



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

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

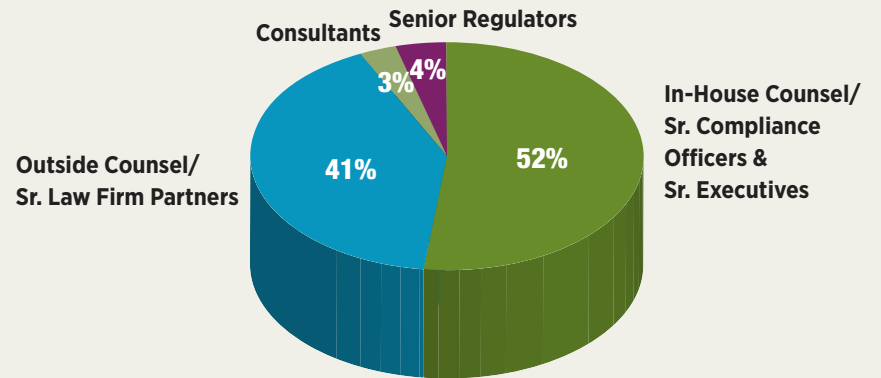
Law Firms, Consulting Firms and Service Providers who specialize in compliance and legal products and/or services are invited to exhibit and sponsor at this Annual Seminar. Industry vendors in fields such as compliance, surveillance systems, litigation, document management support, training and consulting 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
Pre-Seminar Benefits							
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.	√	√	√	√	√	√	√
Days of Seminar Benefits							
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.	√	√	√	√	√	√	√
Post-Seminar Benefits							
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.	√	√	√	√	√	√	√
2019 Sponsorship Cost							
	\$50,000 Member \$55,000 Non-Member	\$35,000 Member \$40,000 Non-Member	\$28,500 Member \$33,500 Non-Member	\$25,000 Member \$30,000 Non-Member	\$18,500 Member \$22,500 Non-Member	\$15,500 Member \$18,500 Non-Member	\$10,500 Member \$13,500 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



FRIED FRANK

KIRKLAND & ELLIS

Morgan Lewis

Paul | Weiss

ROPES & GRAY

SULLIVAN & CROMWELL LLP

PLATINUM

accenture

AlixPartners



CLEARY GOTTLIEB

Deloitte.



Moore & Van Allen

WACHTELL
LIPTON
ROSEN &
KATZ

SILVER

CADWALADER



Debevoise & Plimpton



KING & SPALDING



LATHAM
LATHAM & WATKINS



NORTON ROSE FULBRIGHT

OLIVER WYMAN



SHEARMAN & STERLING LLP

SIDLEY

Skadden



WILMERHALE

WINSTON & STRAWN
LLP

BRONZE



MURPHY & MCGONIGLE
A Professional Corporation

O'Melveny



Drinker Biddle

Katten
Katten Muchin Rosenman LLP

MAYNARD
COOPER GALE



Nardello & Co.

siapartners

smarsh™



SheppardMullin

Snell & Wilmer
LAW OFFICES

VedderPrice



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) Available

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!**

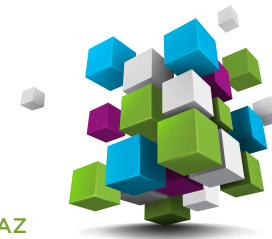
Co-Branded Hotel Room Key Cards produced by SIFMA, distributed to all participants as they register for their hotel rooms - includes Sponsoring firm's logo printed on the face of each key card.



