



AML2020

ANTI-MONEY LAUNDERING & FINANCIAL CRIMES CONFERENCE

FEBRUARY 5-6, 2020 | MARRIOTT MARQUIS, NEW YORK, NY

SPONSORSHIP PROSPECTUS

SPONSORSHIP OPPORTUNITIES

2019 PARTICIPANTS

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Diana Serri, Managing Director, Head of Exhibit & Sponsorship Sales, SIFMA | 212.313.1258 | dserri@sifma.org

AN ANNUAL EVENT YOU CAN'T AFFORD TO MISS WITH ...



500+
Participants

75+
Speakers

18+
Sessions

20
Sponsors

12 CLE
Credits

13 CPE
Credits

10 CAMS
Credits

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TESTIMONIALS FROM 2019 DELEGATES:

“Topics are relevant and timely, great to hear from the regulators and law enforcement.”

“The speakers and panelists are ALWAYS influential, high-level people in their respective organizations or responsibilities. This includes industry and regulators. The diversity of the regulators and their input / perspective is outstanding, from SEC to FINRA to DOJ, to DFS.”

“This is one of my preferred conferences. The topics are interesting, and I always leave with some good and helpful takeaways.”

THANK YOU TO OUR SPONSORS

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Roth &
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PLATINUM



Crowe

Debevoise
& Plimpton

protiviti®
Face the Future with Confidence

SIDLEY

GOLD

GIBSON DUNN



Steele

SILVER



OVERVIEW

SIFMA's Anti-Money Laundering & Financial Crimes Conference is the leading forum for professionals from the securities industry, regulatory agencies and law enforcement to discuss current legal and regulatory developments and priorities in the AML and financial crime space.

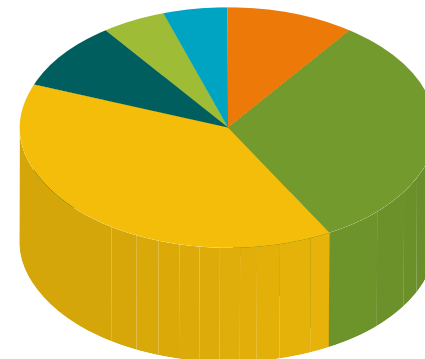
AML and financial crimes professionals serve a vital role in compliance departments at leading firms. Don't miss this opportunity to gather with peers and learn about current developments in the financial crime legal and regulatory landscape and firms' methodologies for identifying and adapting to new trends, typologies and legal and regulatory changes. Join in the conversation about the path forward. Throughout the two-day program, participants will have the opportunity to hear directly from the industry's regulators; participate in closed-door breakout sessions and network with policy makers and peer compliance professionals.

The targeted audience includes experts from the financial services industry, regulatory agencies and law enforcement to examine trends in:

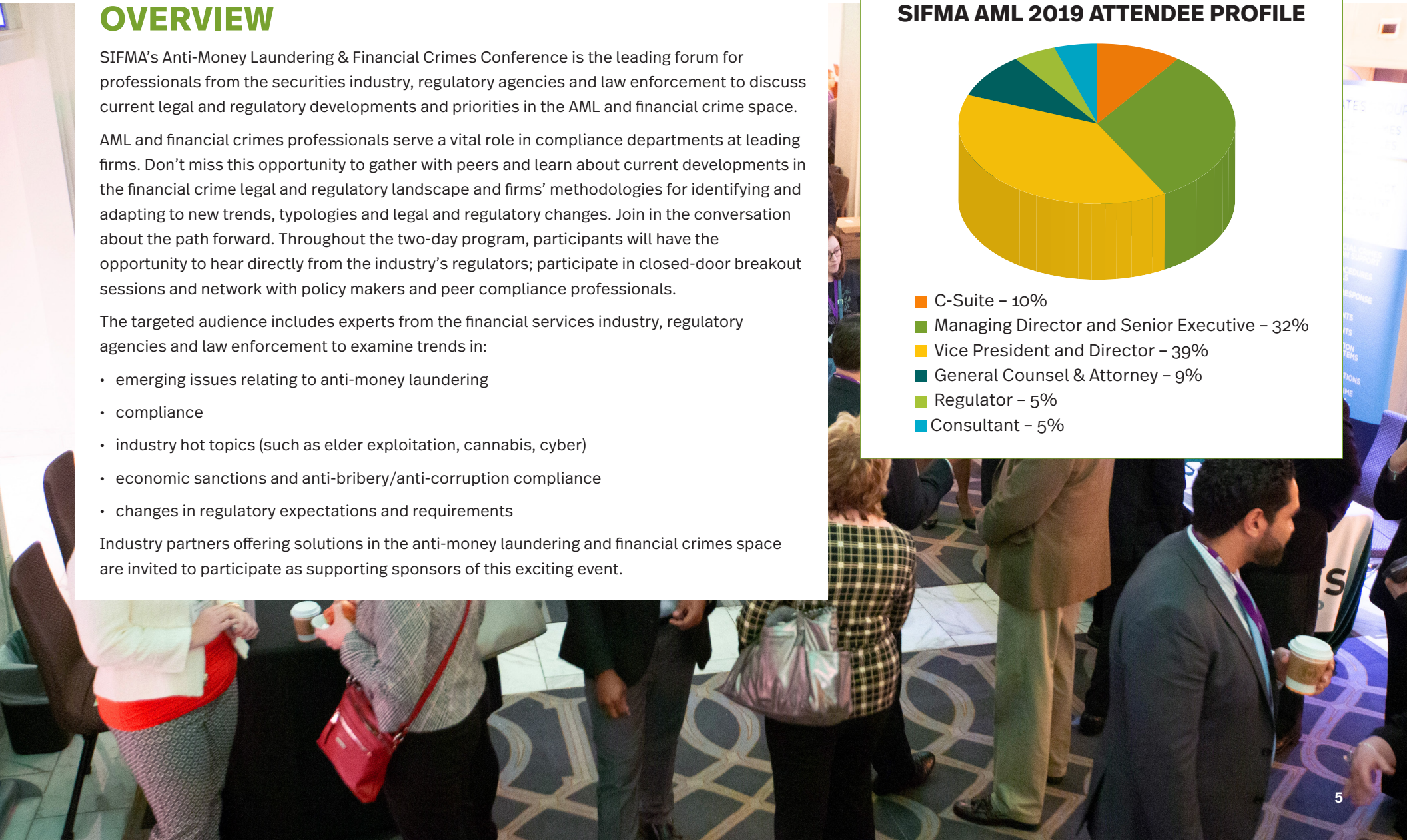
- emerging issues relating to anti-money laundering
- compliance
- industry hot topics (such as elder exploitation, cannabis, cyber)
- economic sanctions and anti-bribery/anti-corruption compliance
- changes in regulatory expectations and requirements

Industry partners offering solutions in the anti-money laundering and financial crimes space are invited to participate as supporting sponsors of this exciting event.

SIFMA AML 2019 ATTENDEE PROFILE



- C-Suite – 10%
- Managing Director and Senior Executive – 32%
- Vice President and Director – 39%
- General Counsel & Attorney – 9%
- Regulator – 5%
- Consultant – 5%



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SIFMA's 20TH Annual Anti-Money Laundering & Financial Crimes Conference Sponsorship Benefits

GET MAXIMUM VALUE, BROADEN YOUR REACH & PROPEL YOUR BRAND

Pre-Conference Benefits:

- Exposure to more than 500 influencers and decision makers registered for the Anti-Money Laundering & Financial Crimes Conference, with prominent placement of logo and firm profile listed on the conference website, www.sifma.org/event/aml/
- Prominent placement on SIFMA's email marketing campaigns to more than 5,000 influencers and decision-makers.
- Preliminary mailing list of all 2020 Anti-Money Laundering & Financial Crimes Conference registrants. List sent four weeks in advance of the Conference.*

Days of SIFMA's 2020 AML Conference Benefits:

- Complimentary and/or Discounted Conference Registration(s)
- Access to food and networking functions
- Exhibit Space that includes a Table Display & Two (2) exhibit only personnel badges
- 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.
- Dedicated sponsor listing placed within the SIFMA Anti-Money Laundering & Financial Crimes Conference Printed Program Pocket Guide including logo, contact name and profile.
- Dedicated sponsor listing placed within the SIFMA Anti-Money Laundering & Financial Crimes Conference Event mobile App, branding company logo, listing contact name and company profile.
- Opportunity to provide thought leadership for inclusion in the official Anti-Money Laundering & Financial Crimes Conference Event App.

