



ANNUAL MEETING

Invested in America



2014



NOVEMBER 10

MARRIOTT
MARQUIS
NYC

Sponsorship Opportunities



2014 ANNUAL MEETING

NOVEMBER 10 | MARRIOTT MARQUIS | NEW YORK CITY

SIFMA's 2014 Annual Meeting: Why Sponsor?

- Receive exposure to over 750 of the most senior level government leaders and securities industry executives.
- Associate your brand with the industry's most prestigious conference

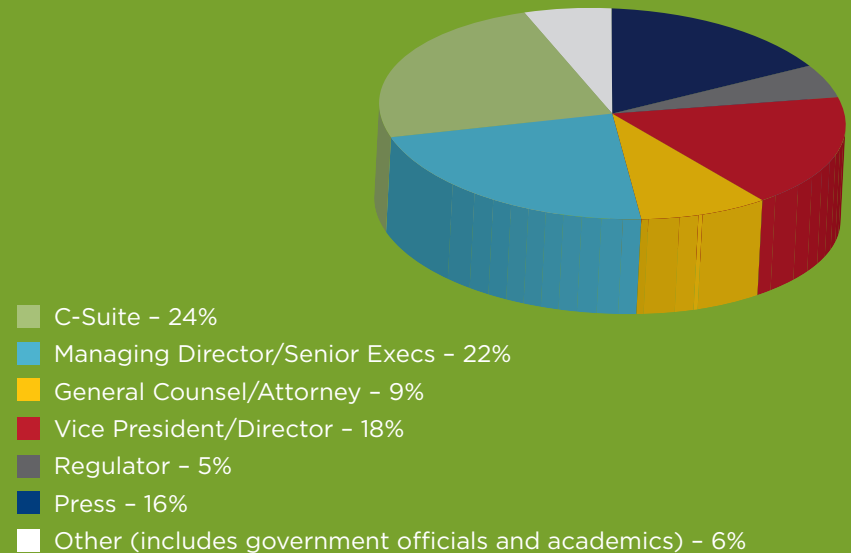
SIFMA's marquee event for the securities industry and financial markets will bring together over 750 key legislators, business leaders, regulators, academics and press. The SIFMA Annual Meeting will address the business model and market implications of a changing regulatory landscape with the principals who are at the forefront. This event provides excellent branding and networking opportunity and is the one conference where we bring together leading policymakers and financial services leaders.

This year's program agenda will feature prominent keynote speakers and expert breakout sessions targeting specific business, legal, compliance and operational professionals.

Breakdown of Participation at 2013 SIFMA Annual Meeting:

More than 750 high ranking executives and officials from the 2013 SIFMA Annual Meeting, including:

- 75 Chairmen, CEO's and Presidents
- 18 Chief Compliance Officers (CCOs)
- 17 Chief Operating Officers (COOs)





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2014 Speakers

Featured Speakers:

- Michael R. Bloomberg, 108th Mayor of the City of New York and Founder, Bloomberg LP
- Gregory J. Fleming, President of Morgan Stanley Wealth Management and President of Morgan Stanley Investment Management, Morgan Stanley
- David M. Rubenstein, Co-Founder and Co-CEO, The Carlyle Group
- Mary Jo White, Chair, U.S. Securities and Exchange Commission

Industry Leaders:

- Douglas M. Hodge, Chief Executive Officer, PIMCO
- Andre E. Owens, Partner, WilmerHale
- Jim Rosenthal, Chief Operating Officer, Morgan Stanley and Chairman, SIFMA Board of Directors
- Laurence A. Tosi, Chief Financial Officer, The Blackstone Group.

Government Leaders:

- Michael S. Gibson, Director, Program Direction, Banking Supervision and Regulation, Federal Reserve
- Kent Hiteshow, Office of State and Local Finance, U.S. Department of Treasury
- Richard G. Ketchum, Chairman and CEO, FINRA
- Stephen Luparello, Director, Division of Trading and Markets, U.S. Securities and Exchange Commission (SEC)

2013 Keynote Speakers

- President Bill Clinton
- Jeb Bush, 43rd Governor of Florida
- Lloyd Blankfein, Goldman Sachs
- Larry Fink, BlackRock
- Mary Jo White, US Securities and Exchange Commission (SEC)
- Richard G. Ketchum, FINRA
- Karen B. Peetz, BNY Mellon
- Paul E. Purcell, Robert W. Baird & Co. Inc

Sponsorship Options:

Sponsorship options will be available at the Silver, Gold, Platinum and Titanium levels for the 2014 SIFMA Annual Meeting. The pricing for each level is based upon the amount of exposure the sponsor will receive and the benefits associated with the package, including the number of firm passes and exclusivity.

