



FINANCIAL MANAGEMENT SOCIETY



NATIONAL CONFERENCE ON THE SECURITIES INDUSTRY

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

SPONSORSHIP OPPORTUNITIES

SIFMA Financial Management Society



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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:

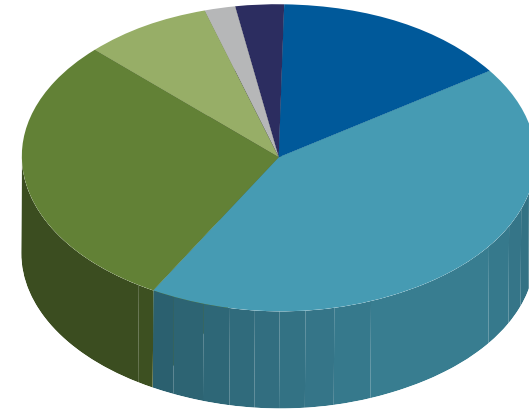
- A senior executive's view of the securities industry
- The analyst perspective of the banking and securities industries
- Recent and pending accounting and auditing pronouncements from FASB and industry experts
- PCAOB feedback on inspections of broker-dealer audits
- Open Q&A session with representatives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

Assistant Vice President, Sponsorship Sales | SIFMA

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Available Sponsorship Opportunities

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

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Available Sponsorship Opportunities

| GOLD | Sponsorship | |
|--|---|--|
| <p>Investment</p> <p>\$8,000 SIFMA MEMBER RATE</p> <p>\$9,500 NON-MEMBER RATE</p> <p>Benefits Include</p> <ul style="list-style-type: none"> • Two Conference Registrations • Table Display & Two (2) Table Personnel Registrations | <p>General Session Audio Visual & Live Video Webcast</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>Available</p> <p>Wednesday, October 16</p> <p>Available</p> <p>Thursday, October 17</p> |
| | <p>Lunch</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>Available</p> <p>Wednesday, October 16</p> <p>SOLD</p> <p>Thursday, October 17</p>  |
| | <p>Reception</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>SOLD</p> <p>Wednesday, October 16</p>  |

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Available Sponsorship Opportunities

| SILVER | Sponsorship | |
|--|--|---|
| <p>Investment \$5,500 SIFMA MEMBER RATE \$6,500 NON-MEMBER RATE</p> <p>Benefits Include</p> <ul style="list-style-type: none"> • One Conference Registration • Table Display & Two (2) Table Personnel Registrations | <p>Continental Breakfast</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>SOLD Wednesday, October 16</p> <p>Available Thursday, October 17</p> |
| | <p>Cell Phone Re-Charge Zone</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>Available</p> |

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Available Sponsorship Opportunities

| BRONZE | Sponsorship | |
|--|---|---|
| <p>Investment \$4,500 SIFMA MEMBER RATE \$5,500 NON-MEMBER RATE</p> <p>Benefits Include</p> <ul style="list-style-type: none"> • One Conference Registration • Table Display & Two (2) Table Personnel Registrations | <p>Networking Morning Refreshment Break</p> | <p>SOLD Wednesday, October 16 CRB Monitor SOLD Thursday, October 17 BLACKLINE</p> |
| | <p>Networking Afternoon Refreshment Break</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>SOLD Wednesday, October 16 CITRIN COOPERMAN <small>Accountants and Advisors</small> 40 <small>ANNIVERSARY</small> Available Thursday, October 17</p> |
| | <p>eGuide</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>SOLD DASH <small>REGULATORY TECHNOLOGIES</small></p> |
| | <p>Badge Lanyard</p> <p>SIFMA pre-approved badge lanyard produced by sponsoring form and distributed with registration materials to all conference participants during registration.</p> | <p>SOLD DHG <small>DIXON HUGHES GOODMAN LLP</small></p> |

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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

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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

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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

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