

sifma®

# AML2019

**ANTI-MONEY LAUNDERING & FINANCIAL CRIMES CONFERENCE**

**FEBRUARY 4-5, 2019 | GRAND HYATT, NEW YORK CITY**

## SPONSORSHIP PROSPECTUS

[Sponsorship Opportunities](#)

[2018 Participants](#)

**TO RESERVE YOUR SPONSORSHIP, PLEASE CONTACT:**

**Diana Serri** | Vice President, Head of Sponsorship and Exhibit Sales, SIFMA  
212.313.1258 | [dserri@sifma.org](mailto:dserri@sifma.org)

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**AN ANNUAL EVENT YOU CAN'T AFFORD TO MISS WITH ...**



**535+**  
**Participants**



**70+**  
**Speakers**



**20+**  
**Sessions**



**20**  
**Sponsors**

## 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>.

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SPONSORSHIP PACKAGES	DIAMOND	PLATINUM	GOLD	SILVER
<b>Pre-Event 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	✓	✓	✓	✓
Opportunity to link thought leadership to the event website	✓	✓	✓	✓
<b>Days of Event Benefits</b>				
Total Complimentary Registrations Offered	4	3	2	1
Promotional brochure in pdf format, included on AML Mobile App	✓	✓	✓	✓
Dedicate Sponsor Listing placed on AML 2019 Website & Mobile App	✓	✓	✓	✓
Dedicated Sponsorship listing by Tier in print & digital format, placed in various locations at the hosted venue.	✓	✓	✓	✓
Partner Workshop Sessions (limited Opportunities) – offered as additional offerings.	✓	✓	✓	✓
<b>Post-Event Benefits</b>				
Company listing and firm description on the AML 2019 Annual Conference website.	✓	✓	✓	✓
Complete mailing lists of all conference 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.	✓	✓	✓	✓
2019 Sponsorship Cost	\$19,500 SIFMA Member Rate \$22,000 Non-Member Rate	\$15,500 SIFMA Member Rate \$18,000 Non-Member Rate	\$12,500 SIFMA Member Rate \$15,000 Non-Member Rate	\$10,000 SIFMA Member Rate \$12,500 Non-Member Rate

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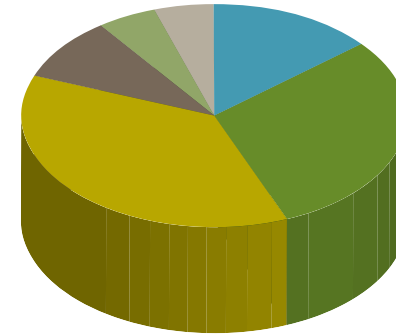
SIFMA's Annual Anti-Money Laundering & Financial Crimes Conference continues to be the leading forum for professionals from the securities industry, regulatory agencies and law enforcement to discuss current legal and regulatory developments and priorities in the AML and financial crimes space.

AML and financial crimes professionals continue to serve as a vital role within the compliance department at firms. Don't miss your opportunity to gather with colleagues and peers to see how firms are adapting to the new scrutiny, new regulations, and new questions from our regulators around the globe and join in the conversation about the path forward. Throughout the two-day program, participants will have the opportunity to hear directly from the industry's regulators; participate in closed-door breakout sessions and network with policy makers and peer compliance professionals.

The targeted audience includes leading experts from the financial services industry, regulatory agencies and law enforcement to discuss new trends in financial crime, emerging issues relating to anti-money laundering, elder fraud, economic sanctions and anti-bribery/anti-corruption compliance, and changes in regulatory expectations and requirements.

Industry partners with solutions in the anti-money laundering and financial crimes space are invited to participate as supporting sponsors of the event.

## SIFMA AML 2018 ATTENDEE PROFILE



- C-Suite - 14%
- Managing Director and Senior Executive - 30%
- Vice President and Director - 37%
- General Counsel & Attorney - 9%
- Regulator - 5%
- Consultant - 5%



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## SIFMA's 19th Annual Anti-Money Laundering & Financial Crimes Conference Sponsorship Package offers maximum value with the following benefits:

### Pre-Conference Benefits:

SIFMA's AML Conference is a heavily marketed event that reaches more than 75,000 individuals throughout the Seven-Month Marketing Campaign. Sponsors will benefit from pre-marketing exposure that includes:

- Prominent placement of logo and firm profile on the 2018 AML Conference website
- Prominent placement of logo on SIFMA's dedicated emails, which includes email campaigns highlighting dates, program, etc. targeting more than 75,000 individuals
- Opportunity to link thought leadership to SIFMA's event website
- Preliminary mailing lists of all conference participants sent in electronic format, which includes registrants name, title, firm affiliation and mailing address, sent four (4) weeks in advance of the 2018 AML Conference

