



# C&L2020 ANNUAL SEMINAR

MARCH 15-18 | JW MARRIOTT GRANDE LAKES, ORLANDO, FL



## SPONSORSHIP & EXHIBITOR PROSPECTUS

SPONSOR

EXHIBIT & ADVERTISE

2019 PARTICIPANTS

**2000+**  
PARTICIPANTS

**350+**  
SPEAKERS

**60+**  
SESSIONS

**80+**  
SPONSORS &  
EXHIBITORS

### TESTIMONIALS FROM PAST PARTICIPANTS

“It’s a capsule to have all the **regulators** you care about, to have all your **peers** to brainstorm with, and to give back to others what you’re taking in yourself.”

“This is my first time at this event, and I’ve heard a lot about it. It has **vastly exceeded my expectations**. This is truly one-stop shopping.”

“You’ll learn information here that you really **cannot get anywhere else.**”



# sifma<sup>®</sup> C&L2020 ANNUAL SEMINAR | SPONSORSHIP OPPORTUNITIES

Diana Serri | Vice President, Head of Exhibit & Sponsorship Sales | 212.313.1258 | [dserri@sifma.org](mailto:dserri@sifma.org)

## Our attendees want to meet with you.

Law firms, consulting firms and service providers who specialize in compliance and legal products and/or services are of prime interest to this targeted audience. In fact, 98% of our 2019 survey respondents found our sponsors relevant and more than 30% spent over 30 minutes of their time meeting with them.

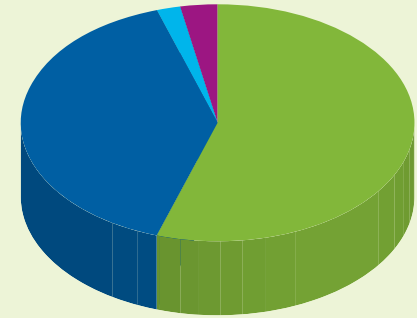
Our participants specifically ask for solution providers in fields including:

- Cloud Computing
- Compliance Software and Solutions
- Consulting
- Document Management Reading and Support
- Law Firms
- Litigation
- Media and Communications
- Reporting Solutions
- Surveillance Systems
- Technology Services
- Training

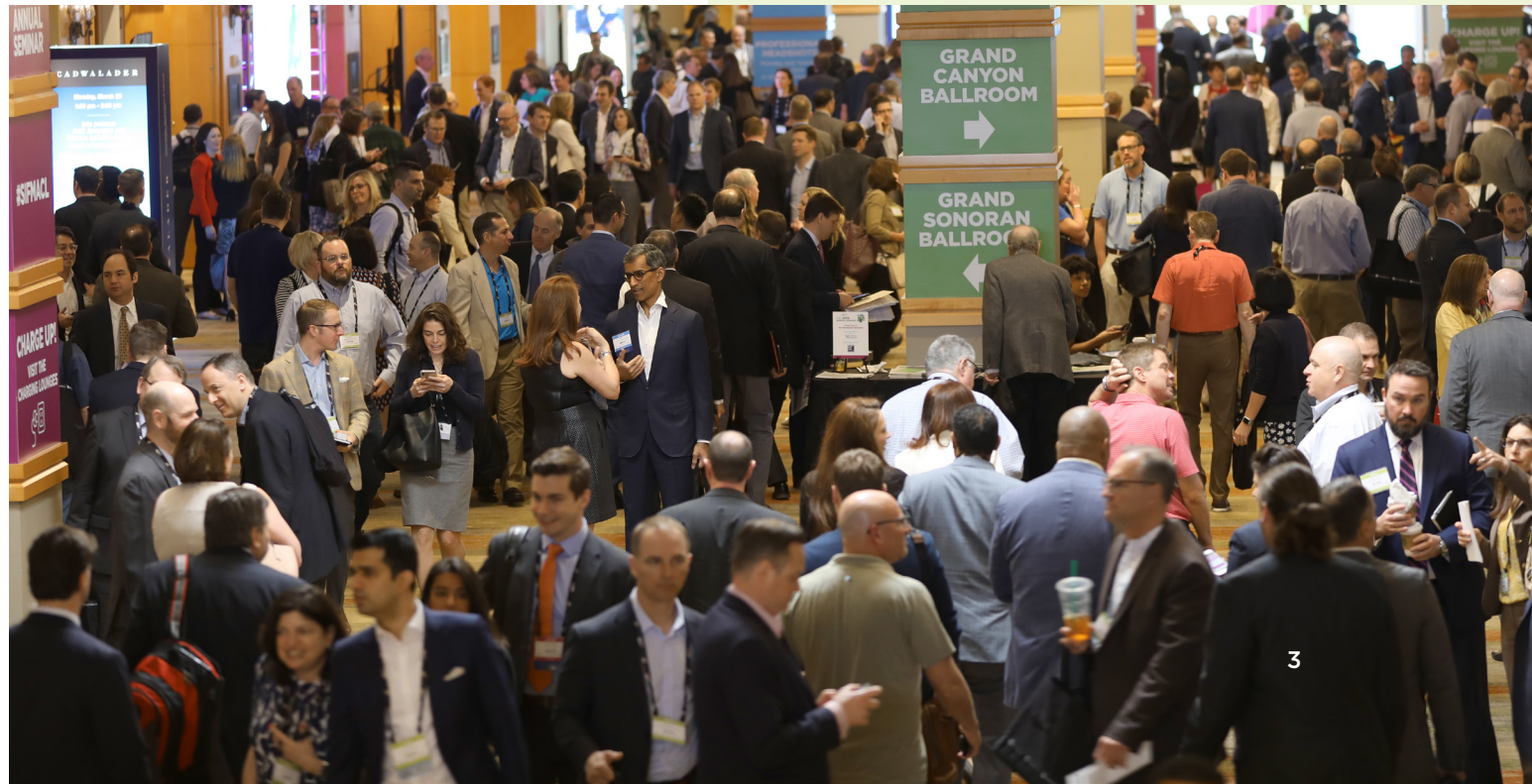
## Who Attends

- Chief Compliance Officers
- Chief Legal Officers
- General Counsels
- In-House Counsel
- Outside Counsel and Senior Law Firm Partners
- Regulators
- Consultants

## 2019 C&L Annual Seminar Delegate Profile



- In-House Counsel/Sr. Compliance Officers & Sr. Executives – 55%
- Outside Counsel/Sr. Law Firm Partners – 40%
- Consultants – 2%





## Sponsorship Packages

The 2020 SIFMA C&L Annual Seminar Sponsorship Packages are designed to enhance your firm’s presence before, during and after the event. With branding, advertising and content marketing opportunities, we offer multiple levels of sponsorship which can be customized to maximize your firm’s marketing goals and objectives.

LEVEL	INVESTMENT		PASSES			ROOMS**	PACKAGE
	Member Rate	Other	Comp	Discount	Guest	Access to Main Hotel	
<b>PRESIDENTIAL</b>	<b>\$50,000+</b>	<b>\$55,000+</b>	<b>4</b>	<b>3</b>	<b>1</b>	<b>7</b>	Custom-built packages for our top sponsors and exhibitors; contact us to plan yours
<b>DIAMOND</b>	<b>\$36,000</b>	<b>\$41,000</b>	<b>2</b>	<b>2</b>	<b>1</b>	<b>4</b>	Your choice of Networking Receptions, Bottled Water or Wi-Fi
<b>PLATINUM</b>	<b>\$29,500</b>	<b>\$34,500</b>	<b>1</b>	<b>2</b>	<b>1</b>	<b>3</b>	Your choice of Badge Lanyards, Charging/Networking Lounge, Hotel Room Key Cards, Networking Lunch, Mobile App or SIFMA SmartBrief Ad Packages
<b>GOLD</b>	<b>\$26,000</b>	<b>\$31,000</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>2</b>	Your choice of Continental Breakfast, Golf Tournament or SIFMA SmartBrief Ad Packages
<b>SILVER</b>	<b>\$19,000</b>	<b>\$23,000</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>1</b>	Your choice of Welcome Hospitality Break, Women’s Luncheon, Diversity & Inclusion Breakfast or Lunch, Morning Networking Break, Professional Headshots, Run for a Purpose, SIFMA SmartBrief Ad Packages, Note Pads, Pocket Guides, Charging Sticks, Reusable Straws, Water Bottles or Hydration Stations
<b>BRONZE</b>	<b>\$16,000</b>	<b>\$19,000</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>1</b>	Your choice of Daily Newspapers or All-Day Coffee Service
<b>PREMIUM PATRON</b>	<b>\$11,000</b>	<b>\$14,000</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>1</b>	N/A
<b>EXHIBITOR*</b>	<b>\$10,000</b>	<b>\$13,500</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>2</b>	8’x10’ Exhibit Space

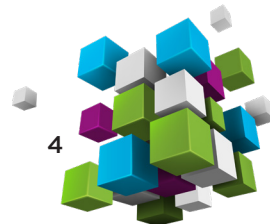
\* Includes 2 exhibit personnel passes (access to Exhibit Hall only)

### Private Parties/Dinners

In the interest of the success of SIFMA’s C&L Annual 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.

