

## **SIFMA Ops 2018 Attendee Profile**



C-Suite - 9%
Managing Director and Senior Executive - 38%
Vice President and Director - 48%
General Counsel/Attorney - 3%
Regulator - 2%





**46TH ANNUAL OPERATIONS CONFERENCE + EXHIBITION** 

# **SIFMA Ops 2019 Sponsorship Levels and Benefits:**

**Ops 2019 Sponsorship Tiers** are designed to further enhance your firm's presence before, during and post the event. Tiered Opportunities include:

## **Sponsorship Tiers**

Presidential	Diamond	Titanium	Platinum	Gold	Silver
\$75,000 +3 Additional Registrations	\$65,000 +2 Additional Registrations	\$55,000 +1 Additional Registrations	\$45,000	\$35,000	\$25,000

**Sponsorship Tiers** are acknowledged before, during and after **Ops 2019** within various platforms that include:

- SIFMA Ops 2019 Event Website
- SIFMA Ops 2019 Exhibition Hall
- SIFMA Ops 2019 General Session Slide Deck
- SIFMA Ops 2019 Event App

- Digital & print signage displayed throughout Ops 2019 hosted venue in public areas that include registration foyer, general session ballroom and exhibition hall throughout the conference & exhibition.
- Plus, additional Conference Registrations offered once investment reaches Tiered Sponsorship Levels.





DIAMOND

PLATINUM





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## **46TH ANNUAL OPERATIONS CONFERENCE + EXHIBITION**

# The Ops 2019 Sponsorship Benefits Package offers maximum value with the following benefits:

Ops 2019 is a heavily marketed event that reaches more than 75,000 individuals throughout the Nine-Month Marketing Campaign. Sponsors will benefit from pre, during and post conference marketing exposure that includes:

## **Pre-Conference Benefits:**

- 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 SIFMA Ops website
- Opportunity to link thought leadership to the event website
- Preliminary mailing lists of seminar participants who do not opt-out 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.

### **Days of Conference Benefits:**

- Complimentary Conference Registration(s)
- 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 SIFMA Ops 2019 Mobile App. The Mobile App will be available to all registered participants, downloaded on all mobile devices during the event
- Dedicated sponsor listing placed on the Ops 2019 Conference Website and Mobile App which includes company logo, contact name and company profile

## **Post-Conference Benefits:**

- Prominent placement of logo and firm profile on the Ops 2019 website
- Final mailing lists of participants who do not opt-out during the registration process will be shared with all sponsors. Information will be sent in electronic format four (4) weeks post conference.
- Sponsor recognition on post-event highlights, sent to all registrants via email a few weeks following the event and remains on the Ops 2019 website for an additional 3-4 months post conference
- 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.

## services geared towards financial services operations are invited to SIFMA Member Rate \$6,500 exhibit at this conference. 8'x10' Exhibit Space Non-Member Rate \$7,800 SIFMA's Ops 2019 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 conference marketing exposure that includes the following:

**Exhibition Fees** 

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**AVAILABLE SPONSORSHIP OPPORTUNITIES** 

Investment

MAY 6-9, 2019 | BOCA RATON, FLORIDA

## **Pre-Conference Benefits:**

- ٠ Prominent placement of logo and firm profile on the Ops 2019 website
- Prominent placement of logo on SIFMA's dedicated sends, which include email campaigns highlighting dates, speaker announcements, program, etc. .
- Opportunity to link thought leadership to the event website

Vendors, partners and consultants specializing in products and

tma<sup>®</sup>

Preliminary mailing lists of all Conference participants who do not opt-out during the registration process will be shared with all sponsor & exhibiting firms. Information ٠ will be sent in electronic format, which includes registrants name, title, firm affiliation and mailing address, sent four (4) weeks in advance of the conference.