### Conference Event Site Benefits:

- Access to food and networking functions
- Exhibit Space that includes a Table Display & Two (2) exhibit only personnel badges
- Prominent brand recognition during the sponsored function (if applicable), with logo displayed on dedicated signage, that includes both print and digital formats, strategically placed in various outlets such as registration area, general session slide deck, sponsor recognition video loop, etc.
- Recognition at the sponsored function (if applicable)
- Dedicated sponsor listing placed within the SIFMA AML Conference Pocket Guide and Event App, branding company logo, listing contact name, company profile
- Company listing and description on the 2018 SIFMA AML Conference website

### Post-Conference Benefits:

- Company listing, corporate logo and contact details strategically placed on SIFMA's AML Conference website page
- Complete mailing lists of all 2019 SIFMA AML Conference attendees in electronic format sent at the conclusion of the conference
- Sponsor recognition on post-event highlights, sent to all registrants via email a few weeks following the event and remain on the website for 3-4 months past the 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

### DIAMOND

WWW.SRZ.COM

### PLATINUM

### GOLD

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### SIFMA AML2019 Partner Workshops

SIFMA is pleased to offer contracted sponsors an opportunity to participate on the program agenda during this year's Conference by holding a Partner Workshop Session which 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. There are only four (4) opportunities available and all Partner Workshop Sessions offered are on a first-come/first-serve basis offered to contracted sponsors only. All session titles and descriptions are subject to a pre-approval process by SIFMA.

### Partner Workshop package offers maximum value with the following:

- All workshop hosts must be a contracted Sponsor of the Conference
- Each workshop host will have the opportunity to speak exclusively to a group of up to 60 registrants
- Your session may be conducted in any fashion that you would prefer to facilitate your presentation
- A room will be provided that can accommodate up to 60 people
- One (1) Complimentary Speaker Registration included as part of the Partner Workshop Session Sponsorship. Any additional speakers must pay the register fee for the conference via the on-line registration link

Partners are responsible for Internet Access Fees.

#### Investment:

\$6,000 SIFMA Member Rate

\$8,500 Non-Member Rate

**(4) Available**



#### SILVER



#### SPONSOR



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## **Diamond Sponsorship**

**Investment:**

- \$19,500 SIFMA Discounted Member
- \$22,000 Non-Member Rate

**Benefits Include:**

- Four (4) Complimentary Conference Registrations
- Table Display and Two (2) Table Staff Badges for the duration of the Conference

## **Gold Sponsorship**

**Investment:**

- \$12,500 SIFMA Discounted Member
- \$15,000 Non-Member Rate

**Benefits Include:**

- Two (2) Complimentary Conference Registrations
- Table Display and Two (2) Table Staff Badges for the duration of the Conference

## **Platinum Sponsorship**

**Investment:**

- \$15,500 SIFMA Discounted Member
- \$18,000 Non-Member Rate

**Benefits Include:**

- Three (3) Complimentary Conference Registrations
- Table Display and Two (2) Table Staff Badges for the duration of the Conference

## **Silver Sponsorship**

**Investment:**

- \$10,000 SIFMA Discounted Member
- \$12,500 Non-Member Rate

**Benefits Include:**

- One (1) Complimentary Conference Registration
- One (1) Discounted Member Rate Conference Registration
- Table Display and Two (2) Table Staff Badges for the duration of the Conference

*SIFMA does NOT guarantee any Speaking opportunities as part of a Sponsorship Benefit's package offered during the conference.*

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<p><b>INVESTMENT</b>  <b>\$19,500 SIFMA Member Rate</b>  <b>\$22,000 Non-Member Rate</b></p> <ul style="list-style-type: none"> <li>• Four (4) Complimentary Conference Registrations</li> <li>• Table Display and Two (2) Table Staff Badges for the duration of the Conference</li> </ul>	<p><b>MONDAY, FEBRUARY 4</b>  <b>SIFMA AML Committee Dinner</b></p> <p>Private VIP Dinner set in a relaxed atmosphere offering invited guests the opportunity to come together and enjoy an evening of good food and conversations with new and existing business associates. This event will host approximately 25-30 senior leaders representing SIFMA's AML Committee Members, Speakers and other VIP's in attendance, this is an exclusive by-invitation only event and all dinner logistics, including menu selection, venue, invitations and RSVP lists are managed by SIFMA Staff Advisors.</p> <p><b><i>Speaking opportunities are not included as part of the sponsorship benefits package.</i></b></p>	<p><b>SOLD!</b></p>