Post-Conference Benefits:

- Final mailing list of all 2020 AML Conference registrants (name, title, firm and postal address only.) List sent at the conclusion of the Conference.
- 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 5,000 influencers and decision-makers.

** 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).*



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Sponsored Breakout Sessions – Thursday, February 6 – **SOLD**

SIFMA is pleased to offer contracted sponsors an opportunity to participate on the program agenda during this year's Conference by holding a Sponsored Breakout Session 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. There are only two (2) opportunities available and all Sponsored Breakout Sessions offered are on a first-come/first-serve basis offered to contracted sponsors only. All session titles and descriptions are subject to a pre-approval process by SIFMA.

SIFMA's AML2020 - Sponsored Workshop package offers maximum value with the following:

- Each workshop host will have the opportunity to speak exclusively to a group of up to 60 registrants
- A room will be provided that can accommodate up to 60 people
- One (1) Complimentary Speaker Registration included as part of the Sponsored Breakout Session Sponsorship. Any additional speakers must pay the full register fee for the conference via the on-line registration link.

Sponsorship Investment: \$6,500 SIFMA Member Rate / \$9,500 Non-Member Rate

NEW FOR 2020!

Lunch & Learn Session – Thursday February 6 – **SOLD**

Exclusive to contracted sponsors, Lunch & Learn session offers an opportunity to share thought leadership to a captive audience during a one-hour Lunch & Learn presentation. Lunch & Learns are promoted as an official part of the program agenda. Only one opportunity available.

- SIFMA's AML2020 - Sponsored Lunch & Learn Session offers maximum value with the following:
- Lunch & Learn title and session description are subject to a pre-approval by SIFMA. A meeting room with standard A/V as well lunch will be provided to host a maximum of 50 participants during your session.
- A room will be provided that can accommodate up to 50 people
- One (1) Complimentary Speaker Registration included as part of the Sponsored Lunch & Learn Session. Any additional speakers must pay the full register fee for the conference via the on-line registration link.

Sponsorship Investment: \$6,500 SIFMA Member Rate / \$9,500 Non-Member Rate



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Diamond Sponsorship

Investment:

- \$20,000 SIFMA Member Rate
- \$22,500 Non-Member Rate

Benefits Include:

- Four (4) Complimentary Conference Registrations
- Table Display and Two (2) Table Staff Badges for the duration of the Conference

Gold Sponsorship

Investment:

- \$13,000 SIFMA Member Rate
- \$15,500 Non-Member Rate

Benefits Include:

- Two (2) Complimentary Conference Registrations
- Table Display and Two (2) Table Staff Badges for the duration of the Conference

Platinum Sponsorship

Investment:

- \$16,000 SIFMA Member Rate
- \$18,500 Non-Member Rate

Benefits Include:

- Three (3) Complimentary Conference Registrations
- Table Display and Two (2) Table Staff Badges for the duration of the Conference

Silver Sponsorship

Investment:

- \$10,500 SIFMA Member Rate
- \$13,000 Non-Member Rate

Benefits Include:

- One (1) Complimentary Conference Registration
- One (1) Discounted Member Rate Conference Registration
- Table Display and Two (2) Table Staff Badges for the duration of the Conference

SIFMA does NOT guarantee any Speaking opportunities as part of a Sponsorship Benefit's package offered during the conference.