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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

(1) SOLD!
(1) Available

Session B

(1) SOLD!
(1) 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	Sponsorship
<p>Investment</p> <p>\$18,500 SIFMA MEMBER RATE \$22,500 NON-MEMBER RATE</p> <p>Benefits Include</p> <ul style="list-style-type: none"> • One (1) Complimentary Seminar Registration • Access to One (1) Hotel Room 	<p>Professional Headshot Photos, Monday & Tuesday - March 25 & 26 - SOLD!</p> <p><i>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.</i></p> <hr/> <p>Run for a Purpose- Monday, March 25 - SOLD!</p> <p><i>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.</i></p> <hr/> <p>Smart Wallets - Available</p> <p><i>Co-Branded Smart Wallets, produced and provided by sponsoring firm, placed in attendee bag and distributed to all participants during registration..</i></p> <hr/> <p>Sport Bottle - SOLD!</p> <p><i>Co-Branded, environmental friendly sport bottle, produced and provided by sponsoring firm, placed in attendee tote bag and distributed to all participants during registration.</i></p> <hr/> <p>Sun Screen - Available</p> <p><i>Co-Branded Sun Screen Bottles, produced and provided by sponsoring firm, placed in attendee tote bag and distributed to all participants during registration.</i></p>

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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.
(1) SOLD!
(1) 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

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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.

(14) SOLD! Multiple Opportunities Available



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Advertising & Content Marketing Opportunities

SIFMA EVENT PACKAGES - Available

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

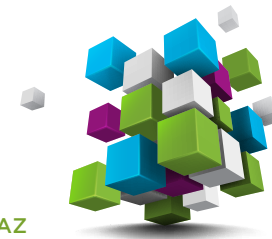
GOLD PACKAGE	SILVER PACKAGE	BRONZE PACKAGE
1-Part Event Special Update	1-Part Event Special Update	N/A
5 Ads in SIFMA SmartBrief <ul style="list-style-type: none"> • 2 Leaderboard • 3 Rectangle Text 	N/A	5 Ads in SIFMA SmartBrief <ul style="list-style-type: none"> • 2 Leaderboard • 3 Rectangle Text
Recognition 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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Advertising & Content Marketing Opportunities

SIFMA'S C&L SOCIETY MEMBER UPDATE

A monthly roundup of news, filings and events for the compliance and legal society. It contains important updates; where member events are taking place; and a personalized note from the president of the society and SIFMA's general counsel.

Leaderboard and rectangle-text advertisements are available directly through SIFMA.

Please contact Diana Serri, Vice President, Head of Exhibit Sales at 212.313.1258 or dserri@sifma.org.

**Ads subject to availability; ad run dates served on a first-come, first-serve basis. Ads must be placed within _____*

sifma
C&L MEMBER UPDATE

Welcome to this edition of SIFMA's Compliance & Legal Society Member Update, a monthly roundup of news, filings and events. Read on for important updates and to discover what member events are happening in your region.

We welcome your feedback on this member update - please email csociety@sifma.org to share your thoughts, including requests for additional content.

FEATURED COMMENTS & FILINGS

FINRA Releases 2019 Risk Monitoring and Examination Priorities
FINRA today released its 2019 Risk Monitoring and Examination Priorities Letter, highlighting new priorities as well as identifying areas of ongoing concern that FINRA will continue to review in the coming year. This year's letter focuses on materially new issues that help firms better identify those priorities that are relevant to their business.

SEC's OCIE Announces 2019 Examination Priorities
In 2019, OCIE will continue to stay abreast of changes in the SEC's registrant base, the markets, and investor needs and preferences and will adjust its risk-based program in response to these changes. The priorities provide a preview of key areas where OCIE intends to focus its limited resources, but they do not encompass all of the areas that will be covered in examinations.

Recent SIFMA Amicus Briefs of Note
University of Southern California v. Munro
SIFMA has filed an Amicus in U.S. Supreme Court (petition for writ of cert.) on whether an agreement to arbitrate "all claims" that an ERISA plan participant "may have" against a plan fiduciary encompasses a breach-of-fiduciary-duty claim under ERISA § 502(a)(3). [View Brief](#)

SIFMA C&L ANNUAL SEMINAR
Program Now Available

Madeline K. Albright is Chair of Albright Stonebridge Group, a global strategy firm, and Chair of Albright Capital Management LLC, an investment advisory firm. She was the 64th Secretary of State of the United States, elected in 1997. At that time, Dr. Albright became the highest ranking woman in the history of the U.S. government.