### \*\*Hotel Room Block

A block of hotel rooms has been reserved at the JW Marriott Grande Lakes, Orlando for SIFMA C&L 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 once the hotel room block becomes available and contracts are confirmed.





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## Get maximum value, broaden your reach & propel your brand

### Applicable for all sponsorship levels:

#### Pre-Seminar Benefits

- Exposure to more than 2,000 influencers and decision makers registered for the Seminar with prominent placement of logo and firm profile listed on Seminar website, [www.sifma.org/clannual/](http://www.sifma.org/clannual/)
- Access to the 2020 SIFMA C&L Annual Seminar Sponsors and Exhibitors hotel room block.\*
- Prominent placement on SIFMA's email marketing campaigns to more than 10,000 targeted decision-makers.
- Preliminary mailing lists of 2020 SIFMA C&L Annual Seminar registrants. List sent four weeks in advance of the Seminar.\*\*

#### Days of Seminar Benefits

- Complimentary and/or discounted SIFMA C&L Annual Seminar registration(s), including access to all functions
- Dedicated sponsor listing placed within the SIFMA C&L Annual Seminar mobile app.
- Prominent recognition during the sponsored function (if applicable), with logo displayed on dedicated print and digital signage that is strategically placed in areas including registration area, general session slides, a sponsor recognition video loop, and more.

#### Post-Seminar Benefits

- Final mailing list of all 2020 SIFMA C&L Annual Seminar registrants (name, title, firm and postal address only). List sent at conclusion of the Annual Seminar.\*\*
- Listing company name, placement of logo and firm profile on event website following the meeting for an additional three (3) months.
- Logo placement on all post-event email campaigns, including attendee survey as well as content roundup, sent to all participants as well as 10,000 influencers and decision-makers.

\* Sponsor is responsible for all room charges. See page 4 for details.

\*\*Includes only U.S.-based participants who do not opt out during the registration process; does not include email addresses (view SIFMA's Privacy Policy at [www.sifma.org/privacy](http://www.sifma.org/privacy)).



PRESIDENTIAL



DIAMOND

ALLEN & OVERY

BRESSLER  
AMERYROSS

crowell moring

Davis Polk

FRIED FRANK

KIRKLAND & ELLIS

Morgan Lewis

Paul | Weiss



SULLIVAN & CROMWELL LLP

PLATINUM

  
accenture

GOLD

CLEARY GOTTlieb



Moore & Van Allen

SILVER

Debevoise  
& Plimpton

LATHAM  
LATHAM & WATKINS

 Lowenstein  
Sandler

SHEARMAN & STERLING LLP

SIDLEY

BRONZE

MURPHY &  
McGONIGLE  
A Professional Corporation

PREMIUM PATRON

Katten  
Katten Muchin Rosenman LLP





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## PRESIDENTIAL

### INVESTMENT

**\$50,000+ SIFMA Member Rate**

\$55,000+ Non-Member Rate

For the truly committed, the Presidential tier offers a sponsoring firm an escalated level of sponsorship, determined by a firm's overall investment at the Annual Seminar. Firms who invest in sponsorship of \$50,000 (Member Firm) / \$55,000 (Non-Member) or more are automatically escalated to this top tier of sponsorship (inclusive of investment of exhibit space, à la carte sponsorship, as well as branding and advertising opportunities).

### PRESIDENTIAL BENEFITS

- Four Complimentary Seminar Registrations
- Three 50% Discounted Seminar Registrations (Early Bird Rate)
- One Complimentary Guest Registration
- Access to Seven Hotel Rooms at the Main Hotel

## SPONSORSHIP

### CO-BRANDED ATTENDEE BAG - **SOLD**

High-quality attendee tote bags are produced by SIFMA and distributed to all participants during registration.

