

SPONSORSHIP & EXHIBITOR PROSPECTUS











MAY 6-9, 2019 | BOCA RATON, FLORIDA

46TH ANNUAL OPERATIONS CONFERENCE + EXHIBITION



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 http://www.sifma.org.

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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.

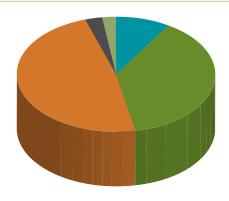
Join us to explore how industry operations are powering the capital markets to better serve our clients, improve efficiencies, manage risk and meet evolving regulatory requirements.



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.





46TH ANNUAL OPERATIONS CONFERENCE + EXHIBITION

SPONSORS

PRESIDENTIAL



DIAMOND **PLATINUM**

FIDELITY CLEARING & CUSTODY SOLUTIONS®



Deloitte.









SILVER













X Market **Axess**™



NRI





















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SPONSOR







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EXHIBITORS

















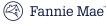




























































































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46TH ANNUAL OPERATIONS CONFERENCE + EXHIBITION

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.







AVAILABLE SPONSORSHIP OPPORTUNITIES

Vendors, partners and consultants specializing in products and services geared towards financial services operations are invited to exhibit at this conference.

Exhibition Fees	Investment
8'x10' Exhibit Space	SIFMA Member Rate \$6,500 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:

Pre-Conference Benefits:

- 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
- 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 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
- 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
- Access to food and networking functions

Post-Conference Benefits:

- Prominent placement of logo and firm profile on the Ops 2019 website
- Prominent placement of logo on post event Highlights & Survey emails
- 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 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 "Survey" email





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SIFMA Ops 2019 Partner Workshops

Exclusive to contracted sponsors and exhibitors an opportunity to participate on the program agenda by hosting a Partner Workshop, 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. Opportunities are limited to nine (9) time slots to choose from and all workshops are offered on a first-come/first-serve basis. All session titles and descriptions are subject to a pre-approval process by SIFMA.

Monday, May 6 (Pre-Conference Sessions)			
Workshop Sessions Three (3) SOLD			
Sessions will run concurrently from 4:15 - 5:15 p.m.			
Tuesday, May 7			
Workshop Sessions - Round 1	Two (2) SOLD		
Workshop Sessions - Round 2	Two (2) SOLD		
Wednesday, May 8			
Workshop Sessions - Round 1	Two (2) SOLD		

^{**} All times to be confirmed as the program develops **

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

- LCD Video Projector & Screen
- Speakers
- Podium with Microphone
- Panel Table Microphones
- Presentation Laptop
- Wireless Presenter Tool

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

\$4,000 - SIFMA Member Rate

\$5,500 - Non-Member Rate

Five (5) SOLD, More Available





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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 SOLD	\$10,500 SIFMA MEMBER RATE \$12,500 NON-MEMBER RATE
	Welcome Reception Monday, May 6, 5:30 - 7:00 p.m. 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. Three (3) Complimentary Conference Registrations	Monday, May 6 SOLD	\$37,500 SIFMA MEMBER RATE \$42,500 NON-MEMBER RATE











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Sponsorship	Includes	Availability	Investment
Networking Opportunities	Exhibition Hall Continental Breakfast 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 sponsoring firm. Two (2) Complimentary Conference Registrations	Tuesday, May 7 Available Wednesday, May 8 Available	\$15,000 SIFMA MEMBER RATE \$17,000 NON-MEMBER RATE
	Exhibition Hall Networking Refreshments (Morning or Afternoon) Networking Refreshments, hosted in the Exhibition Hall, offering a variety of healthy snacks as well as coffee and tea, allowing for one-on-one networking opportunities with industry colleagues and prominent brand recognition of sponsoring firm. One (1) Complimentary Conference Registration	Morning Tuesday, May 7 SOLD Wednesday, May 8 SOLD Afternoon Tuesday, May 7 SOLD	\$11,500 SIFMA MEMBER RATE \$13,500 NON-MEMBER RATE
	Exhibition Hall Networking Lunch Networking Buffet Luncheon offers sponsoring firm prominent brand recognition during the luncheon serving a variety of healthy options and allowing for one-on-one conversations with industry colleagues, clients and potential prospects. Two (2) Complimentary Conference Registrations	Tuesday, May 7 SOLD Wednesday, May 8 Available	\$16,000 SIFMA MEMBER RATE \$18,000 NON-MEMBER RATE





