



Meet SIFMA

A brief introduction for our valued broker-dealer, investment bank and asset manager members

SIFMA's members count on us to be their principal advocate and forum for industry policy and professional development. A key benefit of full membership is participation in our committees, forums, and roundtables. These groups drive SIFMA's work on behalf of our members. All employees of SIFMA member firms receive discounted or complimentary access to our educational events and webinars.

Contact us to review your firm's engagement and find out how you can take full advantage of your membership in SIFMA.

Who We Are

SIFMA is the voice of the nation's securities industry, bringing together the shared interests of hundreds of broker-dealers, investment banks and asset managers. We advocate for effective and resilient capital markets. We also serve as an industry coordinating body to promote fair and orderly markets, informed regulatory compliance, and efficient market operations and resiliency.

We are a member-driven organization. SIFMA's broker-dealer members comprise 80% of U.S. market share by revenues and 70% of financial advisors managing \$18 trillion of client assets. Our asset management members manage more than 50% of global AUM. Our unique strength is the deep engagement of our members on our committees.

Core Member Groups

- Asset Management
- Capital Markets (Fixed Income and Equity)
- Compliance & Legal
- Government Relations and Communications
- Operations & Technology
- Private Client / Wealth Management
- Prudential & Capital

Our Work

At SIFMA, we believe that public policy and financial regulation should support these key tenets:

- Ensure high standards of market integrity and investor protection
- Encourage pools of capital through private and public pensions
- Promote financial literacy and a strong retail investor culture
- Calibrate supervision and regulation with robust capital formation and growth

The following are just some of several key issues facing the capital markets and financial industry today.

To learn more about these and other topics, visit

www.sifma.org/issues.

- Modernizing the Financial Industry
- Business Continuity Planning and Cybersecurity
- Improving Infrastructure through Municipal Finance
- Advancing Diversity & Inclusion
- Financing Sustainability
- Transitioning to Alternative Reference Rates
- Implementing the Consolidated Audit Trail
- Helping More Americans Save for Retirement
- Safeguarding Investor Privacy
- Prudential Regulation of the Capital Markets

Advocacy & Resources

Comment letters, white papers, articles and more on market policy and regulation

www.sifma.org/resources

SIFMA Events

Meaningful conversations about the capital markets and valuable professional development opportunities

www.sifma.org/events

SIFMA Insights

Thoughtful and unique views on the markets, the industry and the economy

www.sifma.org/insights

SIFMA Research

Data and reports on the capital markets and securities industry

www.sifma.org/research

Podcasts & Blogs

Musings from the intersection of public policy and financial markets

www.sifma.org/news

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