## **Days of Conference Benefits:**

- Complimentary Conference Registration(s) One (1) per Booth Rented
- Dedicated listing and firm profile placed on Ops 2019 Website as well as on the conference Mobile App, which includes company logo, company profile, and sales contact details
- ٠ Ops 2019 Exhibition Hall Gamification-offers an opportunity to drive attendees to all exhibition booths, creating an opportunity for participants to engage in conversation while earning points to potentially be eligible to win different prizes offered to multiple winners throughout the conference.
- Dedicated Category Listing of Products & Services listed on the conference Mobile App ٠
- Access to food and networking functions

## **Post-Conference Benefits:**

- Prominent placement of logo and firm profile on the Ops 2019 website ٠
- Prominent placement of logo on post event Highlights & Survey emails ٠
- Final lists of seminar participants who do not opt-out during the registration process will be shared with all sponsors & exhibitors. Information will be sent in electronic ٠ format four (4) weeks post event.
- Acknowledgement of sponsorship, with placement of logo on all post-event marketing & survey email campaigns that include "SIFMA Thank You for Attending" and ٠ "Survey" email



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**46TH ANNUAL OPERATIONS CONFERENCE + EXHIBITION** 

Workshop Sessions - Round 1 Three (3) SOLD

All Available

Two (2) SOLD

Two (2) SOLD

\*\* All times to be confirmed as the program develops \*\*

Monday, May 6 (Pre-Conference Sessions)

Sessions will run concurrently from 4:00 - 5:00 p.m.

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SIFMA Ops 2019 Partner Workshops

Exclusive to contracted sponsors and exhibitors an opportunity to

and descriptions are subject to a pre-approval process by SIFMA.

participate on the program agenda by hosting a Partner Workshop, which

all workshops are offered on a first-come/first-serve basis. All session titles

are scheduled as part of the conference program and allows you to meet face to face and share thought leadership content with new and existing clients. Opportunities are limited to nine (9) time slots to choose from and

# SIFMA's Ops 2019 Partner Workshop package includes the following audiovisual equipment:

LCD Video Projector & Screen .

Workshop Sessions - Round 1

Workshop Sessions - Round 2

Speakers

•

Workshop Sessions

Tuesday, May 7

Wednesday, May 8

Partners are responsible for Internet Access fees, food & beverage and any additional Audio Visual requirements.

# Investment

\$8,500 - SIFMA Member Rate \$10.500 - Non-Member Rate

- All workshop participants must be a contracted Sponsor and/or Exhibitor of Ops 2019.
- Each workshop presenter will have the opportunity to speak exclusively to a group of up to 50 conference participants.
- Your session may be conducted in any fashion that would facilitate your presentation (s).
- Session title, description, speaker name & title will be listed on the program agenda, the Ops 2019 website and in printed and electronic conference materials, distributed to all registered attendees.

## Learning Labs

Exclusive to contracted sponsors & exhibitors, the SIFMA Ops 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. Presentation room will be located in the Exhibition Hall and accommodate up to 50 participants. The room will be equipped with a/v, i.e. microphone and power point capabilities. All lab sessions will be scheduled during Exhibition Hall periods.

Session title, description, speaker name and title will be listed on the program agenda, on Ops 2019 website and included in all on-site event material, distributed to all registered attendees during the Conference.

Investment

\$5.500 - Non-Member Rate Four (4) SOLD, More Available





Sponsorship	Includes	Availability	Investment
	Welcome Hospitality Networking opportunity offering prominent brand recognition, serving a variety of snacks as well as hot and cold beverages, set in the registration area, allowing for one-on-one conversations as industry colleagues, clients and potential prospects check in for the event. One (1) Complimentary Conference Registration	Monday, May 6 <b>SOLD</b>	<b>\$10,500 SIFMA MEMBER RATE</b> \$12,500 NON-MEMBER RATE
	<ul> <li>Welcome Reception Monday, May 6, 5:30 - 7:00 p.m.</li> <li>The Ops 2019 Welcome Reception, offers prominent brand recognition, as well as, hot and cold buffet stations, passed hors d'oeuvres and open bar. Open to all conference participants, the Welcome Reception is set in a relaxing outdoor atmosphere, Pool Side - (weather permitting), offering attendees an opportunity to catch up with business colleagues, old and new, in an informal setting.</li> <li>Three (3) Complimentary Conference Registrations</li> </ul>	Monday, May 6 <b>SOLD</b>	<b>\$37,500</b> <b>SIFMA MEMBER RATE</b> \$42,500 NON-MEMBER RATE