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| DIAMOND | SPONSORSHIP | AVAILABILITY |
|--|--|--------------------|
| <p>INVESTMENT: \$20,000 SIFMA Member Rate \$22,500 Non-Member Rate</p> <ul style="list-style-type: none"> • Four (4) Complimentary Conference Registrations • Table Display and Two (2) Table Staff Badges for the duration of the Conference | <p>WEDNESDAY, FEBRUARY 5 SIFMA AML Speaker Dinner</p> <p>Private VIP Dinner set in a relaxed atmosphere offering invited guests the opportunity to come together and enjoy an evening of good food and conversations with new and existing business associates. This event will host approximately 25-30 senior leaders representing SIFMA's AML Committee Members, Speakers and other VIP's in attendance, this is an exclusive by-invitation only event and all dinner logistics, including menu selection, venue, invitations and RSVP lists are managed by SIFMA Staff Advisors.</p> <p><i>Speaking opportunities are not included as part of the sponsorship benefits package.</i></p> | <p>SOLD</p> |



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| PLATINUM | SPONSORSHIP | AVAILABILITY |
|---|---|--|
| <p>INVESTMENT: \$16,000 SIFMA Member Rate \$18,500 Non-Member Rate</p> <ul style="list-style-type: none"> • Three (3) Complimentary Conference Registrations • Table Display and Two (2) Table Staff Badges for the duration of the Conference | <p>SIFMA AML 2019 MOBILE APP</p> <p>The SIFMA AML 2019 Mobile App offers a sponsoring firm maximum exposure with branding on the Mobile App. This exclusive sponsorship opportunity is a downloadable app, at no additional cost to conference attendees. The Mobile App offers easy access to all program materials including the meeting agenda, schedule, speaker bios, attendee list, sponsors as well as an audience response feature used throughout the event during general session presentations.</p> | SOLD |
| | <p>Networking Luncheon</p> <p>Networking Luncheon, open to all conference participants, allows for one-on-one conversations with industry colleagues, clients and potential prospects offering a sponsoring firm prominent brand recognition.</p> | <p>WEDNESDAY, FEBRUARY 5 SOLD</p> <p>THURSDAY, FEBRUARY 6 SOLD</p> |
| | <p>WEDNESDAY, FEBRUARY 5</p> <p>Evening Reception</p> <p>The AML Welcome Reception, open to all conference participants, is the gathering place for all participants to come together and catch up with colleagues, new and old set in the Sponsors Showcase area and includes food stations, passed hors d'oeuvres and open bar.</p> | SOLD |
| | <p>Wi-Fi for Conference Attendees</p> <p>Wi-Fi availability for all conference participants during event sessions accessible for the duration of the event. Offering sponsoring firm an opportunity to customize the SSID password for access as well as acknowledgement of sponsoring firm included on a re-directed splash page, on program materials and print and digital signage.</p> | AVAILABLE |



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| GOLD | SPONSORSHIP | AVAILABILITY |
|---|---|---|
| <p>INVESTMENT: \$13,000 SIFMA Member Rate \$15,500 Non-Member Rate</p> <ul style="list-style-type: none"> • Two (2) Complimentary Conference Registrations • Table Display and Two (2) Table Staff Badges for the duration of the Conference | <p>General Session Audio Visual</p> <p>Prominent brand recognition of sponsorship included on General Session slide deck, viewed by all attendees as they enter the Ballroom.</p> | <p>CO- SPONSORSHIP WEDNESDAY, FEBRUARY 5 & THURSDAY, FEBRUARY 6 1 SOLD 1 AVAILABLE</p> |
| | <p>Continental Breakfast</p> <p>Networking opportunity offering prominent brand recognition, serving a variety of healthy breakfast choices along with hot & cold beverages, set in the Sponsor Showcase, allowing for one-on-one conversations with industry colleagues, clients and potential prospects.</p> | <p>WEDNESDAY, FEBRUARY 5 SOLD THURSDAY, FEBRUARY 6 AVAILABLE</p> |
| | <p>NEW FOR 2020!</p> <p>Insulated Water Bottle</p> <p>Co-branded, environmentally friendly water bottle, produced and provided by SIFMA, placed in attendee bag and distributed to all participants during registration.</p> | <p>SOLD</p> |