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PLATINUM	SPONSORSHIP	AVAILABILITY
<p><b>INVESTMENT</b>  <b>\$15,500 SIFMA Member Rate</b>  <b>\$18,000 Non-Member Rate</b></p> <ul style="list-style-type: none"> <li>• Three (3) Complimentary Conference Registrations</li> <li>• Table Display and Two (2) Table Staff Badges for the duration of the Conference</li> </ul> 	<p><b>SIFMA AML 2019 Mobile App</b></p> <p>The SIFMA AML 2019 Mobile App offers a sponsoring firm maximum exposure with branding on the Mobile App. This exclusive sponsorship opportunity is a downloadable app, at no additional cost to conference attendees. The Mobile App offers easy access to all program materials including the meeting agenda, schedule, speaker bios, attendee list, sponsors. The conference app will also have an audience response system that will be used throughout the event during general session presentations.</p>	<p><b>SOLD!</b></p>
	<p><b>MONDAY, FEBRUARY 4</b>  <b>Networking Luncheon</b></p> <p>Networking Luncheon open to all conference participants, allows for one-on-one conversations with industry colleagues, clients and potential prospects offering a sponsoring firm prominent brand recognition.</p>	<p><b>Available</b></p>
	<p><b>TUESDAY, FEBRUARY 5</b>  <b>Networking Luncheon with Speaker presentation</b></p> <p>Networking Luncheon, open to all conference participants, allows for one-on-one conversations with industry colleagues, clients and potential prospects, offering sponsoring firm prominent brand recognition.</p>	<p><b>SOLD!</b></p>
	<p><b>MONDAY, FEBRUARY 4</b>  <b>Welcome Reception</b></p> <p>The AML Welcome Reception, open to all conference participants, is the gathering place for all participants to come together and catch up with colleagues, new and old set in the Sponsor Showcase area and includes food stations, passed hors d'oeuvres and open bar.</p>	<p><b>SOLD!</b></p>
	<p><b>Wi-Fi for Conference Attendees</b></p> <p>Complimentary Wi-Fi usage for all AML participants during event sessions available for the duration of the event. Offering sponsoring firm an opportunity to customize the Password for access as well as acknowledgement of sponsoring firm included on a re-directed splash page, on program materials and on print and digital signage.</p>	<p><b>Available</b></p>

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GOLD	SPONSORSHIP	AVAILABILITY
<p><b>INVESTMENT</b>  <b>\$12,500 SIFMA Member Rate</b>  <b>\$15,000 Non-Member Rate</b></p> <ul style="list-style-type: none"> <li>• Two (2) Complimentary Conference Registrations</li> <li>• Table Display and Two (2) Table Staff Badges for the duration of the Conference</li> </ul>	<p><b>General Session Audio Visual</b></p> <p>Prominent brand recognition of sponsorship included on General Session slide deck, viewed by all attendees as they enter the Ballroom.</p>	<p><b>CO- SPONSORSHIP</b>  <b>Monday, February 4</b>  <b>One (1) SOLD, One (1) Available</b></p> <p><b>Tuesday, February 5</b>  <b>Two (2) Available</b></p>
	<p><b>Continental Breakfast</b></p> <p>Networking opportunity offering prominent brand recognition, serving a variety of healthy breakfast choices along with hot &amp; cold beverages, set in the Sponsor Showcase, allowing for one-on-one conversations with industry colleagues, clients and potential prospects.</p>	<p><b>Monday, February 4</b>  <b>SOLD!</b></p> <p><b>Tuesday, February 5</b>  <b>SOLD!</b></p>




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SILVER	SPONSORSHIP	AVAILABILITY
<p><b>INVESTMENT</b>  <b>\$10,000 SIFMA Member Rate</b>  <b>\$12,500 Non-Member Rate</b></p> <ul style="list-style-type: none"> <li>• One (1) Complimentary Conference Registration</li> <li>• One (1) Discounted Member Rate Conference Registration</li> <li>• Table Display and Two (2) Table Staff Badges for the duration of the Conference</li> </ul> 	<p><b>Attendee Lanyard</b></p> <p>What better way to leave an impression than to see 400+ attendees wearing your firm's name/logo around their neck for the duration of the conference? Name badge lanyards are worn around the neck of each attendee to gain access to sessions. Co-Branded, SIFMA pre-approved lanyard produced by sponsoring firm and distributed with registration materials to all conference participants.</p>	<p><b>SOLD!</b></p>
	<p><b>Attendee Tote Bag</b></p> <p>Co-Branded Attendee Tote Bag, produced and provided by sponsoring firm, distributed to all conference participants with program materials during registration.</p>	<p><b>SOLD!</b></p>
	<p><b>Charging Station</b></p> <p>The AML Charging Station is set in the Sponsor Showcase area, offering conference participants the option to charge their personal devices while attending sessions or networking throughout the event.</p>	<p><b>SOLD!</b></p>
	<p><b>Conference Pocket Guide</b></p> <p>Printed program guide includes detailed agenda, speaker bios, attendee list and offers Sponsoring firm a full-page advertisement strategically placed on outside back cover.</p>	<p><b>SOLD!</b></p>
	<p><b>Hotel Room Key Cards*</b></p> <p>Co-Branded Hotel Room Key Cards produced by SIFMA and distributed to all participants during hotel registration.</p>	<p><b>SOLD!</b></p>
	<p><b>Mobile Device Charging Sticks</b></p> <p>Co-Branded Charging Sticks, produced and provided by sponsoring firm, distributed to all conference attendees during registration.</p>	<p><b>Available</b></p>