ALL sponsors of the Annual Meeting will receive the following benefits:

- **Exhibit Space:** Tabletop Exhibit Space for the duration of the conference
- **Exhibit Passes:** Two Exhibit Hall passes (in addition to the conference passes, which are attributed to each of the sponsorship levels)
- **Conference Passes:** Passes for staff to attend Annual Meeting Conference
- **Branding:** Your logo will be displayed on marketing and program material as well as on the webpage and onsite signage
- **Recognition:** Listing in the conference program with full color company logo, contact information and firm description.
- **Delegate List:** All sponsors will receive the mailing lists of all conference attendees in electronic format both prior to the conference and after the conference takes place.

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Antonella DiBello | 212-313-1261 | adibello@sifma.org
 Diana Serri | 212-313-1258 | dserri@sifma.org

Sponsorship	Availability	Conference Registration(s)
Titanium \$25,000 SIFMA MEMBER RATE \$27,500 NON-MEMBER RATE		
<p>FORMAL LUNCH One-on-One with Featured Speaker <i>Seated Formal Lunch, allowing for one-on-one networking with industry colleagues. Prominent branding as luncheon sponsor on signage and program material. Opportunity for luncheon seat drop.</i></p>		<p>Hosted by Broadridge Financial Solutions, Inc.</p>
<p>LUNCHEON SPEAKER PRESENTATION</p> <p>Michael R. Bloomberg <i>108th Mayor of New York City Founder, Bloomberg L.P.</i></p>		<p>Sponsored by Bloomberg L.P.</p>
<p>BREAKFAST One-on-One with Featured Breakfast Speaker <i>Networking Buffet Breakfast that includes a variety of breakfast choices along with hot coffee and tea, served in rounds, allowing all attendees time to network. Prominent branding as breakfast sponsor on signage and program material. Opportunity for breakfast seat drop.</i></p> <p>Past featured speakers:</p> <ul style="list-style-type: none"> - Mary Jo White, Chairman, Securities and Exchange Commission - Gary Gensler, Chairman, U.S. Commodity Futures Trading Commission 		<p>Hosted by McGraw Hill Financial</p>



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Sponsorship	Availability	Conference Registration(s)
Platinum \$20,000 SIFMA MEMBER RATE \$22,00 NON-MEMBER RATE		
OPENING NIGHT RECEPTION <i>Held on November 9th from 6:30-9:30pm at the Neue Galerie in New York City. This reception will be hosted by SIFMA's Chairman of the Board and President and CEO, and will be exclusively by invitation only. Over 100 attendees are expected and will represent the most senior level leadership from SIFMA's member firms, including current and past SIFMA board members.</i>	Hosted by Gibson, Dunn & Crutcher LLP	
GENERAL SESSION <i>Prominent branding as general session sponsor on signage and program material. Opportunity for general session seat drop.</i>	Co-Sponsorship Available	Hosted by PricewaterhouseCoopers LLP
CLOSING NETWORKING RECEPTION <i>Cocktail reception, that includes hot buffet stations, passed hors d'oeuvres and open bar - open to all attendees set in a relaxed atmosphere offering attendees the opportunity to come together and catch up on the day's events in an informal setting. Sponsor may provide branded napkins and will receive prominent branding as the cocktail reception sponsor.</i>	Co-Sponsorship Available	3
CHARGING STATION <i>Charging stations strategically will be placed in Registration Area where refreshment breaks are scheduled. Sponsoring firm's logo uploaded and displayed on digital monitor acknowledging sponsorship.</i>	Compliments of XTRAC Solutions, a Fidelity Investments Company	
ATTENDEE BADGE LANYARD <i>Co-branded, SIFMA approved lanyard provided by sponsoring firm and distributed to all attendees.</i>	Compliments of TruPhone	



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Platinum \$20,000 SIFMA MEMBER RATE \$22,00 NON-MEMBER RATE		
ANNUAL MEETING MOBILE APP <i>The Mobile App affords sponsor maximum exposure with branding on the splash page as well as a rotating banner ad on the landing page. This exclusive sponsorship opportunity is downloadable at no additional cost to the participant, and utilized heavily by the conference delegation.</i>	Sponsorship Available	3
ATTENDEE WIFI ACCESS <i>Offering complimentary Wi-Fi access to all conference participants during sessions. Acknowledgement of sponsoring firm on redirected splash page, and on program material and signage.</i>	Sponsorship Available	3
ATTENDEE PACKET <i>Branding on plastic folder containing Event Guide and program material, which is distributed to all attendees upon registration.</i>	Compliments of DTCC	
SOCIAL MEDIA WALL <i>The Social Media Wall will aggregate tweets and encourage participants to engage using social media.</i>	Compliments of Hearsay Social	