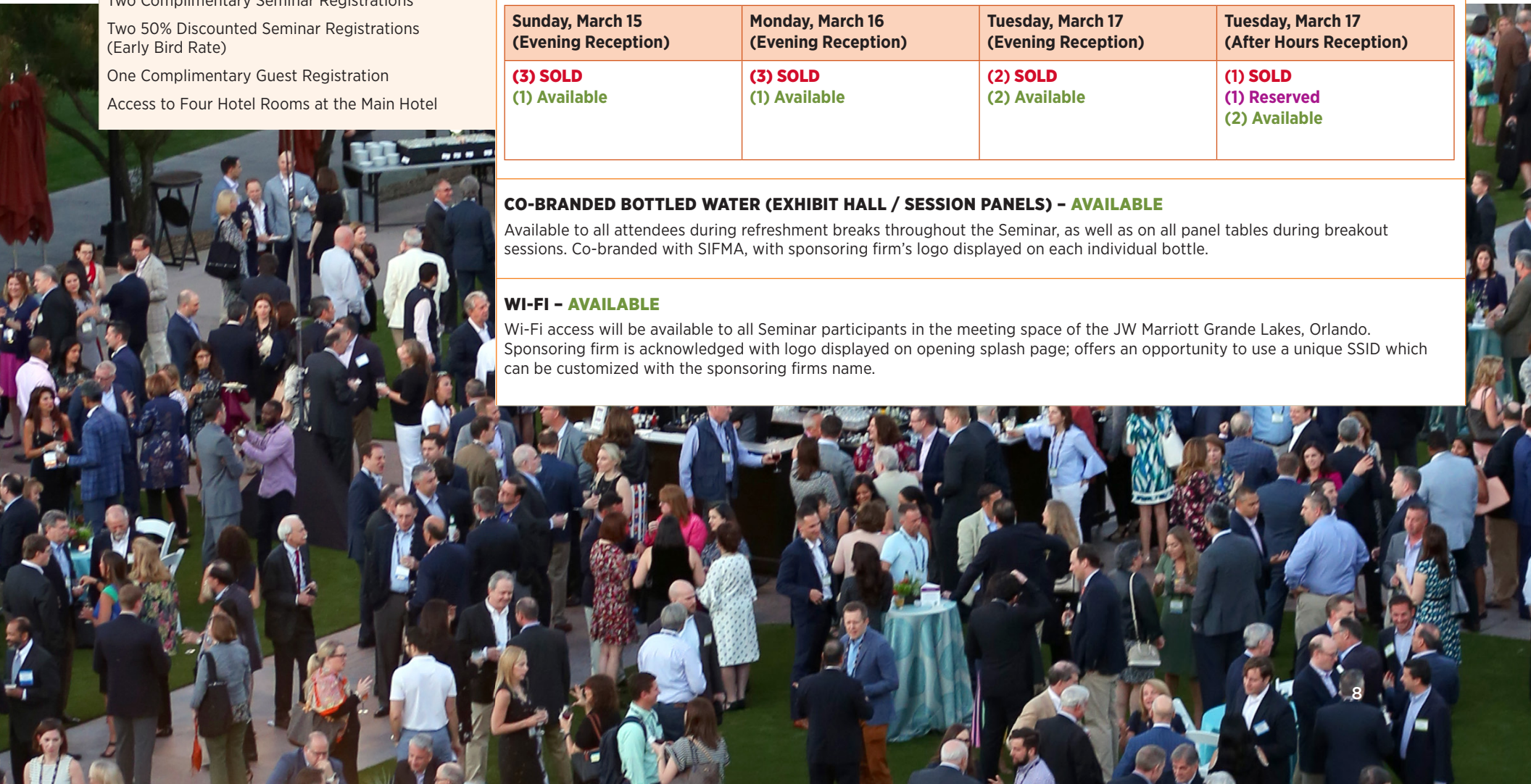




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DIAMOND	SPONSORSHIP											
<p><b>INVESTMENT</b></p> <p><b>\$36,000 SIFMA Member Rate</b> \$41,000 Non-Member Rate</p> <p><b>DIAMOND BENEFITS</b></p> <ul style="list-style-type: none"> <li>Two Complimentary Seminar Registrations</li> <li>Two 50% Discounted Seminar Registrations (Early Bird Rate)</li> <li>One Complimentary Guest Registration</li> <li>Access to Four Hotel Rooms at the Main Hotel</li> </ul>	<p><b>NETWORKING RECEPTIONS</b></p> <p>Networking Receptions are scheduled for two hours each evening and are set with hot and cold buffet stations, passed hors d'oeuvres and open bar. Each event is planned at an outdoor location (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.</p> <p><b>Co-sponsorship offered to four firms at each reception:</b></p> <table border="1" data-bbox="688 553 1997 768"> <thead> <tr> <th data-bbox="688 553 1014 630">Sunday, March 15 (Evening Reception)</th> <th data-bbox="1014 553 1339 630">Monday, March 16 (Evening Reception)</th> <th data-bbox="1339 553 1665 630">Tuesday, March 17 (Evening Reception)</th> <th data-bbox="1665 553 1997 630">Tuesday, March 17 (After Hours Reception)</th> </tr> </thead> <tbody> <tr> <td data-bbox="688 630 1014 768"><b>(3) SOLD</b> (1) Available</td> <td data-bbox="1014 630 1339 768"><b>(3) SOLD</b> (1) Available</td> <td data-bbox="1339 630 1665 768"><b>(2) SOLD</b> (2) Available</td> <td data-bbox="1665 630 1997 768"><b>(1) SOLD</b> (1) Reserved (2) Available</td> </tr> </tbody> </table>				Sunday, March 15 (Evening Reception)	Monday, March 16 (Evening Reception)	Tuesday, March 17 (Evening Reception)	Tuesday, March 17 (After Hours Reception)	<b>(3) SOLD</b> (1) Available	<b>(3) SOLD</b> (1) Available	<b>(2) SOLD</b> (2) Available	<b>(1) SOLD</b> (1) Reserved (2) Available
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<p><b>CO-BRANDED BOTTLED WATER (EXHIBIT HALL / SESSION PANELS) – AVAILABLE</b></p> <p>Available to all attendees during refreshment breaks throughout the Seminar, as well as on all panel tables during breakout sessions. Co-branded with SIFMA, with sponsoring firm's logo displayed on each individual bottle.</p>												
<p><b>WI-FI – AVAILABLE</b></p> <p>Wi-Fi access will be available to all Seminar participants in the meeting space of the JW Marriott Grande Lakes, Orlando. Sponsoring firm is acknowledged with logo displayed on opening splash page; offers an opportunity to use a unique SSID which can be customized with the sponsoring firms name.</p>												





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PLATINUM	SPONSORSHIP								
<p><b>INVESTMENT</b>  <b>\$29,500 SIFMA Member Rate</b>                      \$34,500 Non-Member Rate</p> <p><b>PLATINUM BENEFITS</b>                      One Complimentary Seminar Registration                      Two 50% Discounted Seminar Registrations (Early Bird Rate)                      One Complimentary Guest Registration                      Access to Three Hotel Rooms at the Main Hotel</p>	<p><b>LUNCH - 2 AVAILABLE</b>                      A networking buffet lunch, offering sponsoring firm prominent brand recognition. Set in an indoor or outdoor location (weather permitting), allowing for one-on-one conversations with industry colleagues, clients and potential prospects.</p> <p><b>Co-sponsorship offered to four firms at each reception:</b></p> <table border="1" data-bbox="728 464 1976 573"> <thead> <tr> <th data-bbox="728 464 1136 505">Monday, March 16</th> <th data-bbox="1144 464 1551 505">Tuesday, March 17</th> <th data-bbox="1560 464 1976 505">Wednesday, March 18</th> </tr> </thead> <tbody> <tr> <td data-bbox="728 511 1136 573">(1) Reserved (1) Available</td> <td data-bbox="1144 511 1551 573">(1) Reserved (1) Available</td> <td data-bbox="1560 511 1976 573">(2) Available</td> </tr> </tbody> </table> <p><b>MOBILE APP - SOLD</b>                      An exclusive opportunity, the Annual Seminar mobile app offers a sponsoring firm maximum exposure with branding on its splash page as well as a dedicated rotating banner advertisement. The mobile app captures all program materials including the meeting agenda, schedule, speaker bios, attendee list, sponsors and exhibitors, LinkedIn/Twitter options, and more.</p> <p><b>SIFMA SMARTBRIEF PACKAGE - AVAILABLE</b>                      SIFMA SmartBrief is a concise, comprehensive briefing on top industry news that drives best-in-class click through rates and consistent reader engagement. Reach a broad but targeted audience of nearly 60k dedicated subscribers using our customized packages for SIFMA's C&amp;L Annual Seminar. See page 16 for more information.</p> <ul data-bbox="728 911 1331 1089" style="list-style-type: none"> <li>• Pre-show Conference Report (value \$15,000)</li> <li>• Post-show Conference Report (value \$10,000)</li> <li>• 2x Billboards or News 1 Rectangle-Text (value \$2,950 each)</li> <li>• 1x News 2 Rectangle-text (value \$2,525)</li> <li>• 1x Landing Page (value \$1,000)</li> </ul>			Monday, March 16	Tuesday, March 17	Wednesday, March 18	(1) Reserved (1) Available	(1) Reserved (1) Available	(2) Available
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PLATINUM	SPONSORSHIP
<p><b>INVESTMENT</b> <b>\$29,500 SIFMA Member Rate</b> \$34,500 Non-Member Rate</p> <p><b>PLATINUM BENEFITS</b> One Complimentary Seminar Registration Two 50% Discounted Seminar Registrations (Early Bird Rate) One Complimentary Guest Registration Access to Three Hotel Rooms at the Main Hotel</p>	<p><b>BADGE LANYARD - SOLD</b> What better way to leave an impression than to have 2,000+ attendees wearing your firm's name/logo for the duration of the Annual Seminar? 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.</p> <p><b>CHARGING/NETWORKING LOUNGE - RESERVED</b> The Charging Lounge is designed with branding of sponsoring firms' logo, set with comfortable seating in prime, high trafficked location, allowing individuals to charge their personal devices while networking with their peers.</p> <p><b>HOTEL ROOM KEY CARDS - RESERVED</b> Co-branded Hotel Room Key Cards are produced by SIFMA and distributed to all Seminar participants. Includes sponsoring firm's logo and messaging printed on the face of each key card.</p>

