



FINANCIAL MANAGEMENT SOCIETY



AICPA<sup>®</sup>

# NATIONAL CONFERENCE ON THE SECURITIES INDUSTRY

OCTOBER 16–17, 2019 | NEW YORK LAW SCHOOL, NYC

# SPONSORSHIP OPPORTUNITIES

*SIFMA Financial Management Society*



# NATIONAL CONFERENCE ON THE SECURITIES INDUSTRY

OCTOBER 16–17, 2019 | NEW YORK LAW SCHOOL, NYC



Co-hosted by the American Institute of Certified Public Accountants (AICPA) and the SIFMA Financial Management Society (SIFMA FMS), the National Conference on the Securities Industry features senior executives on the latest developments in securities regulation, auditing and accounting requirements.

## Discussions will include:

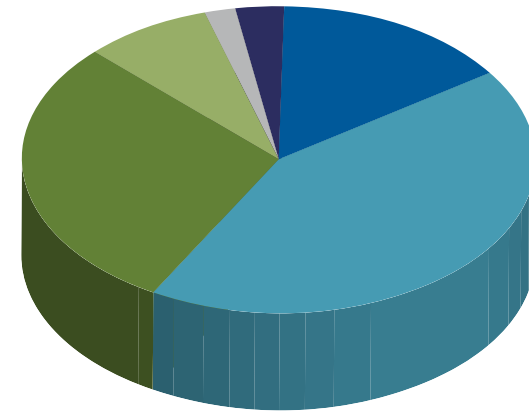
- A senior executive's view of the securities industry
- The analyst perspective of the banking and securities industries
- Recent and pending accounting and auditing pronouncements from FASB and industry experts
- PCAOB feedback on inspections of broker-dealer audits
- Open Q&A session with representatives from the SEC, FINRA and CFTC

Target Audience: Senior level professionals responsible for finance, accounting and regulatory issues representing Member Firms from SIFMA and The American Institute of Certified Public Accountants (AICPA).

Anticipated number of participants: 300.

Our goal is to provide participants with the opportunity to participate in very timely and interactive sessions that address current industry issues as well as to provide a forum for networking among the finance, accounting and regulatory professionals attending this conference. Please join us in sponsoring this important conference!

## 2018 FMS-AICPA NATIONAL CONFERENCE DELEGATE PROFILE



- C-Suite - 15%
- Managing Director and Senior Executive - 43%
- Vice President/Director - 29%
- General Counsel/Attorney - 8%
- Regulator - 2%
- Consultant - 3%

To reserve your sponsorship, please contact:

**Tamara Bailey** | 212.313.1240 | [tbailey@sifma.org](mailto:tbailey@sifma.org)  
 Assistant Vice President, Sponsorship Sales | SIFMA

# NATIONAL CONFERENCE ON THE SECURITIES INDUSTRY

OCTOBER 16–17, 2019 | NEW YORK LAW SCHOOL, NYC



## Available Sponsorship Opportunities

PLATINUM	Sponsorship	
<p><b>Investment</b></p> <p>\$10,000 SIFMA MEMBER RATE \$11,500 NON-MEMBER RATE</p> <p><b>Benefits Include</b></p> <ul style="list-style-type: none"> <li>• Two Conference Registrations</li> <li>• One Reduced Registration (50% discount)</li> <li>• Table Display &amp; Two (2) Table Personnel Registrations</li> </ul>	<p><b>VIP President’s Dinner</b></p> <p>Attendees will include committee members, speakers and other senior accounting regulatory and financial distinguished guests.</p> <p><b><i>In addition Includes Two Dinner Invitations</i></b></p>	<p><b>SOLD</b> Thursday, October 17</p> <p><b>AXIOMSL<sup>®</sup></b> PLATFORM FOR CHANGE</p>

To reserve your sponsorship, please contact:


**Tamara Bailey** | 212.313.1240 | tbailey@sifma.org  
Assistant Vice President, Sponsorship Sales | SIFMA

# NATIONAL CONFERENCE ON THE SECURITIES INDUSTRY

OCTOBER 16–17, 2019 | NEW YORK LAW SCHOOL, NYC



## Available Sponsorship Opportunities

GOLD	Sponsorship	
<p><b>Investment</b></p> <p><b>\$8,000 SIFMA MEMBER RATE</b></p> <p>\$9,500 NON-MEMBER RATE</p> <p><b>Benefits Include</b></p> <ul style="list-style-type: none"> <li>• Two Conference Registrations</li> <li>• Table Display &amp; Two (2) Table Personnel Registrations</li> </ul>	<p><b>General Session Audio Visual &amp; Live Video Webcast</b></p> <p>Exclusive Sponsorship of the General Session Audio Visual provides your firm with prominent branding on signage and program material. Logo with a link to your website on the live video webcast webpage. Sponsorship recognition during open remarks.</p>	<p><b>Available</b></p> <p><b>Wednesday, October 16</b></p> <p><b>Available</b></p> <p><b>Thursday, October 17</b></p>
	<p><b>Lunch</b></p> <p>Networking Buffet Lunch that includes prominent brand recognition, buffet stations along with refreshments, allowing for one-on-one networking opportunities with industry colleagues.</p>	<p><b>RESERVED</b></p> <p><b>Wednesday, October 16</b></p> <p><b>RESERVED</b></p> <p><b>Thursday, October 17</b></p>
	<p><b>Reception</b></p> <p>Networking reception that includes prominent brand recognition, open bar and hors d'oeuvres set in a relaxed atmosphere offering attendees the opportunity to network one-on-one with industry colleagues.</p>	<p><b>SOLD</b></p> <p><b>Wednesday, October 16</b></p> 

To reserve your sponsorship, please contact:

**Tamara Bailey** | 212.313.1240 | tbailey@sifma.org  
 Assistant Vice President, Sponsorship Sales | SIFMA

# NATIONAL CONFERENCE ON THE SECURITIES INDUSTRY

OCTOBER 16–17, 2019 | NEW YORK LAW SCHOOL, NYC



## Available Sponsorship Opportunities

SILVER	Sponsorship	
<p><b>Investment</b>                      \$5,500 SIFMA MEMBER RATE                      \$6,500 NON-MEMBER RATE</p> <p><b>Benefits Include</b></p> <ul style="list-style-type: none"> <li>• One Conference Registration</li> <li>• Table Display &amp; Two (2) Table Personnel Registrations</li> </ul>	<p><b>Continental Breakfast</b></p> <p>Networking breakfast opportunity offering prominent brand recognition and a variety of healthy breakfast choices along with hot coffee and tea, during one-on-one networking with industry colleagues.</p>	<p><b>RESERVED</b>                      Wednesday, October 16  <b>Available</b>                      Thursday, October 17</p>
	<p><b>Cell Phone Re-Charge Zone</b></p> <p>Showcase your company, while providing attendees with this much-needed service. This promotion opportunity will allow your company to be branded on the charging station kiosk as well as via video messaging. The recharge zone will be strategically placed within the sponsor showcase area.</p>	<p><b>Available</b></p>

To reserve your sponsorship, please contact:

**Tamara Bailey** | 212.313.1240 | tbailey@sifma.org  
 Assistant Vice President, Sponsorship Sales | SIFMA

# NATIONAL CONFERENCE ON THE SECURITIES INDUSTRY

OCTOBER 16–17, 2019 | NEW YORK LAW SCHOOL, NYC



## Available Sponsorship Opportunities

BRONZE	Sponsorship	
<p><b>Investment</b></p> <p>\$4,500 SIFMA MEMBER RATE \$5,500 NON-MEMBER RATE</p> <p><b>Benefits Include</b></p> <ul style="list-style-type: none"> <li>• One Conference Registration</li> <li>• Table Display &amp; Two (2) Table Personnel Registrations</li> </ul>	<p><b>Networking Morning Refreshment Break</b></p>	<p><b>Available</b> Wednesday, October 16</p> <p><b>Available</b> Thursday, October 17</p>
	<p><b>Networking Afternoon Refreshment Break</b></p> <p>Networking refreshment break, that includes prominent brand recognition and a variety of healthy snacks, during one-on-one networking with industry colleagues.</p>	<p><b>RESERVED</b> Wednesday, October 16</p> <p><b>Available</b> Thursday, October 17</p>
	<p><b>eGuide</b></p> <p>Sponsoring firm’s banner ad to be featured on screen and linked to an online ad (PDF). The digital event guide includes a program agenda, schedule, list of speaker and bios, sponsoring firms with their company profiles.</p>	<p><b>SOLD</b></p>
	<p><b>Badge Lanyard</b></p> <p>SIFMA pre-approved badge lanyard produced by sponsoring form and distributed with registration materials to all conference participants during registration.</p>	<p><b>RESERVED</b></p>

To reserve your sponsorship, please contact:

**Tamara Bailey** | 212.313.1240 | tbailey@sifma.org  
Assistant Vice President, Sponsorship Sales | SIFMA

# NATIONAL CONFERENCE ON THE SECURITIES INDUSTRY

OCTOBER 16–17, 2019 | NEW YORK LAW SCHOOL, NYC



## SIFMA FMS-AICPA National Conference on the Securities Industry Sponsorship Package offers maximum value with:

- Complimentary Full Conference Registration(s) (up to a \$1,050 Member/\$1,350 Non-Member value!) per sponsorship
- Access to food and networking events
- Table Display & Two (2) table personnel registrations
- Online Directory listing, including company description and logo
- Pre- and Post-Conference Attendee Direct Mailing List (upon acceptance of terms of agreement). Phone and email excluded.
- Company logo and description on eGuide
- Company logo and description on event website
- Company logo on sponsorship signage placed throughout venue
- Sponsor acknowledgment during Opening General Session

To reserve your sponsorship, please contact:

**Tamara Bailey** | 212.313.1240 | tbailey@sifma.org

Assistant Vice President, Sponsorship Sales | SIFMA

# NATIONAL CONFERENCE ON THE SECURITIES INDUSTRY

OCTOBER 16–17, 2019 | NEW YORK LAW SCHOOL, NYC



## SIFMA 2018 FMS-AICPA National Conference Participating Firms

ABN AMRO Bank N.V.  
 ABN AMRO Clearing Chicago LLC  
 ABN AMRO, Inc.  
 Accounting Policy Plus  
 American Fidelity Assurance Company  
 American Institute of CPAs (AICPA)  
 Amherst Pierpont Securities LLC  
 Automation Anywhere  
 AxiomSL  
 Bank of America Corporation  
 Bank of America Merrill Lynch  
 BB&T Securities, LLC  
 BBVA Securities Inc.  
 BDO  
 BDO USA, LLP  
 Bloomberg News  
 BMO Capital Markets Corp.  
 Boenning & Scattergood, Inc.  
 Broadridge Business Process Outsourcing, LLC  
 Brown Brothers Harriman & Co.  
 Brown Smith Wallace, LLC  
 Canadian Imperial Bank of Commerce (CIBC)  
 Cantor Fitzgerald & Co.  
 CFO Financial Partners  
 Charles Schwab & Co., Inc.  
 Charles Schwab Corporation