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AVAILABLE SPONSORSHIP OPPORTUNITIES

Sponsorship	Includes	Availability	Investment
Networking	Exhibition Hall Evening Reception		
Opportunities	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. Two (2) Complimentary Conference Registrations	Tuesday, May 7 SOLD	\$16,000 SIFMA MEMBER RATE \$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. (Time subject to change)	Wednesday, May 8 5 SOLD	\$7,500 SIFMA MEMBER RATE \$10,000 NON-MEMBER RATE
	After Hours Evening Reception After-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	\$52,000 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 Available	\$10,500 SIFMA MEMBER RATE \$12,500 NON-MEMBER RATE

To reserve your sponsorship, please contact:





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Sponsorship	Includes	Availability	Investment
Activities	Run-for-a-Cause		
TCS BOLNCS	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 Available	\$10,500 SIFMA MEMBER RATE \$12,500 NON-MEMBER RATE
	NEW for 2019 Golf Tournament		
	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.	Monday, May 6 SOLD	\$20,000 SIFMA MEMBER RATE \$22,500 NON-MEMBER RATE
	Two (2) Complimentary Conference Registrations		
	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.	Monday, May 6 Available	\$10,500 SIFMA MEMBER RATE \$12,500 NON-MEMBER RATE
	One (1) Complimentary Conference Registration		





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Sponsorship	Includes	Availability	Investment
Technology PS2018 TRATION	General Session A/V Offers sponsoring firm prominent brand recognition on General Session Entrance Unit as well as on general session slide deck. Two (2) Complimentary Conference Registrations	Available	\$15,500 SIFMA MEMBER RATE \$17,500 NON-MEMBER RATE
TRATION Will turning Yes Visually Book Works Claren S	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	SOLD	\$25,000 SIFMA MEMBER RATE \$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	SOLD	\$13,000 SIFMA MEMBER RATE \$15,000 NON-MEMBER RATE





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Sponsorship	Includes	Availability	Investment
Technology	Wi-Fi Access for all Participants 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. Three (3) Complimentary Conference Registration	SOLD	\$30,000 SIFMA MEMBER RATE \$32,500 NON-MEMBER RATE









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Sponsorship	Includes	Availability	Investment
Branded Opportunities	Co-Branded Badge Lanyard 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		\$15.500
	the conference! Name badge lanyards are worn by each attendee to gain access to all conference events. Co-Branded, SIFMA pre-approved lanyard produced by sponsoring firm and distributed with registration materials to all conference participants.	SOLD	\$17,500 NON-MEMBER RATE
	Two (2) Complimentary Conference Registrations		
	SIFMA Ops 2019 Co-Branded Hats Co-Branded Hats produced by sponsoring firm and distributed to all		\$8,500
	conference attendees during registration.	Available	\$10,500 NON-MEMBER RATE
GRAN	One (1) Complimentary Conference Registration		
	Hotel Room Key Cards		\$15,500
	Co-Branded Hotel Room Key Cards produced by SIFMA and distributed to all participants during hotel registration	SOLD	\$17,500 NON-MEMBER RATE
	Two (2) Complimentary Conference Registrations		
	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	Available	\$8,500 SIFMA MEMBER RATE \$10,500 NON-MEMBER RATE
	bag and distributed to all conference attendees during registration. One (1) Complimentary Conference Registration		
	One (1) Complimentary Conference Registration		