2019 REGIONAL SEMINARS

Regional seminars are comprehensive one-day updates, featuring presentations by leading securities regulators and industry professionals on timely topics.

- Boston Regional Seminar**
May/June TBD | Boston, MA
- St. Louis Regional Seminar**
June TBD | St. Louis, MO
- San Francisco Regional Seminar**
July TBD | San Francisco, CA
- Charlotte Regional Seminar**
September TBD | Charlotte, NC
- New York Regional Seminar**
October TBD | New York, NY

Crossword

It's the best part of digital content in the New York Times Crossword.

Ready for a fun challenge? From the only puzzle with a built-in timer, to expert advice on how to solve the most complex of the crossword, these tips and tricks will help you conquer the crossword.

www.nytimes.com/crossword

LUNCHEONS

Luncheons are opportunities to gain insights from influential voices in the compliance and legal industry while connecting with colleagues.

February Luncheon
February 26 | SIFMA Conference Center, New York, NY
Featured Speaker: Michael Heid, General Counsel and Executive Vice President, Federal Reserve Bank of New York

FUTURE LEADERS

Future leaders are the next generation of the Compliance & Legal Society. Join peers for thought-provoking discussions and networking.

Transitioning to New Roles: The Path to Senior Management
February 13 | Edward Jones, St. Louis, MO

Transitioning to New Roles: The Path to Senior Management
May TBD | SIFMA Conference Center, New York, NY
Webinar option is available.

BREAKFASTS

Network with colleagues and receive updates from industry practitioners and regulators at these morning events. Registration is complimentary for C&L Society members!

We're adding more locations across the country! Please stay tuned and visit www.sifma.org/cl for updates.

sifma SmartBrief
A DAILY SNAPSHOT ON THE CAPITAL MARKETS **SIGN UP NOW**

CONNECT WITH C&L

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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. **(9) SOLD!**



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		Sponsorship					
<p>Investment</p> <p>\$5,500 SIFMA MEMBER RATE \$6,500 NON-MEMBER RATE</p> <ul style="list-style-type: none"> All Lunch & Learn presentations are offered exclusively to a contracted Sponsors & Exhibitors of the Seminar. Suggested format of presentation is Featured Speaker Presentation. Session title, description, speaker name and title will be listed on the program agenda, that includes the SIFMA C&L 2019 Website, Event Mobile App as well as in all printed event material. 	<p>Lunch & Learn</p> <p><i>Exclusive to contracted sponsors and exhibitors, the SIFMA C&L 2019 Lunch & Learn Sessions offer an opportunity to share thought leadership insight to a captive audience in a One-Hour or less Lunch & 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 & Tuesday, March 25 & 26.</i></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; padding: 5px;"> <p>Monday, March 25 (4) SOLD!</p> </td> <td style="width: 50%; padding: 5px;"> <p>Tuesday, March 26 (3) SOLD! (1) Available</p> </td> </tr> </table>				<p>Monday, March 25 (4) SOLD!</p>	<p>Tuesday, March 26 (3) SOLD! (1) Available</p>	
<p>Monday, March 25 (4) SOLD!</p>	<p>Tuesday, March 26 (3) SOLD! (1) Available</p>						
<p>Investment</p> <p>\$4,000 SIFMA MEMBER RATE \$5,000 NON-MEMBER RATE</p> <ul style="list-style-type: none"> All Learning Lab presentations are offered exclusively to contracted Sponsors & Exhibitors of the Seminar. Suggested format of presentation is Ted Talk Style - Featured Speaker. Session title, description, speaker name and title will be listed on the program agenda, that includes the SIFMA C&L 2019 Website, Event App as well as in all printed event material. 	<p>SIFMA C&L Learning Labs</p> <p><i>Exclusive to contracted sponsors & exhibitors, the SIFMA C&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: 33%; padding: 5px;"> <p>Sunday, March 24 Afternoon 2 Available</p> </td> <td style="width: 33%; padding: 5px;"> <p>Monday, March 25 Breakfast Available Networking Break 1 Available Networking Break 2 SOLD!</p> </td> <td style="width: 33%; padding: 5px;"> <p>Tuesday, March 26 Breakfast Available Networking Break 1 Available Networking Break 2 Available</p> </td> </tr> </table>			<p>Sunday, March 24 Afternoon 2 Available</p>	<p>Monday, March 25 Breakfast Available Networking Break 1 Available Networking Break 2 SOLD!</p>	<p>Tuesday, March 26 Breakfast Available Networking Break 1 Available Networking Break 2 Available</p>	
<p>Sunday, March 24 Afternoon 2 Available</p>	<p>Monday, March 25 Breakfast Available Networking Break 1 Available Networking Break 2 SOLD!</p>	<p>Tuesday, March 26 Breakfast Available Networking Break 1 Available Networking Break 2 Available</p>					