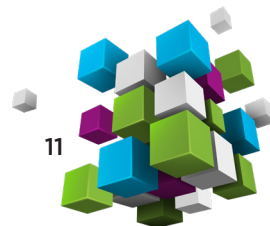




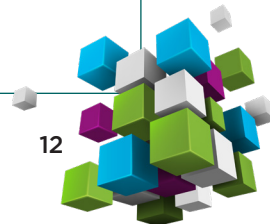
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GOLD	SPONSORSHIP								
<p><b>INVESTMENT</b>  <b>\$26,000 SIFMA Member Rate</b>                      \$31,000 Non-Member Rate</p> <p><b>GOLD BENEFITS</b>                      One Complimentary Seminar Registration                      One 50% Discounted Seminar Registrations (Early Bird Rate)                      Access to Two Hotel Rooms at the Main Hotel</p>	<p><b>CONTINENTAL BREAKFAST</b>                      Attendees start their day with a networking breakfast that offers prominent brand recognition to the sponsoring firm. A variety of healthy breakfast choices along with hot and cold beverages are set in the Exhibition Hall, allowing for one-on-one conversations with industry colleagues, clients and potential prospects.</p> <p><b>Co-sponsorship offered to two firms each day:</b></p> <table border="1" style="width: 100%; text-align: center;"> <thead> <tr> <th style="background-color: #FFF9C4;">Monday, March 16</th> <th style="background-color: #FFF9C4;">Tuesday, March 17</th> <th style="background-color: #FFF9C4;">Wednesday, March 18</th> </tr> </thead> <tbody> <tr> <td style="color: red;"><b>(2) SOLD</b></td> <td style="color: red;"><b>(1) SOLD</b> color: green;"&gt;<b>(1) Available</b></td> <td style="color: green;"><b>(2) Available</b></td> </tr> </tbody> </table>			Monday, March 16	Tuesday, March 17	Wednesday, March 18	<b>(2) SOLD</b>	<b>(1) SOLD</b> color: green;"> <b>(1) Available</b>	<b>(2) Available</b>
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	<p><b>GOLF TOURNAMENT - SOLD</b>                      Exclusive sponsorship at a championship-level golf course! In designing The Ritz-Carlton Golf Club, Orlando, Grande Lakes, two-time British Open Champion Greg Norman and his team put special emphasis on preserving the area's well-balanced ecosystem, thriving with ponds, wetlands, live oaks, and cypress heads. The result is a breathtakingly beautiful course enhanced by rare natural elements. Wide fairways, strategically placed hazards, generous landing areas, and subtly contoured greens provide a challenging but fair test of a golfer's abilities.</p> <p>Acknowledgment of Tournament sponsorship includes signage strategically displayed on the golf course greens as well as on tournament marketing materials which includes website, email, event app and event program materials. Sponsorship fees cover food, beverage and prizes for tournament participants as well as two complimentary fo ursomes for sponsoring firm. Individual greens fees are pre-paid by each participating golfer.</p>								
	<p><b>SIFMA SMARTBRIEF PACKAGE - AVAILABLE</b>                      SIFMA SmartBrief is a concise, comprehensive briefing on top industry news that drives best-in-class click through rates and consistent reader engagement. Reach a broad but targeted audience of nearly 60k dedicated subscribers using our customized packages for SIFMA's C&amp;L Annual Seminar. See page 16 for more information.</p> <ul style="list-style-type: none"> <li>• 1x Topic-Based Special Report (value \$15,000)</li> <li>• 3x Billboards or News 1 Rectangle-text (value \$2,950 each)</li> <li>• 2x News 2 Rectangle-text (value \$2,525)</li> <li>• 1x News 3 Rectangle-text (value \$2,250)</li> </ul>								




SILVER	SPONSORSHIP																													
<p><b>INVESTMENT</b>  <b>\$19,000 SIFMA Member Rate</b>                      \$23,000 Non-Member Rate</p> <p><b>SILVER BENEFITS</b>                      One Complimentary Seminar Registration                      Access to One Hotel Room at the Main Hotel</p>	<p><b>WELCOME HOSPITALITY BREAK - SOLD SUNDAY, MARCH 15</b>                      Networking opportunity offering prominent brand recognition, serving a variety of healthy snacks as well as hot and cold beverages, set in the Registration/Exhibition Hall, allowing for one-on-one conversations as industry colleagues, clients and potential prospects check in for the event.</p>																													
	<p><b>WOMEN'S LUNCHEON - RESERVED MONDAY, MARCH 16</b>                      Networking lunch with a featured Speaker addressing issues in today's working environment. Sponsoring firm representatives are invited to sit at one of the reserved VIP tables.</p>																													
	<p><b>DIVERSITY &amp; INCLUSION BREAKFAST - SOLD TUESDAY, MARCH 17</b>                      Networking breakfast with a featured Speaker addressing Diversity &amp; Inclusion issues in today's working environment. Sponsoring firm representatives are invited to sit at a reserved VIP table.</p>																													
	<p><b>DIVERSITY &amp; INCLUSION LUNCH - SOLD TUESDAY, MARCH 17</b>                      Networking lunch with a featured Speaker addressing Diversity &amp; Inclusion issues in today's working environment. Sponsoring firm representatives are invited to sit at a reserved VIP table.</p>																													
	<p><b>MORNING NETWORKING REFRESHMENTS</b>                      Co-Sponsorship offered to two firms during each networking break, set in the Registration/Exhibition Hall.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2" style="background-color: #e0f2f1;">Monday, March 16</th> <th colspan="2" style="background-color: #e0f2f1;">Tuesday, March 17</th> <th colspan="2" style="background-color: #e0f2f1;">Wednesday, March 18</th> </tr> <tr> <th style="background-color: #e0f2f1;">Session A</th> <th style="background-color: #e0f2f1;">Session B</th> <th style="background-color: #e0f2f1;">Session A</th> <th style="background-color: #e0f2f1;">Session B</th> <th style="background-color: #e0f2f1;">Session A</th> <th style="background-color: #e0f2f1;">Session B</th> </tr> </thead> <tbody> <tr> <td style="color: red;">(1) SOLD</td> <td style="color: purple;">(2) Reserved</td> <td style="color: red;">(1) SOLD</td> <td style="color: green;">(2) Available</td> <td style="color: green;">(2) Available</td> <td style="color: green;">(2) Available</td> </tr> <tr> <td style="color: purple;">(1) Reserved</td> <td></td> <td style="color: green;">(1) Available</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>						Monday, March 16		Tuesday, March 17		Wednesday, March 18		Session A	Session B	Session A	Session B	Session A	Session B	(1) SOLD	(2) Reserved	(1) SOLD	(2) Available	(2) Available	(2) Available	(1) Reserved		(1) Available			
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	<p><b>FUTURE LEADERS &amp; FIRST TIMERS RECEPTION AVAILABLE</b>                      Networking Reception attended by C&amp;L Society Members who are Future Leaders of the industry with 10-15 years-experience as well as members of the Future Leaders Group of the C&amp;L Society and First-Time participants attending the C&amp;L Annual Seminar. SIFMA C&amp;L Society Committee Members will be in attendance as well.</p>																													
	<p><b>MEDITATION LOUNGE - MONDAY &amp; TUESDAY, MARCH 16-17 AVAILABLE</b>                      The Meditation Lounge is designed for individuals who are looking for a quiet, semi-private location, where they can take a short break while attending the Seminar.</p>																													





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SILVER	SPONSORSHIP
<p><b>INVESTMENT</b>  <b>\$19,000 SIFMA Member Rate</b>                      \$23,000 Non-Member Rate</p> <p><b>SILVER BENEFITS</b>                      One Complimentary Seminar Registration                      Access to One Hotel Room at the Main Hotel</p>	<p><b>PROFESSIONAL HEADSHOTS - RESERVED</b>  <b>MONDAY, MARCH 16 AND TUESDAY, MARCH 17</b></p> <p>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.</p> <p><b>RUN FOR A PURPOSE - SOLD</b>  <b>MONDAY, MARCH 16</b></p> <p>Morning run/walk, organized by SIFMA, offers co-branded T-Shirts and/or socks distributed to all participants, along with beverages &amp; prizes. Donation to a TBD Charity. Details to be confirmed as program develops.</p>
	<p><b>SIFMA SMARTBRIEF PACKAGE - AVAILABLE</b></p> <p>SIFMA SmartBrief is a concise, comprehensive briefing on top industry news that drives best-in-class click through rates and consistent reader engagement. Reach a broad but targeted audience of nearly 60k dedicated subscribers using our customized packages for SIFMA's C&amp;L Annual Seminar. See page 16 for more information.</p> <ul style="list-style-type: none"> <li>• 2x Billboards (value \$2,950 each)</li> <li>• 3x News 1 Rectangle-text (value \$2,950)</li> <li>• 4x News 2 Rectangle-text (value \$2,525)</li> </ul> <p><b>NOTE PADS - AVAILABLE</b></p> <p>Co-Branded tablet, produced and provided by sponsoring firm, placed in attendee registration bag and distributed to all participants during registration.</p> <p><b>POCKET PROGRAM GUIDE - SOLD</b></p> <p>An at-a-glance program guide offers an opportunity to be the exclusive sponsor that attendees see each time they reference the guide for Seminar information.</p>

