DIAMOND

Networking Luncheon *Sponsored by:*



FICO® powers decisions that help people and businesses around the world prosper. Founded in 1956 and based in Silicon Valley, the company is a pioneer in the use of predictive analytics and data science to improve decisions. The FICO® Score is used across the lending lifecycle and throughout the credit ecosystem, helping lenders, regulators, debt purchasers, consumers and other parties have a common understanding of credit risk. FICO® Scores were solely cited as the credit risk measure in over 98.8% of total dollars in U.S. Securitizations.*

*Mercator Advisory Group Asset Back Securitization Study for credit card and auto loans and leases in 2018.

Contact: Joanne Gaskin, Vice President, Scores and Analytics, FICO, 181 Metro Dr # 6, San Jose, CA 95110 / 408.535.1500 / https://www.fico.com/en/products/fico-score

Welcome Reception & Morning Networking Refreshments *Co-Sponsored by:*



Google Cloud

Google Cloud is widely recognized as a global leader in delivering a secure, open and intelligent enterprise cloud platform. We're focused on building solutions in five key categories: Infrastructure Modernization; Data Management; Application Development; Smart Analytics & AI; and Productivity & Collaboration - and are concentrating our efforts in ~15 global markets. Today, customers across more than 150 countries trust Google Cloud to modernize their computing environment for today's digital world. We are helping thousands of organizations, including many of the world's largest companies, transform their businesses.

Contact: Russ Kole, Head of Engineering for Financial Services, Google Cloud, 111 8th Ave 212.565.1533 / russkole@google.com / https://cloud.google.com/solutions/financial-services/

Learn more about Google Cloud (PDF)

PLATINUM

Welcome Reception *Co-Sponsored by:*



Broadridge, a global Fintech leader with over \$4 billion in revenues and part of the S&P 500® Index, enables corporate governance, powers capital markets and helps wealth and asset management firms grow. We provide communications, technology, data and analytics that help our clients enrich engagement, navigate risk, optimize efficiency and drive revenue growth. We process \$5 trillion in fixed income and equity trades daily, manage shareholder voting in 90 countries and deliver essential communications for 5,000 brands. From our unique vantage point, working side by side, we help our clients get ahead of today's challenges and capitalize on what's next.

Contact: Broadridge Financial Solutions, One Park Avenue, New York, NY 10016 / 1.800.353.0103 / www.broadridge.com/ready-for-next

Learn more about Broadridge Financial Solutions (PDF)

Welcome Reception *Co-Sponsored by:*



Fidelity Investments® is one of the world's largest providers of financial services. Founded in 1946, the firm is a leading provider of investment management, retirement planning, portfolio guidance, brokerage, benefits outsourcing, and many other financial products and services to more than 20 million individuals and institutions, as well as through 5,000 financial intermediary firms. For more information about Fidelity Investments, visit Fidelity.com.

Contact: John Phillips, EVP, Head of Bank & Brooker-Dealer Sales, Fidelity Clearing & Custody Solutions, 200 Seaport Boulevard, Boston, MA 02210 / 617.563.2253 /https://clearingcustody.fidelity.com

Learn more about Fidelity Investments



NOVEMBER 18-19, 2019 WASHINGTON, DC

GOLD

Attendee Tote Bag Sponsored by:

Deloitte

Deloitte's experienced professionals help banking and capital markets leaders anticipate challenges, and develop and implement strategies that address regulatory reform, technological complexity, competitive dynamics, and market moves—turning critical and complex business issues into opportunities for growth, resilience, and long-term advantage. To help institutions prepare for and face their most pressing challenges, we tap into a network of more than 6,000 professionals dedicated to serving US banking and capital markets institutions—bringing together diverse and experienced teams when and where you need us. Our professionals deliver innovative, forward-looking strategies in audit, consulting, financial advisory, risk management, and tax to help you navigate through today's complex landscape and better position your firm for the future. It is this deep expertise in all facets of financial services that make us exceptionally qualified to serve the industry, and we are consistently at the forefront of the issues most important to our clients.