**Sponsorship** 

Networking

**Opportunities** 

sifma

Includes

sponsoring firm.

**Exhibition Hall Continental Breakfast** 

dnesday, May 8 _D	
sday, May 7 \$16,000 ilable SIFMA MEMBER RAT dnesday, May 8 \$18,000 ilable NON-MEMBER RATE	
ii d	lableSIFMA MEMBER RAnesday, May 8\$18,000

# AVAILABLE SPONSORSHIP OPPORTUNITIES

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Networking Continental Breakfast, offering a variety of healthy

breakfast options along with hot and cold beverages, served in

the Exhibit Hall, allowing for one-on-one networking opportunities with industry colleagues offering prominent brand recognition of 20 13 4

SIFMA MEMBER RATE

NON-MEMBER RATE

SIFMA MEMBER RATE

NON-MEMBER RATE

Investment

\$15.000

\$17.000

\$11.500

\$13.500

**Availability** 

Available

**Available** 

Tuesday, May 7

Wednesday, May 8



Sponsorship	Includes	Availability	Investment
Networking Opportunities	<b>Exhibition Hall Evening Reception</b> Networking Evening Reception hosted in the Exhibition Hall, offers the sponsoring firm prominent brand recognition during the Reception, allowing for one-on-one conversations with industry colleagues, clients and potential prospects. Open to all conference participants, offering attendees the opportunity to catch up on the day's events with business colleagues, old and new, in an enjoyable setting. <i>Two (2) Complimentary Conference Registrations</i>	Tuesday, May 7 SOLD	<b>\$16,000 SIFMA MEMBER RATE</b> \$18,000 NON-MEMBER RATE
	Women's Leadership Presentation & Reception Wednesday, May 8, 3:00 - 4:30 p.m. Networking Reception with panel presentation addressing issues and challenges women are faced with in today's working environment. ( <i>Time subject to change</i> )	Wednesday, May 8 2 SOLD 3 Available	<b>\$7,500</b> SIFMA MEMBER RATE \$10,000 NON-MEMBER RATE
	After Hours Evening ReceptionAfter-Dinner Cocktails and light fare, desserts and beverages, with lively music, offering attendees an opportunity to come together and catch up on their recent experience of the conference in an enjoyable, informal setting.Four (4) Complimentary Conference Registrations	Wednesday, May 8 Available	<b>\$52,000</b> SIFMA MEMBER RATE \$57,000 NON-MEMBER RATE
	Closing General Session Buffet Breakfast General Session Buffet Breakfast offers a variety hot and cold options, served during General Session, offering attendees an opportunity to come together and listen to the closing session speakers. One (1) Complimentary Conference Registration	Thursday, May 9 <b>Available</b>	<b>\$10,500 SIFMA MEMBER RATE</b> \$12,500 NON-MEMBER RATE



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**AVAILABLE SPONSORSHIP OPPORTUNITIES** 