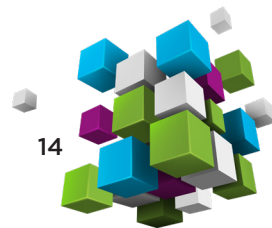




# sifma<sup>®</sup> C&L2020 ANNUAL SEMINAR | SPONSORSHIP OPPORTUNITIES

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SILVER	SPONSORSHIP
<p><b>INVESTMENT</b>  <b>\$19,000 SIFMA Member Rate</b>                      \$23,000 Non-Member Rate</p> <p><b>SILVER BENEFITS</b>                      One Complimentary Seminar Registration                      Access to One Hotel Room at the Main Hotel</p>	<p><b>CHARGING STICKS – AVAILABLE</b></p> <p>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&amp;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 all participants to charge their devices on-the-go.</p>
	<p><b>ALUMINUM OR STAINLESS-STEEL REUSABLE STRAWS – SOLD</b></p> <p>Co-branded on outside packaging, environmentally friendly metal straws, produced and provided by sponsoring firm, placed in attendee tote bag and distributed to all participants during registration.</p>
	<p><b>INSULATED WATER BOTTLE – SOLD</b></p> <p>Co-branded, environmentally friendly sport bottle, produced and provided by sponsoring firm, placed in attendee tote bag and distributed to all participants during registration.</p>
	<p><b>FRUIT-INFUSED HYDRATION STATIONS</b></p> <p>SIFMA has worked to eliminate disposable water bottles at events by providing water filling stations in conveniently accessed areas throughout the event. Water stations feature sponsoring firm's logo on cups placed at various locations that include the Exhibition Hall and Meeting Space each day.</p> <p><b>Sunday, March 15 – Available</b>  <b>Monday, March 16 – Available</b>  <b>Tuesday, March 17 – Available</b>  <b>Wednesday, March 18 – Available</b></p>



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BRONZE	SPONSORSHIP		
<p><b>INVESTMENT</b>  <b>\$16,000 SIFMA Member Rate</b>                      \$19,000 Non-Member Rate</p> <p><b>BENEFITS INCLUDE</b>                      One 50% Discounted Seminar Registrations (Early Bird Rate)                      Access to One Hotel Room at the Main Hotel</p>	<p><b>DAILY NEWSPAPERS</b>                      The day's news (often including the Seminar) placed in a high traffic location, offering convenient access for participants each morning.</p> <p><b>New York Times – SOLD</b>  <b>Wall Street Journal – Reserved</b></p>		
	<p><b>ALL DAY COFFEE SERVICE</b>                      Caffeine. Need we say more? Offering a variety of coffee options that include hot, iced and flavored coffee, with continuous access each day in the Exhibit Hall.</p>		
	<p><b>Co-sponsorship offered to two firms each day:</b></p>		
	<p><b>Monday, March 16</b>                      7:00 a.m. – 1:00 p.m.</p>	<p><b>Tuesday, March 17</b>                      7:00 a.m. – 1:00 p.m.</p>	<p><b>Wednesday, March 18</b>                      10:00 a.m. – 1:00 p.m.</p>
	<p><b>(1) Reserved</b>  <b>(1) Available</b></p>	<p><b>(2) Reserved</b></p>	<p><b>(2) Available</b></p>





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PREMIUM PATRON	
<p><b>INVESTMENT</b> <b>\$11,000 SIFMA Member Rate</b> \$14,000 Non-Member Rate</p> <p><b>BENEFITS INCLUDE</b> One 50% Discounted Seminar Registrations (Early Bird Rate) Access to One Hotel Room at the Main Hotel</p>	<p><b>ACKNOWLEDGEMENT</b> Premium Patrons are acknowledged with their firm logo displayed in multiple locations throughout the event venue, as well as on printed materials distributed to Seminar participants.</p> <p><b>(4) SOLD</b></p>
EXHIBITOR	
<p><b>INVESTMENT</b> <b>\$10,000 SIFMA Member Rate</b> \$13,500 Non-Member Rate</p> <p><b>BENEFITS INCLUDE</b> Two Complimentary Exhibit Personnel Registration – Offers access to Exhibition Hall Only One 50% Discounted Seminar Registrations (Early Bird Rate) Access to Two Hotel Rooms at the Main Hotel</p>	<p><b>8'X10' EXHIBIT SPACE</b></p> <p><b>(8) SOLD</b></p>







## SIFMA SmartBrief Packages - Available

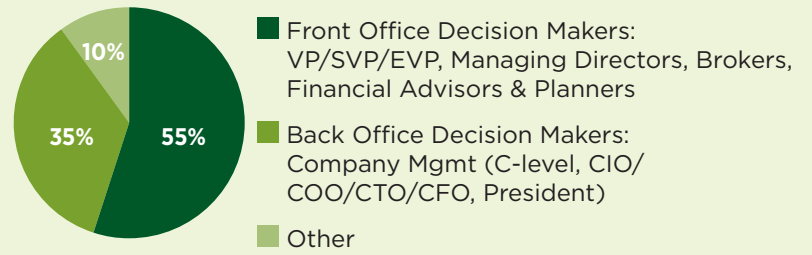
### Advertising & Content Marketing Opportunities

SIFMA SmartBrief is a concise, comprehensive briefing on top industry news that drives best-in-class click through rates and consistent reader engagement.

### Subscribers by Company Type



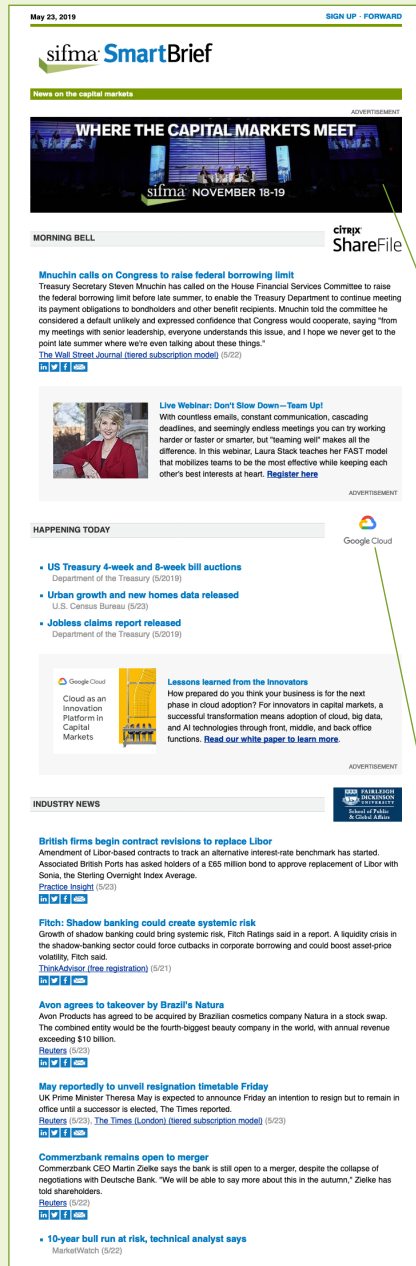
### Subscribers by Position Function



SIFMA SMARTBRIEF	SIFMA SMARTBRIEF: AMG EDITION	SIFMA SMARTBRIEF: OPS/TECH EDITION
A daily snapshot of the capital markets Frequency: Daily (Monday to Friday) Subscriber Count: 57k	A weekly digest of curated and thoughtful pieces on the evolution of the asset management industry Frequency: Weekly (Tuesday) Subscriber Count: 15k	News on the capital markets for operations and technology professionals Frequency: Weekly (Thursday) Subscriber Count: 12k

PLATINUM PACKAGE 1 AVAILABLE	GOLD PACKAGE 1 AVAILABLE	SILVER PACKAGE 2 AVAILABLE
1x Pre-show Conference Report (value \$15,000) 1x Post-show Conference Report (value \$10,000) 2x Billboards (value \$2,950 each)	1x Special Report (value \$15,000) 3x Billboards or News 1 Rectangle-text (value \$2,950 each) 1x Landing Page (value \$1,000)	2x Billboards (value \$2,950 each) 2x News 1 (value \$2,950 each) 3x News 2 (value \$2,525 each) 1x Landing Page (value \$1,000)

SIFMA SPECIAL UPDATE PACKAGE



Display & Native Advertising

Billboard

As the top banner above the SmartBrief publication masthead, the Billboard is the first thing our readers see when they open the newsletter. Such prominent placement is great for branding and staying top-of-mind with our readers, and being above-the fold will ensure your ad is seen by the maximum number of readers.