Contact: Scott Baret, Advisory Partner, Deloitte & Touche LLP, 30 Rockefeller Plaza, New York, NY 10112 212.436.5456 / sbaret@deloitte.com / https://www2.deloitte.com/us/en.html

Learn more about Deloitte (PDF)

Social Media & Digital Wall

Sponsored by:

DTCC

Securing Today. Shaping Tomorrow.[™]

With over 45 years of experience, DTCC is the premier post-trade market infrastructure for the global financial services industry. From operating facilities, data centers and offices in 16 countries, DTCC, through its subsidiaries, automates, centralizes and standardizes the processing of financial transactions, mitigating risk, increasing transparency and driving efficiency for thousands of broker/dealers, custodian banks and asset managers. Industry owned and governed, the firm simplifies the complexities of clearing, settlement, asset servicing, data management, data reporting and information services across asset classes, bringing increased security and soundness to financial markets. In 2018, DTCC's subsidiaries processed securities transactions valued at more than U.S. \$1.85 quadrillion. Its depository provides custody and asset servicing for securities issues from 170 countries and territories valued at U.S. \$52.2 trillion. DTCC's Global Trade Repository service, through locally registered, licensed, or approved trade repositories, processes over 14 billion messages annually. To learn more, please visit us at www.dtcc.com or connect with us on LinkedIn, Twitter, YouTube and Facebook

Contact: Mark Vercruysse, Managing Director, DTCC, 570 Washington Blvd, Jersey City, NJ 07310 mvercruysse@dtcc.com / 212.855.4151 / www.dtcc.com

Learn more about <u>DTCC</u> (PDF)

Welcome Breakfast *Co-Sponsored by:*



Mediant delivers investor communications solutions to brokers, corporate issuers and funds. Our solutions are driven by leading technology and strict compliance with industry regulations, which allows clients to balance innovation with requirements. We enable brokers to effectively manage all potential touchpoints within the investor communications lifecycle — from proxy statements and prospectuses to voluntary corporate actions. We provide corporate issuers with turnkey proxy processing services, and we empower mutual funds, REITs and insurance companies with a full-service, end-to-end proxy solution.

Contact: Andi Costa, Regional Manager, Mediant, 3 Columbus Circle, Suite 2110, New York, NY 10019 212.920.0920 / acosta@mediantonline.com / www.mediantinc.com

Welcome Breakfast Sponsored by:

proofpoint.

Developing a modern data archiving strategy isn't easy. IT departments are plagued by data growth. Legal and compliance teams struggle with how to best retain, discover, and supervise content in compliance with evolving regulations. But the next generation of archiving is here. Proofpoint is a complete, end-to-end solution to manage information risk—all without the headache of managing archiving in-house.

Contact: Ashley Bueno, Sr. Marketing Programs Manager, Proofpoint, 892 Ross Dr., Sunnyvale, CA 94089 / <u>abueno@proofpoint.com</u> / <u>https://www.proofpoint.com/us/product-family/information-archive-and-compliance</u>

Learn more about Proofpoint (PDF)

SILVER

Cell Phone Re-Charge Zone Sponsored by:

Davis Polk

Davis Polk & Wardwell LLP (including its associated entities) is an elite global law firm with world-class practices across the board. Industry-leading companies and global financial institutions know they can rely on Davis Polk for their most challenging legal and business matters. The firm's top-flight capabilities are grounded in a distinguished history of 170 years, and its global, forward-looking focus is supported by 10 offices strategically located in the world's key financial centers and political capitals. Approximately 1,000 lawyers collaborate seamlessly across practice groups and geographies to provide clients with exceptional service, sophisticated advice and creative, practical solutions. Visit davispolk.com.

Contact: Christine Ondris, Business Development, Davis Polk & Wardwell LLP, 450 Lexington Avenue, New York, NY 10017 / 212.450.6419 / christine.ondris@davispolk.com / davispolk.com

Learn more about <u>Davis Polk & Wardwell LLP</u> (PDF)

Attendee Badge Lanyard Sponsored by:



FIS is a leading provider of technology solutions for merchants, banks and capital markets firms globally. Our 55,000 people are dedicated to advancing the way the world pays, banks and invests by applying our scale, deep expertise and data-driven insights. We help our clients use technology in innovative ways to solve business-critical challenges and deliver superior experiences for their customers. Headquartered in Jacksonville, Florida, FIS is a Fortune 500® company and is a member of Standard & Poor's 500® Index. To learn more, visit www.fisglobal.com. Follow FIS on Facebook, LinkedIn and Twitter (@FISGlobal).

Vladimir Fookson, Director of Sales, FIS Vladimir.Fookson@fisglobal.com

Learn more about FIS Global (PDF)

General Session Apostle Seating Sponsored by:



IBM is the leading cognitive solutions and cloud platform company. You are able to leverage IBM's experience managing over 30,000 clients worldwide to achieve scale and reliability by integrating and optimizing your workload management across public, private or hybrid cloud environments. IBM's expertise and processes help you build a complete, security rich solution that creates new value for your business.