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**Sponsorship** 

**Activities** 



Includes	Availability	Investment
Run-for-a-Cause Morning run/walk, organized by SIFMA, co-branded T-Shirts distributed to all participants, along with beverages & prizes. Donation of individual registration fee as well as a portion of the sponsorship fee will be made to a TBD Charity. Details to be confirmed as the program develops. One (1) Complimentary Conference Registration	Wednesday, May 8 <b>Available</b>	<b>\$10,500</b> <b>SIFMA MEMBER RATE</b> \$12,500 NON-MEMBER RATE
NEW for 2019Golf TournamentAcknowledgment 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.Two (2) Complimentary Conference Registrations	Monday, May 6 <b>Available</b>	<b>\$20,000 SIFMA MEMBER RATE</b> \$22,500 NON-MEMBER RATE
NEW for 2019 Tennis Tournament 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. One (1) Complimentary Conference Registration	Monday, May 6 <b>Available</b>	<b>\$10,500 SIFMA MEMBER RATE</b> \$12,500 NON-MEMBER RATE



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Sponsorship	Includes	Availability	Investment
Activities	<b>Exhibition Hall Golf Simulator</b> Ops 2019 Virtual Golf Simulator offers conference participants an opportunity to participate in a fun, interactive networking activity during Exhibit Hall Hours. The Golf Simulator is strategically placed inside the Expo Hall's Interactive Zone and encourages delegates to participate to win daily prizes. Offers prominent brand recognition to	Available	<b>\$15,500</b> <b>SIFMA MEMBER RATE</b> \$17,500 NON-MEMBER RATE
	sponsoring firm. <i>Two (2) Complimentary Conference Registrations</i>		





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**Sponsorship** 

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TRATION

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Mobile App SIFMA Ops 2019 Mobile App affords a sponsoring firm maximum exposure with branding on the Mobile App Loading page viewed by the end user during the primary download of the app, as well as on a dedicated rotating banner advertisement and a linked logo advertisement strategically placed on the Mobile App Menu Page. This exclusive sponsorship opportunity is a downloadable app, at no additional cost to all participants. The App will be the primary resource for all participants to reference during the conference as it captures all program materials, including the conference agenda, schedule, speaker bios, attendee list, sponsors and exhibitor's listing, as well as LinkedIn/Twitter options, etc. Three (3) Complimentary Conference Registration	Available	<b>\$25,000 SIFMA MEMBER RATE</b> \$27,000 NON-MEMBER RATE
Social Media Wall The social media wall will capture all tweets and encourage use of social media throughout the Conference in addition to offering sponsoring firm prominent brand recognition. One (1) Complimentary Conference Registration	Available	<b>\$13,000 SIFMA MEMBER RATE</b> \$15,000 NON-MEMBER RATE

# **AVAILABLE SPONSORSHIP OPPORTUNITIES**

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\$15.500

Investment

SIFMA MEMBER RATE \$17.500 NON-MEMBER RATE



Sponsorship	Includes	Availability	Investment
Technology	<ul> <li>Wi-Fi Access for all Participants</li> <li>Wi-Fi Access will be available to all Ops 2019 conference delegates while in the Convention Center, 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.</li> <li>Three (3) Complimentary Conference Registration</li> </ul>	Available	<b>\$30,000</b> SIFMA MEMBER RATE \$32,500 NON-MEMBER RATE





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Sponsorship	Includes	Availability	Investment
Branded Opportunities	<b>Co-Branded Badge Lanyard</b> What better way to leave an impression than to see 900+ participants wearing your firm's name/logo around their neck for the duration of the conference! Name badge lanyards are worn by each attendee to gain access to all conference events. Co-Branded, SIFMA pre-approved	SOLD	<b>\$15,500</b> SIFMA MEMBER RATE \$17,500
	<ul><li>lanyard produced by sponsoring firm and distributed with registration materials to all conference participants.</li><li><i>Two (2) Complimentary Conference Registrations</i></li></ul>		NON-MEMBER RATE
GRAN	<ul> <li>SIFMA Ops 2019 Co-Branded Hats</li> <li>Co-Branded Hats produced by sponsoring firm and distributed to all conference attendees during registration.</li> <li>One (1) Complimentary Conference Registration</li> </ul>	Available	<b>\$8,500</b> SIFMA MEMBER RATE \$10,500 NON-MEMBER RATE
	Hotel Room Key Cards Co-Branded Hotel Room Key Cards produced by SIFMA and distributed to all participants during hotel registration <i>Two (2) Complimentary Conference Registrations</i>	Available	<b>\$15,500</b> <b>SIFMA MEMBER RATE</b> \$17,500 NON-MEMBER RATE
	Luggage Tags Luggage Tags allow your message to tag along with every Ops 2019 participant! The 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 event and beyond. Pre-Approved Luggage Tags produced and provided by sponsoring firm, placed in attendee tote bag and distributed to all conference attendees during registration. One (1) Complimentary Conference Registration	Available	<b>\$8,500</b> SIFMA MEMBER RATE \$10,500 NON-MEMBER RATE