Citi  
 Citigroup Inc.  
 Citrin Cooperman  
 CME Group  
 Collaborative Coaching LLC  
 Cowen, Inc.  
 Credit Suisse Group AG  
 Crowe LLP  
 Daiwa Capital Markets America Inc.  
 Dash Regulatory Technologies LLC  
 Deloitte  
 Deloitte & Touche LLP  
 Deloitte LLP  
 Deutsche Bank AG  
 Dixon Hughes Goodman, LLP  
 E\*TRADE Financial Corp.  
 Edward D. Jones & Co., L.P.  
 Edward Jones  
 EisnerAmper LLP  
 Ensign Peak Advisors  
 Ernst & Young LLP  
 Federal Home Loan Bank of Dallas  
 Financial Accounting Standards Board (FASB)  
 Financial Industry Regulatory Authority Inc (FINRA)  
 Florida State Board of Administration  
 Goldman Sachs & Co. LLC

Grant Thornton LLP  
 Guggenheim Partners, LLC  
 Hilltop Holdings Inc.  
 Hilltop Securities Inc.  
 ING Financial Services LLC  
 ITG Inc.  
 J.P. Morgan Asset Management  
 J.P. Morgan Securities LLC  
 Janney Montgomery Scott LLC  
 Jefferies LLC  
 JMKatz Advisors  
 JPMorgan Chase & Co.  
 KPMG LLP  
 Liquidnet, Inc.  
 MacKay Shields LLC  
 Mizuho Securities USA LLC  
 MML Investors Services, LLC  
 Morey Nee Buck & Oswald, LLC  
 Morgan Stanley  
 Morgan Stanley & Co. LLC  
 Morrison, Brown, Argiz & Farra, LLP  
 MUFG Securities Americas Inc.  
 National Financial Services LLC  
 Natixis Securities Americas LLC  
 NEC Corporation Financial System Dev HQ  
 Neuberger Berman Group LLC

To reserve your sponsorship, please contact:

**Tamara Bailey** | 212.313.1240 | [tbailey@sifma.org](mailto:tbailey@sifma.org)  
 Assistant Vice President, Sponsorship Sales | SIFMA



# NATIONAL CONFERENCE ON THE SECURITIES INDUSTRY

OCTOBER 16–17, 2019 | NEW YORK LAW SCHOOL, NYC



## Available Sponsorship Opportunities

New York University  
 Nomura Securities International, Inc.  
 Oppenheimer & Co. Inc.  
 Oppenheimer Capital  
 Options Clearing Corporation  
 PCAOB  
 Pershing LLC, a BNY Mellon Company  
 PricewaterhouseCoopers LLP  
 Prudential Investment Management Services LLC  
 PwC  
 Raymond James & Associates, Inc.  
 Raymond James Financial, Inc.  
 RBC Capital Markets, LLC  
 Robinhood Securities, LLC  
 Royal Bank of Canada (RBC)  
 RSM US LLP

Safra Securities LLC  
 Schiff Hardin LLP  
 Scotia Capital (USA) Inc.  
 SG Americas Securities, LLC  
 Shadow Financial Systems, Inc.  
 SIFMA  
 SIG Brokerage, LP  
 SMBC Nikko Securities America, Inc.  
 SpeedRoute LLC  
 Spicer Jeffries LLP  
 Stifel Financial Corp.  
 Stifel, Nicolaus & Co., Inc.  
 SunTrust Robinson Humphrey, Inc.  
 Susquehanna Financial Group LLLP  
 Symmetry Partners, LLC  
 TD Ameritrade Holding Corporation

TD Ameritrade, Inc.  
 The Center for Audit Quality  
 Thomson Reuters  
 TIAA  
 tZERO  
 U.S. Bancorp Investments, Inc.  
 U.S. Commodity Futures Trading Commission (CFTC)  
 UBS AG  
 UBS Securities LLC  
 US Securities and Exchange Commission (SEC)  
 Vanguard Brokerage Services  
 Vanguard Group, Inc.  
 VTB Capital Inc.  
 WithumSmith+Brown

To reserve your sponsorship, please contact:

**Tamara Bailey** | 212.313.1240 | tbailey@sifma.org  
 Assistant Vice President, Sponsorship Sales | SIFMA