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Sponsorship	Includes	Availability	Investment
Branded Opportunities	Mobile Device Charging Sticks Co-Branded Charging Sticks, produced and provided by sponsoring firm, placed in the attendee tote bag, distributed to all conference attendees during registration. One (1) Complimentary Conference Registration	Available	\$8,500 SIFMA MEMBER RATE \$10,500 NON-MEMBER RATE
	Note Pad or Writing Tablet Co-Branded writing tablet, produced and provided by sponsoring firm, placed in attendee tote bag and distributed to all conference attendees during registration. One (1) Complimentary Conference Registration	SOLD	\$8,500 SIFMA MEMBER RATE \$10,500 NON-MEMBER RATE
	Program Guide (Pocket Size) 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. One (1) Complimentary Conference Registration	Available	\$10,500 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	\$8,500 SIFMA MEMBER RATE \$10,500 NON-MEMBER RATE





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Sponsorship	Includes	Availability	Investment
Branded Opportunities Opportunities	Sport Bottle Co-Branded, environmental friendly sports bottle, produced and provided by sponsoring firm, placed in attendee tote bag and distributed to all participants during registration. One (1) Complimentary Conference Registration	Available	\$8,500 SIFMA MEMBER RATE \$10,500 NON-MEMBER RATE
	Sun Screen Co-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	\$8,500 SIFMA MEMBER RATE \$10,500 NON-MEMBER RATE
DTCC 	Tote Bag 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. Two (2) Complimentary Conference Registrations	SOLD	\$15,000 SIFMA MEMBER RATE \$17,000 NON-MEMBER RATE





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ADVERTISING OPPORTUNITIES

SIFMA EVENT PACKAGES - 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	5 Ads in SIFMA SmartBrief2 Leaderboard3 Rectangle Text	5 Ads in SIFMA SmartBrief2 Leaderboard3 Rectangle Text
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









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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.

SIFMA Light Box Package

Investment	Includes
\$6,000 SIFMA Member Rate	(7) SOLD!
\$8,000 Non-Member Rate	Installation, dismantle and utility fees.









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Investment	Includes
\$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 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.





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2018 PARTICIPATING FIRMS

ABN AMRO Securities (USA) LLC

Accenture LLP

Actiance, Inc.

Advisor Group

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

BlackRock

Bloomberg L.P.

Blue Angels

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

Citadel LLC

Citi

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.





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2018 PARTICIPATING FIRMS

Deutsche Borse AG

Digital Asset Holdings

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

Federal Reserve Bank of New York

FHLBanks Office of Finance

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.

Google Cloud Platform

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





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2018 PARTICIPATING FIRMS

JPMorgan Chase & Co.

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

LPL 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

National Bank of Canada

NEC Corporation of America

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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2018 PARTICIPATING FIRMS

Standard Chartered Bank

State of Wisconsin Investment Board (SWIB)

State Street Corporation

State Street Global Advisors

Stephens Inc.

Stifel Financial Corp.

Stifel, Nicolaus & Co., Inc.

SunTrust Bank

SunTrust Investment Services, Inc.

SunTrust Robinson Humphrey, Inc.

SWIFT

T. Rowe Price Associates, Inc.

Talisys

Taskize

Tata Consultancy Services

TCW

TD Ameritrade Clearing, Inc.

TD Ameritrade Holding Corporation

TD Securities (USA) LLC

Texas Capital Bank

The Dreyfus Corporation, a BNY Mellon Company

The Northern Trust Company

The Reach Agency

Thesys CAT

ThetaRay

Thomson Reuters

TickSmith Corp.

TMX Group Limited

TradeStation Securities, Inc.

Tradition Securities and Derivatives Inc.

Traiana, Inc.

Trax

TriState Capital Bank

U.S. Bancorp Investments, Inc.

U.S. Bank

U.S. Commodity Futures Trading Commission (CFTC)

UBS AG

UBS Financial Services Inc.

UMB Financial Corporation

UnionBanc Investment Services, LLC

US Securities and Exchange Commission (SEC)

Vanguard

Vestmark

Virtu Financial

WatersTechnology

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Western Asset Management Company

Wipro Technologies

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XP Securities, LLC