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Sponsorship	Includes	Availability	Investment
Branded Opportunities	Mobile Device Charging SticksCo-Branded Charging Sticks, produced and provided by sponsoringfirm, placed in the attendee tote bag, distributed to all conferenceattendees during registration.One (1) Complimentary Conference Registration	Available	<b>\$8,500</b> SIFMA MEMBER RATE \$10,500 NON-MEMBER RATE
	Note Pad or Writing TabletCo-Branded writing tablet, produced and provided by sponsoringfirm, placed in attendee tote bag and distributed to all conferenceattendees during registration.One (1) Complimentary Conference Registration	Available	<b>\$8,500</b> SIFMA MEMBER RATE \$10,500 NON-MEMBER RATE
	<ul> <li>Program Guide (Pocket Size)</li> <li>An at-a-glance program guide offers an opportunity to be an exclusive sponsor that attendee's will view each time they reference their pocket program guide. Includes full page ad on outside back cover.</li> <li>One (1) Complimentary Conference Registration</li> </ul>	Available	<b>\$10,500</b> SIFMA MEMBER RATE \$12,500 NON-MEMBER RATE
	Smart Wallets Co-Branded Smart Wallets, produced and provided by sponsoring firm, placed in attendee tote bag and distributed to all participants during registration. One (1) Complimentary Conference Registration	Available	<b>\$8,500</b> SIFMA MEMBER RATE \$10,500 NON-MEMBER RATE





Sponsorship	Includes	Availability	Investment
Branded Opportunities	<ul> <li>Sport Bottle</li> <li>Co-Branded, environmental friendly sports bottle, produced and provided by sponsoring firm, placed in attendee tote bag and distributed to all participants during registration.</li> <li>One (1) Complimentary Conference Registration</li> </ul>	SOLD	<b>\$8,500</b> SIFMA MEMBER RATE \$10,500 NON-MEMBER RATE
	Sun ScreenCo-Branded Sun Screen Bottles, produced and provided by sponsoring firm, placed in attendee tote bag and distributed to all participants during registration.One (1) Complimentary Conference Registration	Available	<b>\$8,500 SIFMA MEMBER RATE</b> \$10,500 NON-MEMBER RATE
	<b>Tote Bag</b> Co-Branded Tote Bag distributed to all attendees during registration with conference materials. These Co-branded bags, provided by the sponsoring firm are an effective measure to ensure your company brand has a presence during SIFMA Ops 2019. <i>Two (2) Complimentary Conference Registrations</i>	SOLD	<b>\$15,000 SIFMA MEMBER RATE</b> \$17,000 NON-MEMBER RATE



# **ADVERTISING OPPORTUNITIES**

# SIFMA EVENT PACKAGES - 1 SOLD, More AVAILABLE

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

SILVER PACKAGE	GOLD PACKAGE	BRONZE PACKAGE
1-Part Event Special Update	1-Part Event Special Update	N/A
N/A	<ul><li>5 Ads in SIFMA SmartBrief</li><li>2 Leaderboard</li><li>3 Rectangle Text</li></ul>	<ul><li>5 Ads in SIFMA SmartBrief</li><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: \$12,000 Non-Member Rate: \$15,000	SIFMA Member Rate: \$20,000 Non-Member Rate: \$25,000	SIFMA Member Rate: \$10,000 Non-Member Rate: \$12,000



To Reserve your Light Box Location, Contact:





# **ADVERTISING OPPORTUNITIES**

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 communicate your firm's brand up close.

