

# SECURITIES INDUSTRY INSTITUTE®



## FAQ's

### FAQ's | General Information

#### **When does the program begin and end?**

The opening session begins on Sunday, March 7th, 2017 at 6:00pm (5:00 pm for Year One participants). Participants are advised to book travel to arrive in Philadelphia by 4:00pm Sunday, and depart Friday, March 10th, no sooner than 2:00pm.

#### **Am I able to arrive late and leave a day early?**

No. Participants are expected to arrive on Sunday and depart on Friday. SIFMA handles hotel reservations for all participants. There is a FIVE-NIGHT MINIMUM stay policy at all designated SII hotels. Whether participants check in a day late or leave a day early, you will be responsible for all five nights. You will be billed for the hotel reservations if cancellation is not received prior to the published cancellation date, or if your stay is less than the guaranteed nights.

#### **What happens if I am called away for business or personal reasons?**

Participants must notify SIFMA staff to advise they are leaving the program. The Institute's policies require participants to complete the full curriculum for each consecutive year they attend. If a participant arrives late to the Institute and/or departs early, the registrant may be required to re-enroll the following year in order to complete the required course work to graduate. Participants will be required to document the reasons for late arrival and/or early departure and may be subject to additional penalties.

#### **Are meal functions mandatory?**

Meal events are planned as a means to encourage discussion among participants, and are programmed to fit within the curriculum sessions. Tuition fees include organized meals.

#### **Is the Graduation Breakfast mandatory?**

Yes. Commencement activities include a special breakfast, presentations from the Chairman and Academic Director, and the awarding of certificates.

#### **I am staying at an SII preferred hotel, how do I get to campus?**

SIFMA provides buses from the downtown Marriott Hotel to campus. All other housing is adjacent to campus.

#### **Is there a limit of attendees per firm?**

There is no limit per firm of the amount of participants that attend SII, however, overall available space at SII is limited.

#### **Who do I notify if I have changed firms?**

Participants are expected to notify SIFMA to change their contact information. Please advise your new firm if you wish to continue in the SII program. SIFMA does not take responsibility for managing participants' enrollment process.

#### **If I leave the firm, or unable to attend, may my firm send someone else?**

Yes, your firm may substitute someone in your place providing the following criteria are met:

- Substitutions must be submitted in writing to the SIFMA, no later than February 3, 2017.
- Substitutions are subjected to a \$750 processing fee.

# SECURITIES INDUSTRY INSTITUTE®



## General Information

### 2017 Tuition Fees:

Member firms: \$5,000

Non-member firms: \$7,000

### Location and Dates

The Institute is conducted each year in March on the campus of The Wharton School of the University of Pennsylvania, located in Philadelphia, PA, during the University's spring break. The 2017 Securities Industry Institute will take place on March 5-10, 2017.

September 2016	Registration Opens
December 16, 2016	Registration Deadline*
December 16, 2016	Cancellation with refund (less \$2,500) deadline
January 2017	Elective selection begins
January 20, 2017	Hotel cancellation deadline
February 3, 2017	Substitution deadline (with \$750 processing fee)
March 5-10, 2017	Securities Industry Institute

**\*Late registrations can be requested by calling 212-313-1108**

### Attendance

Participants must notify SIFMA staff to advise they are leaving the program for business or personal reasons. The Institute's policies require participants to complete the full curriculum for each consecutive year they attend. If a participant arrives late to the Institute and/or departs early, the registrant may be required to re-enroll the following year in order to complete the required course work to graduate.

Participants will be required to document the reasons for late arrival and/or early departure and may be subject to additional penalties. Please note: There is a five-night minimum stay policy at all designated SII hotels. Whether participants check in a day late or leave a day early, you will be responsible for all five nights.

### Organized Events

Many firms organize a group dinner for their participants. If you elect to arrange an organized dinner, we recommend that you make a reservation far in advance. Please ensure dinners do not conflict with SII organized events.

