SEcurities Industry Institute

SII 2022 Excellence in Leadership Development

March 6–11, 2022 | The Wharton School, PA

Sponsorship Opportunities
The Securities Industry Institute® is the premier executive development program for securities industry professionals. For 70 years, SIFMA and The Wharton School have partnered to develop the industry's high-potential rising leaders.

Over three consecutive years SII participants develop leadership and managerial skills and enhance investment and industry knowledge. SII’s cost-effective talent development approach delivers actionable knowledge that is implementable today: the mission of the Institute is to equip each participant with practical information, ideas, and answers directly applicable to their present and future responsibilities. Its customized curriculum is redesigned each year to reflect the needs of an ever-changing industry landscape.

SPONSORSHIP CATEGORIES

Networking ................................................................. Page 6
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2021 SII Participant by firm

- Advisor Group
- Ally Financial Inc.
- Amazon Web Services
- Ameriprise Financial Services, Inc.
- Bank of America Merrill Lynch
- Benjamin F. Edwards & Co.
- Berenberg Capital Markets LLC
- Bloomberg L.P.
- BNY Mellon Corporation
- Brandywine Global Investment Management, LLC
- Broadridge Financial Solutions, Inc.
- Cambridge Investment Research Inc.
- Cboe Global Markets
- Centennial Securities Company, Inc.
- Cetera Financial Group
- Charles Schwab & Co., Inc.
- Chartwell Investment Partners
- CIM Group
- CIPF
- D.A. Davidson & Co.
- Depository Trust & Clearing Corporation (DTCC)
- DST Market Services, LLC
- E*TRADE Financial Corp.
- Edward D. Jones & Co., L.P.
- Encore Capital
- Fidelity Investments Inc.

First Republic Securities Company, LLC
Franklin Templeton Investments
Hartford Funds
HighTower Advisors
Hilltop Securities Inc.
HSBC
Hunter Associates LLC
IBM Corp
Investment Placement Group
Janney Montgomery Scott LLC
John Hancock Funds, LLC
JPMorgan Chase & Co.
Legg Mason Global Asset Management
Lincoln Financial Group
Lloyds Bank
LPL Financial LLC
Manulife Asset Management
MassMutual Financial Group
Masterson Advisors
MFS Investment Management
MML Investors Services, LLC
Moors & Cabot, Inc.
Morgan Stanley & Co. LLC
NDVR
Northwestern Mutual Investment Services, LLC
Options Clearing Corporation
Pershing LLC, a BNY Mellon Company
PIMCO
Piper Sandler & Co.
PricewaterhouseCoopers LLP
Principal Financial Group, Inc.
Protiviti
Prudential Financial, Inc.
Raymond James & Associates, Inc.
RBC Capital Markets, LLC
Refinitiv
Robert W. Baird & Co. Incorporated
Sanford C. Bernstein & Co., LLC
SIFMA
Sloan Investment Management
Stephens Inc.
Surety & Fidelity Association of America
TD Ameritrade, Inc.
Technology Outfitter
The Securities Commission of The Bahamas
Vanguard
Thornburg Investment Management
Total Bank Solutions, LLC
UBS
Wells Fargo
WoodRock Securities, L.P.
SIFMA SECURITIES INDUSTRY INSTITUTE SPONSORSHIP PACKAGES OFFER MAXIMUM VALUE WITH:

**Pre-SII Benefits**

- Exposure to more than 800 influencers and decision makers registered for SII with prominent placement of logo and firm profile listed on 2022 SIFMA SII website: https://www.sifma.org/event/sii/ and event Mobile App.
- Opportunity to link thought leadership to the event website and Mobile App.
- Preliminary mailing lists of all 2022 SII registrants (name, title, firm and postal address only.) List sent four weeks in advance of SII. *

**Days of SII Benefits**

- Prominent recognition during the sponsored function (if applicable), with logo displayed on dedicated print and event mobile app formats strategically placed in various outlets that include registration area, general session slide deck, etc.
- Promotional brochure in pdf format, included on Event Mobile App, downloaded and used on all mobile devices during event. The download rate of the app is 100% as this event is paperless.
- Company listing and firm description on SII website as well as on the Event Mobile App
- Sponsor Banner Ads on Event Mobile App (weighted by category).
- Sponsor inclusion on gamification surveys.