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Sponsorship	Availability	Conference Registration(s)
Gold \$12,500 SIFMA MEMBER RATE \$13,750 NON-MEMBER RATE		
EVENT GUIDE <i>Printed Event Guide that includes sponsoring firm's full page ad, placed on outside back cover. Event Guide includes program agenda, schedule, speaker bios, list of sponsoring firms and their company profiles, and complete list of Conference participants. Event Guide is distributed to all attendees upon registration.</i>	Compliments of Appway	
BRANDED EVENT USB FLASH DRIVE <i>Flash Drive includes program, schedule, speaker bio's, list of sponsoring firms and their company profiles, list of conference participants, and literature from all sponsors. Flash Drive will include sponsor logo and is distributed to all attendees upon registration.</i>	Compliments of SunGard	
MORNING NETWORKING REFRESHMENT BREAK <i>Branding on signage as sponsor of the morning networking refreshments.</i>	Co-sponsorship Available	Co-hosted by Deloitte, PriceMetrix Inc., & Tradeweb
AFTERNOON NETWORKING REFRESHMENT BREAK <i>Branding on signage as sponsor of the afternoon networking refreshments.</i>	Co-sponsorship Available	2
CYBER CAFE <i>Internet Terminals placed in registration foyer where sponsored networking refreshments will be held - Sponsoring firm's logo uploaded and displayed on digital monitors acknowledging sponsorship.</i>	Sponsorship Available	2



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Sponsorship	Availability	Conference Registration(s)
Silver \$10,000 SIFMA MEMBER RATE \$11,000 NON-MEMBER RATE		
PRESS ROOM SPONSOR <i>Covers utility charges, as well as internet access and computer rentals for industry press set in a working press room environment.</i>	Sponsorship Available	1
TOTE BAG <i>Co-branded, SIFMA approved tote bag provided by sponsoring firm and distributed to all attendees.</i>	Compliments of McGladrey	
WATER COOLER SLEEVES <i>Firm's branding placed prominently on each of the water coolers throughout the conference.</i>	Compliments of Vectra Networks, Inc.	
BRANDED WATER BOTTLES <i>Firm's branding placed prominently on each of the water bottles distributed during the conference.</i>	Compliments of Kaplan Financial Education	
NOTEBOOK <i>Firm's branding placed prominently on each of the notebooks distributed during the conference.</i>	Compliments of National Financial, a Fidelity Investments Company	



More than 750 high ranking officials from government and the securities industry attended the 2013 SIFMA Annual Meeting. Leadership from the following institutions participated:

2013 Annual Meeting Attendees

8of9	Bipartisan Policy Center	China Magazine	Department of Justice
Accenture LLP	BlackRock	Churchill Partners	Der Spiegel
Aegon	Bloomberg L.P.	CIBC World Markets Corp.	Deutsche Asset & Wealth Management
AIG Advisor Group	Bloomberg News	Citi	Deutsche Bank Securities Inc.
Alabama Securities Commission	Bloomberg TV	Citigroup Derivatives Markets Inc.	Deutsche Bundesbank
AllianceBernstein LP	BMO Capital Markets	Citigroup Global Markets Inc.	Die Zeit
Allianz Asset Management	BMO Nesbitt Burns	City Securities Corporation	Direct Edge
Allison-Williams Company	BNP Paribas Securities Corp.	Cloud Partners representing Smarsh	Discovery Capital Management
Alphadyne Asset Management	BNY Mellon Corporation	Clyde Snow & Sessions	Doshi Consulting Solutions Inc
American Banker	Board of Governors of the Federal Reserve System	CME Group, Inc.	DTCC
American Century Investments	BondDesk Group, LLC	CNBC	DTI
Ameriprise Financial	Brandywine Global Investment Management, LLC	Committee on Capital Markets Regulation	Dukas Public Relations
Analy Capital Management, Inc.	Bressler, Amery & Ross, P.C.	Cornerstone Capital Management	Duncan-Williams, Inc.
APCO Worldwide	British Consulate General	Cornerstone Research	E*TRADE Financial Corp.
AQR Capital Management, LLC	British Embassy	Covington & Burling LLP	Edward D. Jones & Co. L.P.
Ashland Partners & Company, LLP	Broadridge Financial Solutions, Inc.	Crain's Business Magazine	Embassy of Canada
Auriga USA LLC	BuzzFeed	Credit Agricole CIB	Empire State Development
AXA Equitable	Cadaret, Grant & Co., Inc.	Credit Suisse	ETF Business Review
Axiom	Capital Alpha Partners, LLC	CreditSights, Inc.	Euroclear Bank SA/NV
Babson Capital Management LLC	Capital One	D.A. Davidson & Co. Inc.	European Commission
Ballard Spahr LLP	Cascade Financial Management, Inc.	Daiwa Capital Markets America Inc.	FDIC
Banco de Mexico	Cato Institute	Davidson Companies	Federal Deposit Insurance Corporation (FDIC)
Bank of America Merrill Lynch	Cetera Advisors LLC	Davis Polk & Wardwell LLP	Federal Housing Finance Agency
Bank of Canada New York	Cetera Financial Group	Dealreporter	Federal Reserve Bank of New York
Bank of New York Mellon	CFA Institute	Debtwire ABS	Fidelity Brokerage Company
Barclays	Charles Schwab & Co.	Deloitte	Fidelity Capital Markets
Barclays Capital	Chase	Department of Finance Canada (New York)	Fidelity Investments
BB&T Capital Markets			