- Creative Size: 970 x 250
- File Size: 250k maximum
- File Type: GIF/JPEG/PNG
- Click Through URL
- Animation:
  - 15 seconds maximum
  - Animation is not supported by all email clients. Include sponsor branding and call-to-action on first frame.
- Note: Ad will display at 650x167 in desktop view and scale on mobile devices.
- Note: Creatives sized at 728x90 may also be accepted

Featured Content

The Featured Content section gives you exclusive ownership of an entire newsletter section. Featured Content is ideal for promoting branded content. Through a Featured Content news section sponsorship, you can showcase your thought leadership in the context of a trusted news resource.

SECTION HEADER

- Section header: 30 characters max, excluding spaces
- Subheader: "Sponsored content brought to you by..."
- Ad logo (optional): 120 x 60 pixels. 30k maximum; GIF or JPEG and a clickthrough URL (optional)

HEADLINE UNIT

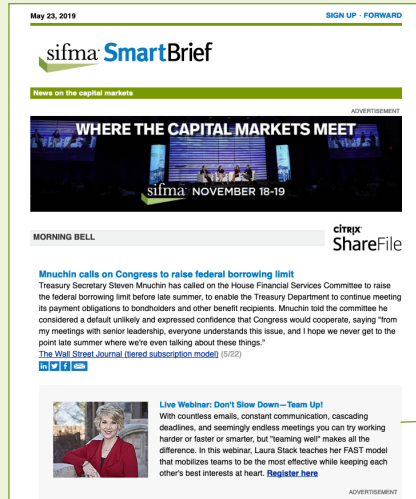
- 3-5 headlines per issue
- Headlines: 35 characters, excluding spaces
- Clickthrough URLs to be embedded in each headline, ungated

SUMMARY UNIT

- 1-2 summaries per issue
- Headline: 35 characters, excluding spaces
- Summary: 300 characters, excluding spaces
- Image: 180 x 150 pixels. 30k maximum; GIF or JPEG
- Clickthrough URL to be embedded in headline, ungated

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## Rectangle-Text Ads (News 1, 2, 3, 4)

SmartBrief's news section sponsorships allow you to seamlessly align your brand message with our editorial content, positioning you as an industry resource. Make use of both images and text to provide useful resources, case studies or information about the features and benefits of a product using our high-performing advertising unit.

### RECTANGLE-TEXT AD UNIT

- Ad Logo: 120 x 60; 50k maximum; GIF/JPEG/PNG
- Ad Image: 180 x 150; 50k maximum; GIF/JPEG/PNG
- Headline: 40 characters, excluding spaces
- Ad Copy: 250 characters, excluding spaces
- Click Through URL

## Exclusive Opportunities Conference Report

As the exclusive sponsor of the official Conference Report, your organization can reach attendees

before and after the event with customized, relevant content. The two-part series offers readers a pre-show overview of conference themes and events, and a post-conference look back at key takeaways and highlights.



## Special Report

A topic-based Special Report allows your organization to position your brand and

products alongside relevant news on a trending industry topic, curated by an expert editor. Leverage this to elevate your brand, and promote your core products and services.



## Landing Page

Construct a landing page through SmartBrief and convert more actionable leads to your next promotion. SmartBrief-built landing pages auto-fill fields with each subscriber's corresponding demographic information, streamlining the user experience and resulting in higher conversion rates.

•Ad run dates served on a first-come, first-serve basis. Ads must be placed within one month of the sponsored event (30 days prior and after).



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CUSTOM BRANDED LIGHTBOX	
<p><b>INVESTMENT</b>  <b>\$7,000 SIFMA Member Rate</b>                  \$9,000 Non-Member Rate</p>	<p>SIFMA is offering all sponsors and exhibitors increased visibility throughout the event with our Lightbox Advertising Showcase. Sponsored Lightboxes are strategically placed in prominent locations throughout the Meeting Space and will be displayed over the full length 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.</p> <p>Includes all installation, dismantling and utility fees.</p> <p><b>(5) SOLD</b></p>
LUNCH & LEARNS	
<p><b>INVESTMENT</b>  <b>\$5,500 SIFMA Member Rate</b>                  \$6,500 Non-Member Rate</p>	<p>Exclusive to contracted sponsors and exhibitors, Lunch &amp; Learn sessions offer an opportunity to share thought leadership to a captive audience during a one-hour Lunch &amp; Learn presentation. Lunch &amp; Learns are promoted as an official part of the program agenda.</p> <p>All titles and session descriptions are subject to pre-approval by SIFMA. A meeting room with standard A/V as well as a hot buffet lunch will be provided to host a maximum of 50 participants during each session. Up to four sessions will run concurrently on both Monday &amp; Tuesday, March 16 &amp; 17.</p> <p><b>Monday, March 16 – (1) SOLD (3) Available</b>  <b>Tuesday, March 17 – (1) SOLD (3) Available</b></p>

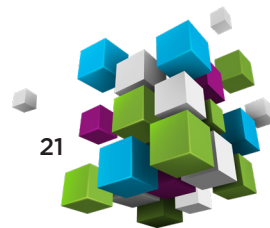
## Annual Seminar

For more than 50 years, the premier event for leading compliance and legal professionals in financial services



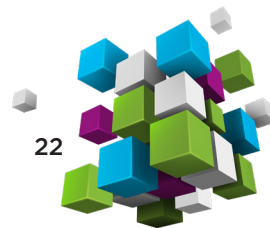
## 2019 Participating Firms

ABN AMRO Clearing Chicago LLC	Arnold & Porter Kaye Scholer LLP	Bloomberg Tradebook LLC	CellTrust Corporation
ACA Compliance Group	Ascent RegTech	BMO Capital Markets Corp.	Cetera Financial Group
Accenture Inc.	Ascent Technologies Inc.	BMO Financial Group	CFP Board
Accenture LLP	Asset Management Compliance Consulting Solutions, LLC	BMO Harris Bank	Charles River Associates
Advisor Group	Authentic8	BNP Paribas Securities Corp.	Charles Schwab & Co., Inc.
Akerman LLP	AxiomSL	BNY Mellon	Charles Schwab Corporation
Akin Gump Strauss Hauer & Feld LLP	Baker & Hostetler LLP	Boenning & Scattergood, Inc.	Charles Schwab Investment Advisory (CSIA)
Alabama Securities Commission	Baker, Donelson, Bearman, Caldwell & Berkowitz, PC	BOX Exchange LLC	China Renaissance Securities (US) Inc.
AlixPartners LLP	Ballard & Littlefield, LLP	Bracewell LLP	Choate Hall & Stewart LLP
Allen & Overy LLP	Banca IMI Securities Corp.	Bressler, Amery & Ross, P.C.	CIBC World Markets Corp.
AllianceBernstein L.P.	Bank of America Corporation	Broadridge Financial Solutions, Inc.	CION Securities, LLC
Ally Bank	Bank of America Merrill Lynch	Brownstein Hyatt Farber Schreck, LLP	Cipperman Compliance Services LLC
Ally Financial Inc.	Bank of Montreal	Burr & Forman LLP	Citadel LLC
Ally Invest	Bank of Nova Scotia	Business Insider	Citadel Securities LLC
Ally Invest Securities LLC	Bank of the West	Cadwalader, Wickersham & Taft LLP	Citi
Alston & Bird LLP	Barclays	Cahill Gordon & Reindel LLP	Citibank, N.A.
Alvarez & Marsal	Barclays Capital Inc.	Caldwell Partners	Citigroup Global Markets Inc.
Ameriprise Financial Services, Inc.	Barnes & Thornburg LLP	California Department of Business Oversight	Citigroup Inc.
Ameriprise Financial, Inc.	Barrasso Usdin Kupperman Freeman & Sarver, L.L.C.	Canadian Imperial Bank of Commerce (CIBC)	Citizens Bank
Amherst Pierpont Securities LLC	Bass, Berry & Sims PLC	Cantor Fitzgerald & Co.	Cleary Gottlieb Steen & Hamilton LLP
Analysis Group	Bates Group LLC	Capital Forensics, Inc.	Clifford Chance LLP
Ankura Capital Advisors, LLC	BBVA Securities Inc.	Capital Market Strategies	Clifford Chance US LLP
Apex Clearing Corporation	BDT & Company, LLC	Capital One Financial Corporation	Coastal Equities, Inc.
Aplomb Strategies	Benjamin F. Edwards & Co.	Capital One Investing, LLC	Cohen & Gresser LLP
AQR Capital Management, LLC	Berkeley Research Group, LLC	Capital One, N.A.	
Aragon Mediation	Bingham Greenebaum Doll LLP	Cardozo Law School	
Arctic Securities LLC	Bloomberg Law	Carrington, Coleman, Sloman & Blumenthal, L.L.P.	