**Post-SII Benefits**

- Final mailing list of all 2022 SII registrants (name, title, firm and postal address only). List sent at conclusion of SII. *
- Listing company name, placement of logo and firm profile on SIFMA SII website following the meeting for an additional three (3) months.
- Sponsor recognition on Thank You for Attending and Survey email.

* 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 the www.sifma.org/privacy)
SIFMA’S 70TH ANNUAL SECURITIES INDUSTRY INSTITUTE SPONSORSHIP TIERS

<table>
<thead>
<tr>
<th></th>
<th>SIFMA Member Rate</th>
<th>Non-Member Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>DIAMOND</td>
<td>$45,000</td>
<td>$50,000</td>
</tr>
<tr>
<td>PLATINUM</td>
<td>$32,500</td>
<td>$37,500</td>
</tr>
<tr>
<td>GOLD</td>
<td>$22,500</td>
<td>$27,500</td>
</tr>
<tr>
<td>SILVER</td>
<td>$17,500</td>
<td>$22,500</td>
</tr>
<tr>
<td>BRONZE</td>
<td>$12,500</td>
<td>$17,500</td>
</tr>
<tr>
<td>PATRON</td>
<td>$5,000</td>
<td>$10,000</td>
</tr>
</tbody>
</table>

SCOTT KRAMER   |  212-313-1119  |  skramer@sifma.org

SPONSORSHIP OPPORTUNITIES
<table>
<thead>
<tr>
<th>NETWORKING</th>
<th>SPONSORSHIP</th>
<th>AVAILABILITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>DIAMOND</td>
<td>THURSDAY, MARCH 10, 2022</td>
<td>RESERVED</td>
</tr>
<tr>
<td>CLOSING RECEPTION</td>
<td>National Constitution Center</td>
<td></td>
</tr>
<tr>
<td>The Closing reception offers the sponsoring firm a high visibility opportunity in a relaxed atmosphere with passed hors d’oeuvres at the historic National Constitution Center. This is ideal for a firm wishing to achieve maximum exposure and is attended by all SII participants.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DIAMOND</td>
<td>SUNDAY, MARCH 6, 2022</td>
<td>AVAILABLE</td>
</tr>
<tr>
<td>OPENING NIGHT NETWORKING RECEPTION</td>
<td>Please Touch Museum</td>
<td></td>
</tr>
<tr>
<td>The Opening Night Networking Reception, hosted at the Please Touch Museum, brings together all SII participants, allowing for one-on-one networking opportunities with industry colleagues. The historic Please Touch Museum will allow for great exhibits and great conversations amongst participants.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PLATINUM</td>
<td>WEDNESDAY, MARCH 9, 2022</td>
<td>AVAILABLE</td>
</tr>
<tr>
<td>VIP RECEPTION AND DINNER</td>
<td>Location TBD</td>
<td></td>
</tr>
<tr>
<td>Reception and Dinner allow for one-on-one networking opportunities with VIP’s that include, SII Trustees, industry and academic speakers and other distinguished guests. Prominent branding acknowledging sponsorship will be displayed at dinner.</td>
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</tbody>
</table>
## Networking Sponsorship Opportunities

<table>
<thead>
<tr>
<th>Networking</th>
<th>Sponsorship</th>
<th>Availability</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Silver</strong></td>
<td><strong>Friday, March 13, 2022</strong>&lt;br&gt;Graduation Breakfast&lt;br&gt;Inn at Penn&lt;br&gt;The Graduation Breakfast includes a guest speaker from Wharton, special presentations from the Chairman and Academic Director, and the awarding of graduation certificates.</td>
<td>Reserved</td>
</tr>
<tr>
<td><strong>Silver</strong></td>
<td><strong>Monday, March 7 – Friday, March 11, 2022</strong>&lt;br&gt;Breakfast&lt;br&gt;The breakfast sponsor will receive brand recognition at all breakfast locations. Each site will allow for one-on-one networking opportunities with industry colleagues. Sponsor signage will be displayed at each location.</td>
<td>Monday, March 7 Available&lt;br&gt;Tuesday, March 8 Available&lt;br&gt;Wednesday, March 9 Available&lt;br&gt;Thursday, March 10 Available&lt;br&gt;Friday, March 11 Available</td>
</tr>
</tbody>
</table>
## Branding Opportunities