### Registration Cancellation / Substitution Policy

Due to program demand and the volume of preprogram preparation, cancellations are subject to a charge of one-half of the program fee (\$2,500 for members) until the registration deadline of December 16, 2016. No refunds will be given after midnight on December 16, 2016. All cancellation and substitution requests must be submitted in writing to SIFMA at [sii@sifma.org](mailto:sii@sifma.org).

If you find that a candidate is unable to attend, you may substitute someone in their place providing the following criteria are met:

- Substitutions must be submitted in writing, no later than February 3, 2017.
- Candidates must be of the same participating year (e.g., Year One for Year One, etc.). Alternating year substitutions are permitted only on a space available basis. (e.g., Year One for Year Two).

**Refunds will not be given for no-shows, partial attendance or early departures.**

# SECURITIES INDUSTRY INSTITUTE®



## Recommended Dress Code

Business casual (no jeans or sneakers please) is standard dress for sessions and events. Appropriate business casual attire includes cotton pants (e.g., dockers, khakis); skirts; dress pants; shirts with a collar (e.g. golf shirts, etc.); blouses; sweaters; dress shoes or loafers. Please note that the campus is lined with cobblestone streets so pack appropriate footwear.

## Guests

We regret that we are unable to allow guests to attend Institute sessions or organized events.

## Ethics

The Institute is a learning experience conducted in cooperation with the SIFMA member firms. Accordingly, faculty, students and other participants are not permitted to engage in any activity that might be construed as being for the purpose of recruiting personnel from other firms.

## Pre-Course Preparatory Material

Some faculty members may require pre-reading or course work prior to attending their session. If applicable, you will receive any pre-course preparatory material via email about two to three weeks prior to the start of the program.

## Faculty Biographies

Faculty biographies will be available on the SII website, and will be included in the onsite participant materials.

## Participant Roster

A roster of registered participants will be included in the onsite participant materials.

## Parking

Parking in the vicinity of The Wharton School is extremely limited. Unless you are commuting to the program, you will not need a car during your stay. If you do drive, a self-park garage is available at 38th and Walnut Streets, about two blocks from the Wharton campus, for \$20 per day (subject to change) and accepts payment in both cash and credit card. For those participants staying at The Inn at Penn, there is valet parking available for \$24 (subject to change) per day. SIFMA and Wharton are not responsible for parking arrangements. Parking is at your own risk. Neither SIFMA nor Wharton is liable for any loss or damages.

## Computer Access

Wharton public computers are available on the Forum level of Huntsman Hall. Username and password will be required (available at registration on Sunday) giving you access to the Internet Explorer web browser so that only web-based email systems can be accessed. Printing facilities and modem support for personal computers are not available on the Wharton campus. For those participants staying at the Steinberg Conference Center (Aresty), personal computers are available in the guest rooms.

## Year One Welcome Reception

As a first time attendee, don't miss the Year One Welcome Reception on Sunday, March 5, 2017 starting at 5:00pm at The Philadelphia Marriott. This event welcomes newcomers to the Securities Industry Institute and provides the opportunity to meet and networking with fellow Year One participants as well as the SII Board of Trustees.

# SECURITIES INDUSTRY INSTITUTE®



## Participants

The Institute exists to identify and develop individuals with integrity, competence and high performance potential. When firms select candidates – like you – for the Institute, it is a demonstration of faith in their potential. Participants are encouraged to share this unique educational experience with superiors, peers and subordinates. Graduates of the program are expected to exemplify and enforce standards of business conduct consistent with our public trust.

## Communications

All communications about the Securities Industry Institute are managed by SIFMA. You will receive email communications to: confirm your enrollment, notify you of the elective selection process, distribute any pre-course materials (where applicable), and provide any program updates prior to Institute week. Please make sure to add [sii@sifma.org](mailto:sii@sifma.org) to your address book as an authorized email address.

## Networking

Networking is a major benefit of participation at the Institute. The interaction between classes, during receptions, meal times and off hours, as well as throughout one's career, represents a never-ending extension of the learning experience.

## Feedback

The most important tool SIFMA and the SII Trustees use in planning the Institute is the feedback from participants. You will be asked to complete a short survey after every session via the SII Mobile App. This feedback from you is invaluable to the Trustees in planning and developing the following year's Institute.