## 2019 Participating Firms

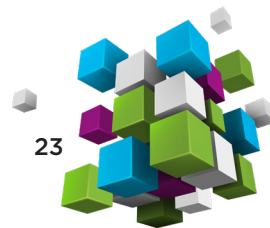
Coinbase	Deloitte Advisory	Evercore Group LLC	Folio Investments, Inc.
Commerce Street Capital, LLC	Deloitte Transactions and Business Analytics LLP	Eversheds Sutherland	Freddie Mac
Commerz Markets LLC	Depository Trust & Clearing Corporation (DTCC)	Eversheds Sutherland (US) LLP	Fredrikson & Byron P.A.
Commerzbank AG	Deutsche Bank AG	Exane, Inc.	Fried, Frank, Harris, Shriver & Jacobson LLP
Commonfund	Deutsche Bank Securities Inc.	Exos Securities LLC	Frost Brokerage Services, Inc.
Compliance Science, Inc.	Dewey Pegno & Kramarsky LLP	ExpertSmith, LLC	FTI Consulting, Inc.
Consilio	DLA Piper	Federal Reserve Bank of New York	G1 Execution Services, LLC
Cooley LLP	DLA Piper LLP (US)	Federal Reserve Board	Geller & Company
Cornerstone Research Inc	Donovan & Rainie	Fidelity	Ghabai Law Group LLC
Cozen O'Connor	Dorsey & Whitney LLP	Fidelity Brokerage Services LLC	Gibbons P.C.
Cravath, Swaine & Moore LLP	Douglas Mediaton	Fidelity Institutional Asset Management	Gibson, Dunn & Crutcher LLP
Credit Agricole Securities (USA) Inc.	Dowd Bennett LLP	Fidelity Investments	Global Relay Communications Inc
Credit Suisse Group AG	Doyle Restrepo Harvin & Robbins LLP	Fidelity National Information Services, Inc. (FIS)	Global Relay Communications Inc.
Credit Suisse Securities (USA) LLC	Drinker Biddle & Reath LLP	Fieldpoint Private	Godfrey & Kahn, S.C.
Credit Suisse Services (USA) LLC	DriveWealth, LLC	Fifth Third Bank	Goldman Sachs & Co. LLC
Crowe & Dunlevy, P.C.	DRW Holdings, LLC	Financial Industry Regulatory Authority Inc (FINRA)	Goldman Sachs Group, Inc.
Crowell & Moring LLP	DST Market Services, LLC	Financial Industry Service Group LLC	Goodwin Procter LLP
D.A. Davidson & Co.	Duane Morris LLP	Finn Dixon & Herling LLP	Google Cloud
Daiwa Capital Markets America Inc.	Duff & Phelps LLC	First Manhattan Co.	Gordon Rees Scully Mansukhani, LLP
Dash Financial Technologies LLC	E*TRADE Financial Corp.	First Republic Bank	Grant Thornton LLP
David Lerner Associates, Inc.	E*Trade Securities LLC	First Republic Securities Company, LLC	GrayRobinson PA
Davis Polk & Wardwell LLP	Edward D. Jones & Co., L.P.	FIS	Greenberg Traurig, LLP
DCS Advisory LLC	Edward Jones	Fitch Ratings	Greenhill & Co., LLC
Deal Cloud	Electronic Transaction Clearing, Inc.	FITS Consulting	Greensfelder, Hemker & Gale, P.C.
DealCloud	Ellenoff Grossman & Schole LLP	FMR LLC	
Debevoise & Plimpton LLP	Epstein Becker & Green, P.C.	Foley & Lardner LLP	
Dechert LLP	Ernst & Young LLP		
Deloitte	Eventus Systems		
Deloitte & Touche LLP			





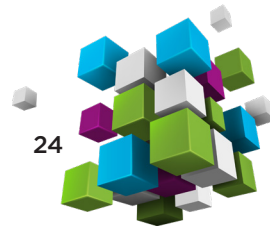
## 2019 Participating Firms

Guggenheim Partners, LLC	Intercontinental Exchange (ICE)	Kathy Adams Dispute Resolution Services	Liquidnet, Inc.
Guggenheim Securities, LLC	International Business Research	Katrina Photography	Liskow & Lewis
GX2 Systems, LLC	Intesa Sanpaolo SpA	Katten Muchin Rosenman LLP	Lloyds Banking Group
Hahn & Hessen LLP	INTL FCStone Inc.	Kean Miller LLP	Locke Lord LLP
Hanzo Archives	Inventus	Keesal, Young & Logan, P.C.	Loeb & Loeb LLP
HBR Consulting LLC	Investment News	Kelley Drye & Warren LLP	Lombardi & Donohue LLP
Hearsay Systems	Iron Mountain	Kessler & Collins P.C.	Long Term Stock Exchange
Hedley May LLP	J.J.B. Hilliard, W.L. Lyons, LLC	Kessler Collins	LPL Financial Holdings Inc.
Herbert Smith Freehills LLP	J.P. Morgan Securities LLC	Kestra Financial, Inc.	LPL Financial LLC
Hilltop Securities Inc.	Jackson National Life Distributors LLC	KeyBanc Capital Markets Inc.	LuckyStrike Securities LLC
Hogan Lovells US LLP	Jackson Walker L.L.P.	Kilpatrick Townsend & Stockton LLP	Luminex Trading & Analytics LLC
Holland & Knight LLP	Jaffe Raitt Heuer & Weiss	King & Spalding LLP	Macquarie Capital (USA) Inc.
Houlihan Lokey	Jane Street Capital, LLC	Kirkland & Ellis LLP	Markun Zusman Freniere Compton LLP
Houlihan Lokey Capital, Inc.	Janney Montgomery Scott LLC	KLR Group, LLC	Marshall Dennehey Warner Coleman & Goggin PC
HSBC	Janus Henderson Group plc	KPMG Corporate Finance LLC	MassMutual Financial Group
HSBC Bank USA, N.A.	Jefferies LLC	KPMG LLP	Maxim Group LLC
HSBC Holdings plc	Jenks & Harvey LLP	Kuchler Polk Weiner, LLC	Mayer Brown LLP
HSBC North America Holdings Inc.	John Davenport Maine	Latham & Watkins LLP	Maynard, Cooper & Gale, P.C.
HSBC Securities (USA) Inc.	Jones Day	Law Office of James A. Nofi, LLC	McDermott Will & Emery LLP
Huntington National Bank	Jones Walker LLP	Lawrence Kamin, LLC	McDougald & Cohen, P.S.
Ice Miller LLP	Jones, Bell, Abbott, Fleming & Fitzgerald LLP	Lazare Potter Giacovas & Moyle LLP	MCG Consulting, LLC
IMS ExpertServices	JPMorgan Chase & Co.	Lehman & Eilen, LLP	McGraw Hill Financial, Inc.
Incapital LLC	JPMorgan Chase Bank, National Association	Lehman Brothers	McGuireWoods LLP
Infobelt LLC	K&L Gates LLP	Level ATS	Merrill Lynch Wealth Management
ING Financial Holdings LLC	K2 Intelligence LLC	Levine Lee LLP	
ING Financial Markets LLC	Kapco Group, Inc.	Lewis Brisbois Bisgaard & Smith LLP	
Insigneo Securities, LLC	Kaplan Hecker and Fink LLP	Lewis Roca Rothgerber Christie LLP	
Intelligize		Lincoln Financial Distributors, Inc.	
Interactive Brokers LLC			