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| SILVER | SPONSORSHIP | AVAILABILITY |
|--|--|--|
| <p>INVESTMENT: \$10,500 SIFMA Member Rate \$13,000 Non-Member Rate</p> <ul style="list-style-type: none"> • One (1) Complimentary Conference Registration • One (1) Discounted Member Rate Conference Registration • Table Display and Two (2) Table Staff Badges for the duration of the Conference | <p>Networking Refreshments – Morning</p> <p>Networking Refreshments, hosted in the Sponsor Showcase Area, allowing for one-on-one networking opportunities with industry colleagues and prospects, offering sponsoring firm prominent brand recognition.</p> | <p>WEDNESDAY, FEBRUARY 5 SOLD</p> <p>THURSDAY, FEBRUARY 6 SOLD</p> |
| | <p>Networking Refreshments – Afternoon</p> <p>Networking Refreshments, hosted in the Sponsor Showcase Area, allowing for one-on-one networking opportunities with industry colleagues and prospects, offering sponsoring firm prominent brand recognition.</p> | <p>WEDNESDAY, FEBRUARY 5 AVAILABLE</p> <p>THURSDAY, FEBRUARY 6 AVAILABLE</p> |
| | <p>NEW FOR 2020!</p> <p>Fruit-Infused Hydration Stations</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 throughout the Meeting Space each day.</p> | <p>WEDNESDAY, FEBRUARY 5 RESERVED</p> <p>THURSDAY, FEBRUARY 6 AVAILABLE</p> |
| | <p>Charging Station</p> <p>The AML Charging Station is set in the Sponsor Showcase area, offering conference participants the option to charge their personal devices while attending sessions or networking throughout the event.</p> | <p>SOLD</p> |
| | <p>Hotel Room Key Cards</p> <p>Co-Branded Hotel Room Key Cards produced by SIFMA and distributed to all participants during hotel registration.</p> | <p>AVAILABLE</p> |
| | <p>Attendee Lanyard</p> <p>What better way to leave an impression than to see 400+ attendees wearing your firm’s name/logo around their neck for the duration of the conference? Name badge lanyards are worn around the neck of each attendee to gain access to sessions. Co-Branded, SIFMA pre-approved lanyard produced by sponsoring firm and distributed with registration materials to all conference participants.</p> | <p>AVAILABLE</p> |



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| SILVER | SPONSORSHIP | AVAILABILITY |
|--|--|------------------|
| <p>INVESTMENT: \$10,500 SIFMA Member Rate \$13,000 Non-Member Rate</p> <ul style="list-style-type: none"> • One (1) Complimentary Conference Registration • One (1) Discounted Member Rate Conference Registration • Table Display and Two (2) Table Staff Badges for the duration of the Conference | <p>Note Pads & Pen</p> <p>Notepads/Writing Tablets are an easy and effective way to get your message in the hands of every registered conference attendee. Popular hard-covered notebooks distributed to all attendees in their Conference bag. Place your logo on the cover of this notebook and get exposure at and beyond the conference as attendees return to their offices and desks to review important notes, memory-joggers and names of contacts.</p> <p>To be produced and provided by sponsoring firm</p> | SOLD |
| | <p>Conference Pocket Guide</p> <p>Printed program guide includes detailed agenda, speaker bios, attendee list and offers Sponsoring firm a full-page advertisement strategically placed on outside back cover.</p> | SOLD |
| | <p>Attendee Tote Bag</p> <p>Co-Branded Attendee Tote Bag, produced and provided by sponsoring firm, distributed to all conference participants with program materials during registration.</p> | SOLD |
| | <p>NEW FOR 2020!</p> <p>Aluminum or Stainless-Steel Reusable Straws</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>To be produced and provided by sponsoring firm</p> | AVAILABLE |

*SIFMA policy dictates that all branded sponsorship items must include SIFMA logo or the "Proud Support of SIFMA" creative. Creative guidelines will be included with final invoice.