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<p><b>INVESTMENT</b>  <b>\$10,000 SIFMA Member Rate</b>  <b>\$12,500 Non-Member Rate</b></p> <ul style="list-style-type: none"> <li>• One (1) Complimentary Conference Registration</li> <li>• One (1) Discounted Member Rate Conference Registration</li> <li>• Table Display and Two (2) Table Staff Badges for the duration of the Conference</li> </ul>	<p><b>Networking Refreshments (Morning &amp; Afternoon)</b></p> <p>Networking Refreshments, hosted in the Sponsor Showcase Area, allowing for one-on-one networking opportunities with industry colleagues and prospects, offering sponsoring firm prominent brand recognition.</p>	<p><b>Morning:</b>  <b>Monday, February 4</b>  <b>SOLD!</b>  <b>Tuesday, February 5</b>  <b>SOLD!</b></p> <p><b>Afternoon:</b>  <b>Monday, February 4</b>  <b>SOLD!</b>  <b>Tuesday, February 5</b>  <b>SOLD!</b></p>
<p><i>*SIFMA policy dictates that all branded sponsorship items must include SIFMA logo or the “Proud Support of SIFMA” creative. Creative guidelines will be included with final invoice.</i></p>	<p><b>Note Pads / Writing Tablet &amp; Pen*</b></p> <p>Notepads/Writing Tablets are an easy and effective way to get your message in the hands of every registered conference attendee. Popular hard-covered notebooks distributed to all attendees in their Conference bag. Place your logo on the cover of this notebook and get exposure at and beyond the conference as attendees return to their offices and desks to review important notes, memory-joggers and names of contacts.</p>	<p><b>Available</b></p>
	<p><b>Other Items</b></p> <p>If you have an item you would like to co-brand with SIFMA that is not listed above, please contact Diana Serri (dserri@sifma.org) to discuss further.</p>	<p><b>Available</b></p>
	<p><b>Speaker Ready Room</b></p> <p>SIFMA’s AML Conference Speaker Ready Room is the gathering place where all speakers come together prior to the start of their individual session presentations. The speaker ready room is set with computers and printers as well as light refreshments throughout the day offering all speakers a private area to check in and review for their upcoming sessions. Sponsoring firm has an opportunity to display promotional literature within the room.</p>	<p><b>Available</b></p>

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## 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 Non-Member Rate: \$25,000	SIFMA Member Rate: \$12,000 Non-Member Rate: \$15,000	SIFMA Member Rate: \$10,000 Non-Member Rate: \$12,000



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ABN AMRO Clearing Chicago LLC

ACA Compliance Group

ACAMS

Accenture LLP

Advisor Group

Alabama Securities Commission

Allen & Overy LLP

Ally Financial Inc.

Ameriprise Financial Services, Inc.

AML Right Source

Apex Clearing Corporation

Apollo Global Management, LLC

Authentic8, Inc.

AXA Equitable

B.C. Ziegler and Company

Banco Santander

Bank Leumi USA

Bank of America Merrill Lynch

Bank of New York Mellon

Bank of Nova Scotia

Barclays

Bates Group LLC

BB&T Corporation

BBVA Securities Inc.

Bedford and Main Financial Consulting, Inc.

Benjamin F. Edwards & Co.

BlackRock, Inc.

Bloomberg Law

BMO Capital Markets Corp.

BNP Paribas

BNY Mellon

Booz Allen Hamilton

Bressler, Amery & Ross, P.C.

Broadridge Financial Solutions, Inc.

BrokerTec Americas LLC

Brown Brothers Harriman & Co.

BTIG, LLC

Canadian Imperial Bank of Commerce (CIBC)

Cantor Fitzgerald & Co.