## 2019 Participating Firms

MFS Investment Management	NASDAQ	Oliver Wyman	PricewaterhouseCoopers International Limited
Micro Focus	National Financial Services LLC	O'Melveny & Myers LLP	PricewaterhouseCoopers LLP
Milbank LLP	National Futures Association (NFA)	OpenFin	Primerica
Miles & Stockbridge P.C.	Nationwide	Oppenheimer & Co. Inc.	Proskauer Rose LLP
Mintz, Levin, Cohn, Ferris, Glovsky and Popeo, P.C.	Natixis	OppenheimerFunds Inc	Prospera Financial Services, Inc.
Mitchell Hamline School of Law	Natixis Securities Americas LLC	Options Clearing Corporation	Prosperity Capital Advisors
Mitsubishi UFJ Financial Group, Inc. (MUFG)	NatWest Markets Securities Inc.	Orrick, Herrington & Sutcliffe LLP	Protective Life Corporation
Mitsubishi UFJ Trust and Banking Corporation, New York Branch	Navigant Consulting, Inc.	OS33	Protiviti
Mizuho Capital Markets Corporation	Neal, Gerber & Eisenberg LLP	Osler, Hoskin & Harcourt LLP	Prudential Financial, Inc.
Mizuho Securities USA LLC	Nelson Mullins Riley & Scarborough LLP	Otterbourg P.C.	Prudential Investment Management Services LLC
Moore & Van Allen, PLLC	NEX Group plc	Oyster Consulting, LLC	PwC
Morgan Stanley	NICE Actimize	Oz Management	Quarles & Brady LLP
Morgan Stanley & Co. LLC	Niles, Barton & Wilmer, LLP	Parker, Hudson, Rainer & Dobbs LLP	QuisLex
Morgan Stanley Smith Barney LLC	No Firm	Paul Hastings LLP	Rabo Securities USA, Inc.
Morgan Stanley Wealth Management	Nomura Holding America Inc.	Paul, Weiss, Rifkind, Wharton & Garrison LLP	Rabobank Group
Morgan, Lewis & Bockius LLP	Nomura Securities International, Inc.	Perkins Coie, LLP	Rabobank International
Morrison & Foerster LLP	North American Securities Administrators Association (NASAA)	Pershing LLC, a BNY Mellon Company	Raymond James & Associates, Inc.
Morvillo Abramowitz Grand Iason & Anello PC	Northern Lights Compliance Services, LLC	Pescosolido Mediation and Consulting LLC	Raymond James Financial Services, Inc.
Moseley Law PLLC	Northwestern Mutual Investment Services, LLC	Petrillo Klein & Boxer LLP	Raymond James Financial, Inc.
MUFG Securities Americas Inc.	Norton Rose Fulbright	Phillips & Cohen LLP	RBC Capital Markets, LLC
MUFG Union Bank, N.A.	Norton Rose Fulbright LLP	Phillipson & Uretsky, LLP	RBC Correspondent Services
Munger, Tolles & Olson LLP	n-Tier Financial Services LLC	Pillsbury Winthrop Shaw Pittman LLP	RBC Wealth Management
Municipal Securities Rulemaking Board (MSRB)	Nuveen, LLC	Piper Jaffray Companies	RegEd
Murphy & McGonigle, P.C.	Och-Ziff Capital Management Group LLC	PJT Partners LP	Reminger Co., L.P.A.
MyComplianceOffice	Office of the Comptroller of the Currency (OCC)	PNC Bank	
Nardello & Co. LLC	OFI Global Asset Management, Inc.	PNC Financial Services Group, Inc.	
		Point72, L.P.	
		Polsinelli PC	

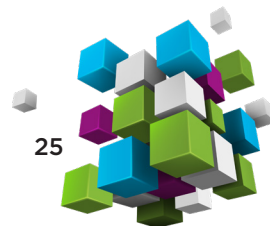






## 2019 Participating Firms

Renaissance Regulatory Services, Inc.	Shearman & Sterling LLP	Stroock & Stroock & Lavan LLP	Tower Research Capital LLC
Rice Search Partners	Sheppard, Mullin, Richter & Hampton LLP	Sullivan & Cromwell LLP	TP ICAP
Richards Kibbe & Orbe LLP	Sia Partners	Susquehanna International Group LLP	TradeStation Securities, Inc.
RIMES Technologies Corporation	Sidley Austin LLP	SVB Asset Management	Tradition Securities and Derivatives Inc.
Robert W. Baird & Co. Incorporated	SIFMA	T. Rowe Price Associates, Inc.	Two Sigma Securities, LLC
Robinhood Securities, LLC	Silicon Valley Bank	TD Ameritrade Clearing, Inc.	tZERO
Ropes & Gray LLP	SIMON Markets LLC	TD Ameritrade Holding Corporation	U.S. Bancorp
ROTH Capital Partners, LLC	Simpson Thacher & Bartlett LLP	TD Ameritrade Institutional	U.S. Bancorp Investments, Inc.
Royal Bank of Canada (RBC)	Skadden, Arps, Slate, Meagher & Flom LLP	TD Ameritrade, Inc.	U.S. Bank
Rumberger, Kirk & Caldwell	Smarsh	TD Bank	U.S. Commodity Futures Trading Commission (CFTC)
Ryan, Swanson & Cleveland, PLLC	SMBC Nikko Securities America, Inc.	TD Bank Group	U.S. Department of Justice
S&P Global Ratings	Smith Moore	TD Private Client Wealth LLC	UBS AG
S.D. Krasner Associates	Snell & Wilmer LLP	TD Securities (USA) LLC	UBS Financial Services Inc.
Sanford C. Bernstein & Co., LLC	Snowden Lane	Temple Grange Partners	UBS Securities LLC
Saretsky Hart Michaels & Gould PC	Societe Generale	The Brattle Group	UBS Wealth Management
Scales Consulting Group	Societe Generale Corporate & Investment Banking	The Fortress Law Firm, Inc.	Ulmer & Berne LLP
Schiff Hardin LLP	SS&C GlobeOp	The Guardian Life Insurance Company of America	United States Attorney's Office
Schnader Harrison Segal & Lewis LLP	StarCompliance	The Lampo Group	US Securities and Exchange Commission (SEC)
Schulte Roth & Zabel LLP	Stark & Stark Attorneys at Law	The Penn Mutual Life Insurance Company	USAA
Schwab Compliance Technologies, Inc.	State Farm VP Management Corp.	The SDDCO Group	USAA Investment Management Company
Scotia Capital (USA) Inc.	Stephens Inc.	The Taylor Law Offices, P.C.	Vandeventer Black LLP
SEBA International	Stephens Investment Management Group, LLC	Thompson Hine LLP	Vanguard
Securian Financial Services, Inc.	Stifel Financial Corp.	Thomson Reuters	
Securities America, Inc.	Stinson Leonard Street LLP	Thrivent Financial	
Securities Investor Protection Corporation (SIPC)	StoneTurn Group LLP	Thrivent Investment Management Inc.	
Securities Litigation Analysts LLC	Stradley Ronon Stevens & Young, LLP	TIAA	
Seward & Kissel LLP		TIAA-CREF Individual & Institutional Services, LLC	
Seyfarth Shaw LLP			



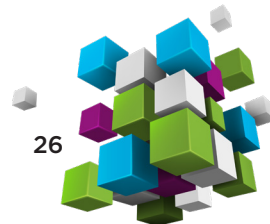


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Venable LLP	Weil, Gotshal & Manges LLP	West Consulting, LLC	Winslow Capital Management LLC
Veritone, Inc.	Wells Fargo & Company	Western International Securities, Inc.	Winstead PC
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## About Us

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### About SIFMA

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