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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

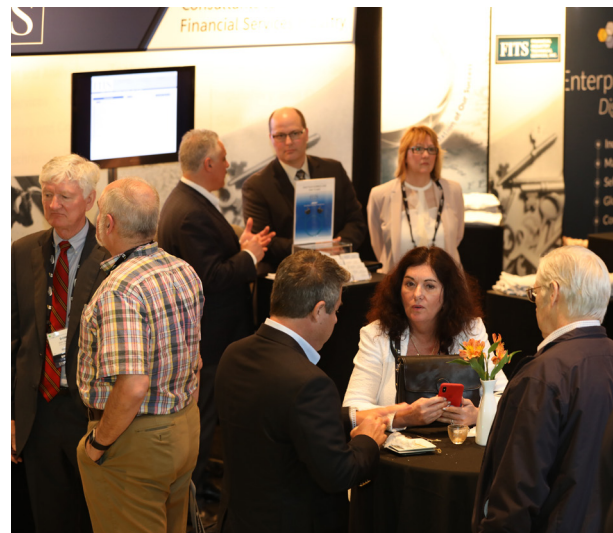
\$9,500 SIFMA MEMBER RATE

\$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 Two (2) 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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Exhibitor Benefits

Exhibitor Benefits	
Pre-Seminar Benefits	
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.	√
Days of Seminar Benefits	
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.	√
Post-Seminar Benefits	
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.	√
2019 Sponsorship Cost	
	\$9,500 Member \$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



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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



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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.
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Jenks & Harvey LLP	KPMG LLP	Marshall Dennehey Warner Coleman & Goggin PC	Mound Cotton Wollan & Greengrass
Jenner & Block LLP	LaSalle Investment Management		
	Latham & Watkins LLP		



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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
Neal, Gerber & Eisenberg LLP	Park Senseing LLC	Quilling, Selander, Lownds, Winslett & Moser, P.C.	Sanford C. Bernstein & Co., LLC
Nelson Mullins Riley & Scarborough LLP	Parker, Hudson, Rainer & Dobbs LLP	QuisLex	Santander Securities LLC
NERA Economic Consulting	Pastore & Dailey LLC	Rabo Securities USA, Inc.	Sapiens Decision
New York City Bar	Paul Hastings LLP	Rabobank International	Saretsky Hart Michaels & Gould PC
NICE Actimize	Paul, Weiss, Rifkind, Wharton & Garrison LLP	Raymond James & Associates, Inc.	Schiff Hardin LLP
Nomura Securities International, Inc.	Pershing LLC, a BNY Mellon Company	RBC Capital Markets, LLC	Schnader Harrison Segal & Lewis LLP
North American Securities Administrators Association (NASAA)	Pescosolido Mediation and Consulting LLC	Red Capital Markets, LLC	Schulte Roth & Zabel LLP
Northwestern Mutual Investment Services, LLC	Phillipson & Uretsky, LLP	Redburn Partners (USA) LP	Schwab Compliance Technologies, Inc.
Norton Rose Fulbright LLP	PJT Partners LP	Reed Smith LLP	Scotia Capital (USA) Inc.
n-Tier Financial Services LLC	PNC Financial Services Group, Inc.	RegEd	Scottrade, Inc.
Nuveen Investments, Inc.	Popular Securities, LLC	Regions Bank	SEBA International
Office of the Comptroller of the Currency (OCC)	Portfolio Media, Inc.	Reminger Co., L.P.A.	Second Line Advisors, LLC
Oliver Wyman	Precision Management	Renaissance Regulatory Services, Inc.	Secure Financial Services Inc.
O'Melveny & Myers LLP	Preston Financial Law & Consulting PLLC	Reuters Breakingviews	Securities America, Inc.
		Richards Kibbe & Orbe LLP	Securities Arbitration Commentator
		Riley Safer Holmes & Cancila LLP	Securities Investor Protection Corporation (SIPC)



