



SIFMA's Press Policy – 2019 Compliance & Legal Seminar

At the SIFMA 2019 Compliance & Legal Seminar the following keynote speakers are open to the press. The remainder of the conference, including all breakout sessions, is closed to press:

Monday, March 25th:

- Welcome Remarks, 8:00-8:10am
- A Conversation with FINRA President and CEO, Robert Cook 8:10-8:40am
- Enforcement Panel, 8:40-10:00am

Tuesday, March 26th:

- Welcome Remarks, 8:00-8:05am
- Presentation of the Alfred J. Rauschman Memorial Award, 8:05-8:15am
- A Conversation with SEC Chairman Jay Clayton, 8:15-8:45am
- Regulatory Panel, 8:45-10:00am

Wednesday, March 27th:

- Closing Remarks, 8:15-8:25am
- Invested in Our Clients: James R. Allen, Chairman and CEO of Hilliard Lyons and Chair of SIFMA's 2019 Board of Directors, 8:25-8:35am
- Featured Speaker Madeleine K. Albright, 8:35-9:35am

SIFMA welcomes press attendance at the majority of its conferences and events. However, portions of some of our events are closed to press to enable SIFMA members to engage in candid dialogue on sensitive compliance issues among themselves and with regulators. In order to meet the information and educational needs of its members, SIFMA enforces a few key policies regarding the media.

- **Reporters must register in advance.**
- **Press must hold their questions at SIFMA events until after members have first had an opportunity to ask their questions.**
- **Press, along with audience members, must identify themselves and the name of their publication when asking questions at open sessions.**
- **Press must wear conference name badges for the entire event.**
- **During open meetings, speakers and panelists may be identified and quoted. However, reporters must first obtain permission to quote audience members who ask questions or comment during a meeting.**
- **Members of the media must identify themselves as members of the press when speaking with attendees during informal conversations at meetings and mutually agree as to whether the conversation is to be used in a story.**



Invested in America

- While the majority of its events are on the record, some meetings are for members only in order to permit SIFMA to conduct its activities.
- Media are free to use tape recorders and laptop computers as long as they do not interfere with the proceedings. Video cameras are also permitted with advance notice.

When possible, the media will be given an opportunity to meet with the speakers and panelists after the sessions. Reporters are also welcome to join members at related social events for off-the-record or background conversations. Any interviews should be conducted separately.

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