<table>
<thead>
<tr>
<th>Branding</th>
<th>Sponsorship</th>
<th>Availability</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Platinum</strong></td>
<td><strong>SIFMA’s SII Mobile App</strong></td>
<td>Available</td>
</tr>
<tr>
<td>$32,500 SIFMA Member Rate</td>
<td>SIFMA’s approved Mobile App affords the sponsoring firm maximum exposure with graphic branding on the app. The exclusive opportunity is downloadable at no additional cost to all participant’s and contains all program materials such as program agenda, bios, attendee list, list of all sponsors that includes firm descriptions and linked-in/twitter. This enhanced mobile app will also be used for Audience Response System.</td>
<td></td>
</tr>
<tr>
<td>$37,500 Non-Member Rate</td>
<td>Includes: Two (2) Discounted Registrations</td>
<td></td>
</tr>
<tr>
<td><strong>Silver</strong></td>
<td><strong>Branded Water Bottles &amp; Energy Booster Snacks</strong></td>
<td>Monday, March 7 AVAILABLE, Tuesday, March 8 AVAILABLE, Wednesday, March 9 AVAILABLE, Thursday, March 10 AVAILABLE, Friday, March 11 AVAILABLE</td>
</tr>
<tr>
<td>$17,500 SIFMA Member Rate</td>
<td>The energy booster snacks will be located at 3 (three) different locations throughout the campus from Monday–Thursday. The sponsorship includes a variety of branded energy booster snacks for attendees to grab and go as they head to their next class. Sponsor signage displayed at snack locations</td>
<td></td>
</tr>
<tr>
<td>$22,500 Non-Member Rate</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Bronze</strong></td>
<td><strong>Mobile Device Charging Sticks</strong></td>
<td>Available</td>
</tr>
<tr>
<td>$12,500 SIFMA Member Rate</td>
<td>With the event being wireless attendees will be using their devices to access the mobile app, download their agendas, speaker bios, sponsor information and so much more, which means their device’s battery will be dead in a matter of hours. The SIFMA pre-approved co-branded mobile device charging stick allows participants to charge their mobile device on the go. Branded with SIFMA SII, produced and provided by sponsoring firm.</td>
<td></td>
</tr>
<tr>
<td>$17,500 Non-Member Rate</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Hand Sanitizing Stations</strong></td>
<td>Branded hand sanitizers placed at strategic locations throughout the event in high-traffic, public areas to promote health and wellness.</td>
<td>Available</td>
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</table>
## BRANDING OPPORTUNITIES