2018 C&L Annual Seminar Participating Firms:

Securities Litigation Analysts LLC	Stevens & Lee	TradeStation Securities, Inc.	Wells Fargo & Company
Serious Fraud Office	Stifel Financial Corp.	Tradeweb LLC	West Consulting, LLC
Seward & Kissel LLP	Stinson Leonard Street LLP	Tradition Securities and Derivatives Inc.	Westpac Banking Corporation
Seyfarth Shaw LLP	StoneTurn Group LLP	Tudor, Pickering, Holt & Co., LLC	Wexler Burkhardt Hirschberg & Unger, LLP
SG Americas Securities, LLC	Stradley Ronon Stevens & Young, LLP	U.S. Bancorp Investments, Inc.	White & Case LLP
Shearman & Sterling LLP	Stroock & Stroock & Lavan LLP	U.S. Bank	Wiand Guerra King P.L.
Sheppard, Mullin, Richter & Hampton LLP	Sullivan & Cromwell LLP	U.S. Commodity Futures Trading Commission (CFTC)	Williams & Connolly LLP
Sia Partners	Sumitomo Mitsui Banking Corporation	U.S. Department of the Treasury	Willkie Farr & Gallagher LLP
Sidley Austin LLP	Susquehanna International Group LLP	U.S. Trust, Bank of America Private Wealth Management	WilmerHale
Siebert, Cisneros, Shank & Co., L.L.C.	SVB Securities	UBS Securities LLC	Winget, Spadafora & Schwartzberg, LLP
SIFMA	TO	Ulmer & Berne LLP	Winslow Capital Management LLC
Silicon Valley Bank	Tarter Krinsky & Drogin	US Securities and Exchange Commission (SEC)	Winstead PC
Simpson Thacher & Bartlett LLP	TD Ameritrade, Inc.	USAA Brokerage Services	Winston & Strawn LLP
Skadden, Arps, Slate, Meagher & Flom LLP	TeleMessage	Vandeventer Black LLP	Wolfe Research LLC
Smarsh, Inc.	The Brattle Group	Vanguard Group, Inc.	WorldViz, Inc.
SmartBrief	The Fortress Law Firm, Inc.	Vedder Price P.C.	Wunderlich Securities, Inc.
SMBC Nikko Securities America, Inc.	The SDDCO Group	Venable LLP	Wyrick Robbins Yates & Ponton LLP
Snell & Wilmer LLP	The Wall Street Journal	Veritone Legal	XP Securities, LLC
Snowden Account Services, Inc.	ThinkAdvisor	Vermont Department of Financial Regulation	Yellen Mediation Services
Societe Generale Corporate & Investment Banking	Thompson Coburn LLP	ViewTrade Securities, Inc.	Yext
Stark & Stark Attorneys at Law	Thompson Hine LLP	Voya Financial, Inc.	Zanbato Securities LLC
State Farm VP Management Corp.	Thomson Reuters	Wachtell, Lipton, Rosen & Katz	ZL Technologies, Inc.
State Street Global Markets, LLC	Thrivent Investment Management Inc.	Walden Macht & Haran LLP	
Stephens Investment Management Group, LLC	TIAA	Weil, Gotshal & Manges LLP	
	Tortoise Capital Advisors, L.L.C.		
	Tower Research Capital LLC		
	Trade Investment Analysis Group		