Sponsored Light Boxes are strategically placed in prominent locations throughout the venue and will be displayed over the four (4) days of the conference. Be seen by your target audience as well as your competitors as they network with their peers during Ops 2019.

By displaying your brand, your company will have an additional point of presence and drive more attendees to your booth.



# **ADVERTISING OPPORTUNITIES**

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

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Investment	Includes
<b>\$3,000 SIFMA Member Rate</b> \$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 each evenings! Arrange a hotel room distribution, and your selected item will be delivered to the room of all attendees staying at the hotel. Participants MUST be a contracted Sponsor and/or Exhibitor with SIFMA Ops 2019 and distribution item MUST be pre-approved by SIFMA before application is accepted. Hotel room-drop fees are the responsibility of each sponsoring firm.

## **Private Parties/Dinners**

In the interest of the success of SIFMA's Operations Conference + Exhibition and **in accordance with SIFMA's Sponsorship and Exhibitor Agreement**, all Sponsoring & Exhibiting Firms agree **NOT** to 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 Ops 2019 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.

## **2018 PARTICIPATING FIRMS** ABN AMRO Securities (USA) LLC BlackRock Citadel LLC Bloomberg L.P. Citi **Blue Angels**

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Aflac Incorporated Agreement Express AIM Software AllianceBernstein L.P. Ally Financial Inc. Ally Invest Amazon Web Services, Inc. American Enterprise Investment Services Inc. Ameriprise Financial Services, Inc. Angel Oak Capital Advisors, LLC Apex Clearing Corporation Appian Corporation Ares Management LLC Argent Capital Management Banca IMI Securities Corp. Bank of America Merrill Lynch Bank of Montreal Bank of New York Mellon Barclays **BB&T** Securities, LLC BCI

Accenture LLP

Actiance, Inc.

Advisor Group

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**BMO** Financial Group **BMO** Harris Bank **BNP** Paribas BNY Mellon / Pershing **BNY Mellon Asset Servicing** British Columbia Investment Management Corporation (bcIMC) Broadridge Financial Solutions, Inc. BrokerTec Americas LLC Brown Brothers Harriman & Co. Canadian Capital Markets Association (CCMA) Canadian Medical Association Cantor Fitzgerald & Co. Capital Forensics, Inc. Capital Group Companies, Inc. Capital One Financial Corporation Capital One Investing, LLC Celent Cetera Investment Services LLC CGI Charles River Development Charles Schwab & Co., Inc. **CIBC Mellon** 

Clearpool Execution Services, LLC **Clearstream Banking SA** CME Group ComGraphics, Inc. Commerz Markets LLC **Computer Resource Company** Computershare Inc. Connexions Connor, Clark & Lunn Financial Group Continental Advisor LLC COR Clearing LLC **Cowen Execution Services LLC** Credential Financial Inc. Credit Agricole Corporate & Investment Bank Credit Suisse Securities (USA) LLC **CUSIP** Global Services CUSO Financial Services.L.P. D.A. Davidson & Co. Daiwa Capital Markets America Inc. Deloitte Delta Data Software Inc Deluxe Enterprise Operations, LLC Deutsche Bank Securities Inc.