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2019 PARTICIPATING FIRMS

| | | |
|--|--|--|
| 4iQ, Inc. | Benjamin F. Edwards & Co. | Continental Stock Transfer & Trust Company |
| ABN AMRO Clearing Chicago LLC | Berenberg Capital Markets LLC | Cowen Execution Services LLC |
| ACAMS | Bloomberg Law | Credit Suisse Group AG |
| Advisor Group | BMO Capital Markets Corp. | Credit Suisse Securities (USA) LLC |
| Ally Invest | BMO Financial Group | Crowe LLP |
| Alvarez & Marsal | BMO Harris Bank | Debevoise & Plimpton LLP |
| American Stock Transfer & Trust Company, LLC | BMO Private Bank | Depository Trust & Clearing Corporation (DTCC) |
| Ameriprise Financial Services, Inc. | BNP Paribas | Deutsche Bank AG |
| Ameriprise Financial, Inc. | BNP Paribas Securities Corp. | DLA Piper LLP (US) |
| AML Audit Services, LLC | Bressler, Amery & Ross, P.C. | DNB Markets, Inc. |
| AON Risk Solutions | BrokerTec Americas LLC | Dow Jones & Co Inc |
| Apex Clearing Corporation | Brown Brothers Harriman & Co. | Dow Jones Risk & Compliance |
| Apollo Global Management, LLC | BTIG, LLC | DTCC |
| Arnold & Porter Kaye Scholer LLP | Cadwalader, Wickersham & Taft LLP | E*Trade |
| AXA Advisors, LLC | Canadian Imperial Bank of Commerce (CIBC) | E*TRADE Financial Corp. |
| B. Riley Wealth Management, Inc. | Cantor Fitzgerald & Co. | E*Trade Securities LLC |
| B.C. Ziegler and Company | Capital Group | EBS BrokerTec |
| Bank of America Corporation | Capital One Financial Corporation | Edward D. Jones & Co., L.P. |
| Bank of America Merrill Lynch | Capital Research and Management Company | Edward Jones |
| Bank of Montreal | Chainalysis Inc. | EisnerAmper LLP |
| Bank of Nova Scotia | Charles Schwab & Co., Inc. | Epstein Becker & Green, P.C. |
| Banking New York Magazine | Citadel Securities LLC | Equifax, Inc. |
| Barclays | Citi | Ernst & Young LLP |
| Barclays Capital Inc. | Citigroup Global Markets Inc. | Essex Financial Services, Inc. |
| Barings LLC | Citigroup Inc. | Euroclear Bank SA/NV |
| Bates Group LLC | Cognizant Technology Solutions Corporation | Exiger |
| BB&T Corporation | Commerzbank AG | Federal Bureau of Investigation (FBI) |
| BBVA Securities Inc. | Commonwealth Financial Network | Federal Deposit Insurance Corporation (FDIC) |