Contact: Chris Jameson, Field and Product Marketing Manager - US Banking & Financial Markets cwjameson@us.ibm.com / 201.669.7301

Learn more about IBM (PDF)

Attendee Wi-Fi Sponsored by:



Executive MBA

The Executive MBA program from NYU Stern is now available in downtown Washington, DC. Stern's Executive MBA is the highest ranked program of its kind in DC. Designed for experienced professionals, the Executive MBA will help you hone your skills and build your network to lead in the business world. Learn from NYU's globally recognized thought leaders known for their research, teaching and real-world influence. Earn your MBA while you work with classes conveniently held one weekend a month. For more information, visit stern.nyu.edu/emba-dc.

Contact: NYU Stern Executive MBA Program, NYU Stern School of Business, 44 West Fourth Street, Suite 4-100 New York, NY 10012 / 212.998.0788 / <u>executive@stern.nyu.edu</u>

Learn more about NYU Stern Executive MBA (PDF)

BRONZE

Notepads & Pens Sponsored by:



A global leader in financial services technology for 35 years, Fiserv (NASDAQ:FISV) Investment Services provides solutions to wealth and asset management firms and their advisors to help investors achieve their financial goals. Our technology platform includes: financial planning, proposal generation, client onboarding, model management, portfolio management, trading, portfolio accounting, post-trade processing, performance reporting and fee billing. Fiserv connects 20+ Broker-Dealers, 150+ Asset Managers and 60+ Custodians and trading interfaces, creating the most robust network in the industry. Fiserv is a FORTUNE® Magazine World's Most Admired Company for six consecutive years since 2014

Contact: Dennis Correia, Director of Business Development, Investment Services, Fiserv, 184 Liberty Corner Rd, Warren, NJ, 07059 / 508.594.0660 / <u>Dennis.correia@fiserv.com</u> www.Fiserv.com/WealthManagement

Learn more about Fisery (PDF)



Hearsay Systems is reinventing the client experience in wealth management, property and casualty and life insurance with compliant digital communications and workflow solutions. Over 150,000 advisors and agents at the world's largest financial services and insurance firms leverage Hearsay to engage with customers and build stronger relationships to grow their business.

With Hearsay Cloud for financial services, advisors and agents provide real-time, personalized and seamless client experiences across the right channel – social, texting and mobile – at the right moment. Automated, pre-built industry workflows for insurance and wealth management provide one-click actionable suggestions for targeted engagement. Built for the enterprise, Hearsay Systems connects data and every client interaction to corporate CRM systems and digital marketing programs – all on a secure, compliant enterprise-ready platform. Hearsay is headquartered in Silicon Valley with locations throughout North America, Europe and Asia. Connect on <u>Facebook</u>, <u>Twitter</u>, <u>LinkedIn</u> and the <u>Hearsay</u> blog.

Contact: Tom Westhoff, Vice President, Sales, Hearsay Systems / twesthoff@hearsaycorp.com hearsaysystems.com



NOVEMBER 18-19, 2019 WASHINGTON, DC



For more than 160 years, PwC has been committed to one goal – helping our clients thrive. With more than 236,000 employees and offices in 158 countries, we help global organizations and individuals alike create value in the world by delivering quality advisory, audit, assurance, and tax services.

At PwC, we know that to succeed in a complex and rapidly changing environment, you need a nimble strategy and the right tools and technologies. We understand how to prepare for the unexpected and help our clients effectively and efficiently manage new regulatory challenges and risks when they emerge.

Our team of experienced consultants, former industry executives and senior regulators are innovative leaders with the insight, industry experience and regulatory knowledge to help your organization accelerate growth and sustain advantage in the marketplace.

Contact: https://www.pwc.com

SmartBrief

SIFMA SmartBrief is a concise, comprehensive digital news publication dedicated to keeping capital markets professionals informed on the day's most important news. Delivered daily to 55,000+ capital markets decision-makers and senior-level financial services professionals, SIFMA SmartBrief's readership is 100% opt-in and is free to subscribe. Sign up today at www.smartbrief.com/SIFMA!

By working with SmartBrief, SIFMA Annual Meeting attendees can leverage our daily newsletter to maintain their brand awareness, showcase their thought leadership, or even generate qualified leads. SIFMA SmartBrief drives industry-leading open/click-through rates and reader engagement. SmartBrief also offers a suite of content marketing solutions, for organizations looking to produce quality original content.

Contact: Abiy Bekele / abiy.bekele@futurenet.com

Learn more about **SmartBrief** (PDF)



Workiva, the leading cloud provider of connected reporting and compliance solutions, is used by thousands of enterprises across 180 countries, including more than 75 percent of Fortune 500® companies, and by government agencies. Our customers have linked over five billion data elements to trust their data, reduce risk, and save time. For more information about Workiva (NYSE:WK), please visit workiva.com.

Contact: Arthy Kumar, Director of Product Marketing, Workiva, <u>events@workiva.com</u> / 480.426.2921 www.workiva.com

Learn more about Workiva (PDF)