Capital Group Companies, Inc.

Capital One Investing, LLC

Capital Research and Management Company

Cerberus Capital Management, L.P.

Charles Schwab & Co., Inc.

China Renaissance Securities (US) Inc.

Citadel LLC

Citi

Citigroup Global Markets Inc.

Clearpool Execution Services, LLC

Clifford Chance US LLP

Compliance Reporter

Continental Stock Transfer & Trust Company

COR Clearing LLC

Cowen, Inc.

Credit Suisse Securities (USA) LLC

Crowe Horwath LLP

Daiwa Capital Markets America Inc.

Davenport & Company LLC

Davis Polk & Wardwell LLP

Debevoise & Plimpton LLP

Deloitte Services LP

Depository Trust & Clearing Corporation (DTCC)

Deutsche Bank AG

Dow Jones & Co Inc

E\*Trade

EBS BrokerTec

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Edward D. Jones & Co., L.P.	Gowling WLG (Canada) LLP	M&T Securities, Inc.
Ernst & Young LLP	Guggenheim Partners, LLC	MBSC Securities Corporation
Euroclear	HFM Compliance	Merlon Intelligence
Eversheds Sutherland (US) LLP	HSBC Securities (USA) Inc.	Mesirow Financial, Inc.
Exane, Inc.	ICAP Services North America LLC	Mizuho Securities USA Inc.
Exiger	IFLR Euromoney Institutional Investor	MML Investors Services, LLC
Fannie Mae	Industrial and Commercial Bank of China Financial Services LLC	Moore & Van Allen, PLLC
Federal Deposit Insurance Corporation (FDIC)	Intercontinental Asset Management Group, Ltd.	Morgan Stanley & Co. LLC
Federal Reserve Bank of New York	INTL FCStone Financial Inc.	MUFG Securities Americas Inc.
Federal Reserve Board	J.P. Morgan Securities LLC	NASDAQ
Fidelity Investments	Jane Street Capital, LLC	National Financial Services LLC
Fifth Third Bank	JDX Consulting	National Futures Association (NFA)
Financial Crimes Enforcement Network (FinCEN), US Department of the Treasury	Jefferies LLC	National Securities Corporation
Financial Industry Regulatory Authority Inc (FINRA)	JPMorgan Chase & Co.	Nationwide Financial
Financial Transactions and Reports Analysis Centre of Canada (FINTRAC)	Katten Muchin Rosenman LLP	Natixis North America LLC
First Republic Bank	KeyBank, N.A.	Navigant Consulting, Inc.
Firststrade Securities Inc.	KGS-Alpha Capital Markets, LP	Neuberger Berman Group LLC
Fiserv Inc	Kroll Inc	New York Life Insurance Company
GARP Risk Intelligence	Lombard International	New York Police Department
Gibson, Dunn & Crutcher LLP	Lord, Abbett & Co. LLC	Nomura Research Institute America, Inc.
Goldman, Sachs & Co.	LPL Financial LLC	Nuveen Investments, Inc.
		Oppenheimer & Co. Inc.

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OTC Markets Group, Inc.

Patterson Belknap Webb & Tyler LLP

Pershing LLC, a BNY Mellon Company

PFS Investments Inc.

Piper Jaffray & Co.

PJT Partners LP

PNC Financial Services Group, Inc.

PricewaterhouseCoopers LLP

ProEquities, Inc.

Promontory Financial Group, LLC

Prudential Financial, Inc.

PwC

Raymond James Financial, Inc.

RBC Capital Markets, LLC

Regulatory DataCorp, Inc.

Robert W. Baird & Co. Incorporated

Royal Bank of Scotland plc

Safe Banking Systems, LLC

Schulte Roth & Zabel LLP

Scotiabank

SEBA International

Securities America, Inc.

SIFMA

SIX Financial Information USA Inc.

SmartBrief

SMBC Nikko Securities America, Inc.

Societe Generale

State Street Corporation

Stephens Inc.

Stifel Financial Corp.

Stroz Friedberg LLC

T. Rowe Price Associates, Inc.

TCW

TD Ameritrade, Inc.

Texas Capital Bank

The Dreyfus Corporation, a BNY Mellon Company

The Northern Trust Company

Thomson Reuters

TIAA-CREF Individual & Institutional Services, LLC

TiigerGraph, Inc.

U.S. Bancorp Investments, Inc.

U.S. Department of Justice

U.S. Department of the Treasury

UBS Asset Management

UniCredit Bank AG

United States Attorney's Office

US Securities and Exchange Commission (SEC)

USAA Financial Advisors, Inc.

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