# 2018 PARTICIPATING FIRMS Federal Reserve Bank of New York Google Cloud Platform FHLBanks Office of Finance Gresham Technologies In, LLP Fidelity Clearing & Custody Solutions GW&K Investment Man

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Dixon Hughes Goodman, LLP **Donnelley Financial Solutions** Doshi Consulting Solutions, Inc DoubleLine Capital LP Doxim DST DTCC E\*TRADE Financial Corp. eClerx ED&F Man Capital Markets Inc. Edward Jones eMoney Advisor, LLC Envision Financial Systems, Inc. EquiLend LLC Equiniti Equity Institutional Ernst & Young LLP Euroclear EverBank Exchange Data International, Inc. Fannie Mae Federal Deposit Insurance Corporation (FDIC) Federal Farm Credit Banks Funding Corporation

Deutsche Borse AG

**Digital Asset Holdings** 

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Fidelity Clearing & Custody Solutions **Fidelity Investments** Fidelity Management & Research Company Fidelity National Information Services, Inc. (FIS) Financial Industry Regulatory Authority Inc (FINRA) Financial Information Inc Financial Recovery Technologies LLC First Citizens Investor Services. Inc. First Eagle Investment Management, LLC First Rate FIS Fiserv Inc FITS Consulting Florida State Board of Administration Franklin Templeton Investments Freddie Mac **FTN** Financial Fundserv Inc. GBST GlobeTax GMP Securities L.P. Goldman Sachs Asset Management, L.P. Goldman Sachs Group, Inc.

Gresham Technologies (US) Inc. **GW&K** Investment Management Helix Financial Systems Hilltop Securities Inc. HSBC IBM Canada Ltd. IBM Corp IBM Global Business Services IHS Markit Independent Bank Industrial and Commercial Bank of China Financial Services LLC ING Financial Markets LLC InteliClear, LLC Intergendata INTL FCStone Financial Inc. Invest Northern Ireland Investment Industry Regulatory Organization of Canada (IIROC) ITRS America Inc. J.P. Morgan Securities LLC Janney Montgomery Scott LLC JDX Consulting Jefferies LLC Jennison Associates LLC

# JPMorgan Chase & Co. National Bank of Canada RBC Global As KPMG LLP NEC Corporation of America RBC Wealth M

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**KPMG LLP** Laurel Hill Securities LLC Ledger Domain Legal & General Investment Management America Inc. LeveL ATS Lincoln Financial Advisors Corporation Lincoln Financial Group Longview Asset Management I PL Financial LLC MarketAxess Corporation Matrix Applications, LLC Mediant Meritsoft Mirae Asset Securities (USA) Inc. Mizuho Capital Markets Corporation Mizuho Securities USA Inc. MML Investors Services, LLC Morgan Stanley & Co. LLC Morgan, Lewis & Bockius LLP Morrison & Foerster LLP Mphasis MUFG Securities Americas Inc. Municipal Securities Rulemaking Board (MSRB) National Bank Financial

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NEX Group plc NISA Investment Advisors, L.L.C. Nomura Northern Trust Corporation Northwestern Mutual Investment Services. LLC NRI n-Tier Financial Services LLC Oppenheimer & Co. Inc. **Options Clearing Corporation** Osterweis Capital Management, LLC Oyster Consulting, LLC Pageant Media Pershing LLC, a BNY Mellon Company PhaseZero Ventures LLC PIMCO Piper Jaffray & Co. Promontory Interfinancial Network, LLC Public Sector Pension Investment Board (PSP Investments) PwC Raymond James & Associates, Inc. Raymond James Financial Services, Inc. **RBC** Capital Markets, LLC **RBC** Correspondent Services

RBC Global Asset Management (U.S.) Inc. **RBC** Wealth Management Robert W. Baird & Co. Incorporated Robinhood Financial, LLC Royal Bank of Canada (RBC) SailingStone Capital Partners LLC Salesforce.com Sanford C. Bernstein & Co., LLC Sapience Analytics Scivantage Scotia Capital Scottrade, Inc. Securities Operations.com Shadow Financial Systems, Inc. Sidley Austin LLP Signature Bank Silver Management Group Sionic Advisors Smarsh. Inc. SmartBrief Societe Generale Corporate & Investment Banking South Street Securities LLC SparkCognition SS&C Technologies Holdings Inc Standard & Poor's CUSIP Global Services

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