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<tr>
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<th>SPONSORSHIP</th>
<th>AVAILABILITY</th>
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<tbody>
<tr>
<td>BRONZE</td>
<td>HOTEL ROOM BRANDED KEY CARDS</td>
<td>AVAILABLE</td>
</tr>
<tr>
<td>$12,500 SIFMA Member Rate</td>
<td></td>
<td></td>
</tr>
<tr>
<td>$17,500 Non-Member Rate</td>
<td>Inn at Penn, Sheraton and The Study</td>
<td></td>
</tr>
<tr>
<td>SIFMA pre-approved co-branded hotel room key cards. Attendees will receive cards upon check-in.</td>
<td></td>
<td></td>
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<tr>
<td>ATTENDEE CO-BRANDED TOTE BAG</td>
<td>AVAILABLE</td>
<td></td>
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<tr>
<td>SIFMA pre-approved co-branded bag provided by sponsoring firm. The bag is an easy and effective way to get your message in the hands of every registered attendees.</td>
<td></td>
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<tr>
<td>BUS TRANSPORTATION (BRANDING OPPORTUNITY) for Participants via Homewood Suites/ Wharton Campus</td>
<td>AVAILABLE</td>
<td></td>
</tr>
<tr>
<td>Sponsoring firm's logo placed on each headrest. Get your message in front of the attendees as they ride the shuttle buses to the Wharton School every day.</td>
<td></td>
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<tr>
<td>BADGE LANYARD</td>
<td>AVAILABLE</td>
<td></td>
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<tr>
<td>SIFMA pre-approved co-branded lanyard provided by the sponsoring firm. The lanyards will be worn by all attendees and this is a great way to get your message in the hands of every registered attendee.</td>
<td></td>
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<tr>
<td>BRANDED TRAVEL UMBRELLAS</td>
<td>AVAILABLE</td>
<td></td>
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<tr>
<td>SIFMA pre-approved co-branded travel umbrellas produced and provided by sponsoring firm, distributed during registration to all participants.</td>
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<tr>
<td>PATRON</td>
<td>SUPPORT SII as a Patron Sponsor and receive branding on marketing materials and on signage throughout the event.</td>
<td>AVAILABLE</td>
</tr>
<tr>
<td>$5,000 SIFMA Member Rate</td>
<td></td>
<td></td>
</tr>
<tr>
<td>$10,000 Non-Member Rate</td>
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SIFMA SECURITIES INDUSTRY INSTITUTE 2019 PARTICIPATING FIRMS

Abbot Downing
Advisory Research Investment Management
AllianceBernstein LP
Ally Financial
Amalga Systems Inc
Ameriprise Financial Services, Inc.
Ameritas Investment Corp
Australian Securities and Investment Commission
Baird
Bank of America Merrill Lynch
Bank of New York Mellon
Benjamin F Edwards & Co.
Bloomberg L.P.
BNY Mellon
Brandywine Global Investment Management
Broadridge Financial Solutions, Inc.
Brown Brothers Harriman (BBH)
California Public Employees Retirement System
Capital One
Carsen Donn
Cboe Global Markets
Cetera Advisor Networks, LLC
Charles Schwab
CIM Group
CIPF
D.A. Davidson Companies
Deloitte & Touche LLP
DST
DTCC
E*TRADE
Edward Jones
EY
Fidelity Investments
Fidelity Capital Markets
Fidelity Clearing & Custody Solutions
Financial Services Institute
First Republic Securities Company
Hartford Funds
Hefren-Tillotson, Inc.
HighTower Advisors
Hilliard Lyons
Hilltop Securities
HSBC
IBM
Intercontinental Exchange
Investment Placement Group
J.J.B. Hilliard, W.L. Lyons, LLC
Janney Montgomery Scott
Jennison Associates
John Hancock
Kevin Lynch
Legg Mason
Lincoln Financial
Lloyds Securities Inc.
LPL Financial
MassMutual Financial Group
Merill Lynch/ Bank of America
MML Investors Services, LLC
Moors & Cabot, Inc.
Morgan Stanley
NFS, LLC
Northwestern Mutual
OCC
Pacific Life
Pershing LLC, a BNY Mellon Company
PFS Investments
PIMCO
Pricewaterhousecoopers (PwC)
Primerica
Raymond James
RBC Capital Markets
RBC Wealth Management
Refinitiv
Scivantage
ScotiaWealth
Scout Investments
Securities Commission of The Bahamas
Securities Services, HSBC
Singapore Exchange Limited
Sloan Investment Management
State Street Bank
State Street Corporation
Stephens
Surety & Fidelity Association of America
Talisys
Tata Consultancy Services - TCS BaNCS
TD Ameritrade
Texas Capital Bank
The Securities Commission of The Bahamas
The Vanguard Group
Total Bank Solutions
Tradeweb Direct, LLC
Tristate Capital
U.S. Trust
UBS
US Trust
Vanguard
Wells Fargo
Westpac Banking Corporation
Woodbury Financial Services
<table>
<thead>
<tr>
<th>Level</th>
<th>Logo</th>
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<tbody>
<tr>
<td>Platinum</td>
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</tr>
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**SII 2022 SPONSORSHIP OPPORTUNITIES**

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