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2019 PARTICIPATING FIRMS

| | | |
|---|--|---|
| Federal Reserve Bank of New York | INTL FCStone Inc. | LPL Financial LLC |
| Fidelity | Investacorp, Inc. | M&T Bank |
| Fidelity Investments | J.P. Morgan Private Bank | Macquarie Capital (USA) Inc. |
| Fifth Third Bank | J.P. Morgan Securities LLC | Maxim Group LLC |
| Financial Crimes Enforcement Network (FinCEN), US Department of the Treasury | Jane Street Capital, LLC | MBSC Securities Corporation |
| Financial Industry Regulatory Authority Inc (FINRA) | Janney Montgomery Scott LLC | McGuireWoods LLP |
| Financial Planning | Janus Henderson Group plc | Mesirow Financial, Inc. |
| Financial Transactions and Reports Analysis Centre of Canada (FINTRAC) | Jefferies LLC | Mizuho Securities USA LLC |
| Finn Dixon & Herling LLP | JPMorgan Chase & Co. | Morgan Stanley |
| First Republic Bank | K2 Intelligence LLC | Morgan Stanley & Co. LLC |
| Firstrade Securities Inc. | Katten Muchin Rosenman LLP | Morgan Stanley Wealth Management |
| Fiserv Inc | Kelley Drye & Warren LLP | Morrison & Foerster LLP |
| Forbes | KeyBank, N.A. | MUFG Securities Americas Inc. |
| FTI Consulting, Inc. | KeyCorp | MUFG Union Bank, N.A. |
| Gibbons P.C. | Kharon | Murphy & McGonigle, P.C. |
| Gibson, Dunn & Crutcher LLP | King & Spalding LLP | NASDAQ |
| Goldman Sachs & Co. LLC | King & Wood Mallesons | National Futures Association (NFA) |
| Goldman Sachs Group, Inc. | KMS Financial Services, Inc. | National Securities Corporation |
| Grant Thornton LLP | Kroll , a Division of Duff and Phelps | Natixis |
| Guggenheim Securities, LLC | Kroll, a Division of Duff & Phelps | Natixis Corporate & Investment Banking |
| HSBC Bank plc | Kroll, a Division of Duff and Phelps | NatWest Markets Securities Inc. |
| HSBC Bank USA, N.A. | Ladenburg Thalmann Financial Services Inc. | Navigant Consulting, Inc. |
| HSBC Securities (USA) Inc. | Leumi Investment Services Inc. | Nepal Credit & Commerce Bank Ltd. |
| ICAP Services North America LLC | LexisNexis Risk Solutions | Neuberger Berman Group LLC |
| Identity Mind | Lombard International | New York Life Insurance Company |
| IFLR Euromoney Institutional Investor | Lord, Abbett & Co. LLC | New York State Department of Financial Services |
| | Lowenstein Sandler LLP | Nomura |



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Nomura Holding America Inc.
Nomura Research Institute America, Inc.
Nomura Securities International, Inc.
Northwestern Mutual
Northwestern Mutual Life Insurance Company
Oppenheimer & Co. Inc.
Opus
OTC Markets Group, Inc.
Patterson Belknap Webb & Tyler LLP
Paul Hastings LLP
Pershing LLC, a BNY Mellon Company
Pershing Securities Canada Limited
PFS Investments Inc.
Piper Jaffray & Co.
PJT Partners LP
PNC Bank
PricewaterhouseCoopers LLP
Promontory, an IBM Company
Prudential Financial, Inc.
PwC
Quantiplay Corporation
Rabo Securities USA, Inc.
Raymond James & Associates, Inc.
Raymond James Financial Services, Inc.
Raymond James Financial, Inc.
RBC Capital Markets, LLC
RBC Wealth Management
Refinitiv

RegEd
Robert W. Baird & Co. Incorporated
Royal Bank of Canada (RBC)
Safe Banking Systems, LLC
Schulte Roth & Zabel LLP
Scotiabank
SEBA International
Securities America, Inc.
Securities Service Network, Inc.
Sidley Austin LLP
SIFMA
SMBC Nikko Securities America, Inc.
Societe Generale
Societe Generale Corporate & Investment Banking
Standard Chartered Bank
Stash Invest
State Street
State Street Corporation
Stifel Financial Corp.
Synovus Securities, Inc.
Tata Consultancy Services
TD Ameritrade Holding Corporation
TD Ameritrade, Inc.
TD Bank
TD Securities (USA) LLC
Temple Grange Partners
Tennessee Department of Commerce and Insurance
The Dreyfus Corporation, a BNY Mellon Company

The Northern Trust Company
Thomson Reuters
TradeStation Securities, Inc.
TransparINT, LLC
Trillium Labs
U.S. Bancorp Investments, Inc.
U.S. Department of Justice
U.S. Department of the Treasury
UBS AG
UBS Financial Services Inc.
UBS Securities LLC
UniCredit Bank AG
US Securities and Exchange Commission (SEC)
Vanguard
Vanguard Group, Inc.
ViewTrade Securities, Inc.
Virtu Americas LLC
Wells Fargo
Wells Fargo Bank
Wells Fargo Bank, National Association
Wells Fargo Clearing Services, LLC
Wells Fargo Securities
Western International Securities, Inc.
White & Case LLP
WilmerHale
Wintrust Wealth Management
Yext



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About SIFMA

SIFMA is the leading trade association for broker-dealers, 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>.