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Fidessa Corporation	Greenwich Associates	Investment Industry Regulatory Organization of Canada (IIROC)	Martin A. Hewitt, Attorney at Law
Financial Advisor Magazine	Griffiths McBurney Corp.	Investment News	Matthew B. Management, Inc.
Financial Industry Regulatory Authority Inc (FINRA)	H.D. Vest Financial Services	J.J.B. Hilliard, W.L. Lyons, LLC	Mayer Brown LLP
Financial Times	Handelsbanken Capital Markets	J.P. Morgan	Mellon Capital Management Corporation
FINRA	Handelsblatt	Janney Montgomery Scott LLC	Merger Market Magazine
First Clearing Correspondent Services	Hartfield, Titus & Donnelly, LLC	Jefferies LLC	Metropolitan Transit Authority
Fiserv	Harvest	Jiji Press	MFS Investment Management
Fitch Ratings	Haywood Securities (USA) Inc.	JPMorgan Chase & Co.	Milbank, Tweed, Hadley & McCloy LLP
Five Star Professional	Hearsay Social	JPMorgan Securities LLC	Miles & Stockbridge P.C.
Forbes Magazine	Hefren-Tillotson, Inc.	K2 Intelligence	Millennium Partners LP
Foreign Policy Magazine	HFM Week	KCG Holdings Inc	Ministry of Finance, Government of Japan
Forex Capital Markets, LLC	HSBC	Kevin Hart Kornfield and Co., Inc.	Monetary Authority of Singapore
Fortune Magazine	IBM Corporation	Kirkland & Ellis LLP	Money Concepts Capital Corp.
Fox Business News	III Associates	Knight Capital Group, Inc.	Moore & Van Allen, PLLC
Franklin Templeton Investments	Industrial & Commercial Bank of China, New York	Korea Financial Investment Association	Moors & Cabot, Inc.
Freddie Mac	ING Financial Markets	KPMG LLP	Morgan Stanley
French Embassy	ING Financial Partners, Inc.	LA Times	Municipal Finance Today
Frost Brokerage Services, Inc.	ING U.S.	L'Agefi	NASDAQ OMX Group
FTF News	Institutional Investor Magazine	Law360	National Financial Services LLC
G1 Execution Services, LLC	Interactive Brokers LLC	Liquidnet, Inc.	National Financial, a Fidelity Investments Company
German Embassy	International Financial Law Review	Lloyds Banking Group	National Mortgage News
Gilder, Gagnon, Howe & Co., LLC	INTL FCStone Inc	Loomis, Sayles & Company, L.P.	Natixis Global Asset Management
Ginnie Mae	Invesco Asset Management Ltd.	LPL Financial LLC	Neuberger Berman LLC
Goldman Sachs	Invesco Ltd	M.R. Beal & Company	New York Times
Goodwin Procter LLP	INVeSHARE	Manhattan Institute	NIKKEI
GrayRobinson P.A.	Investment Industry Association of Canada	Market News International	NISA Investment Advisors, L.L.C.
Greenberg Traurig, LLP		MarketWatch	

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Nomura America Services, LLC	Raymond James & Associates, Inc.	SmartBrief	The Trade Magazine
Nomura International plc	Raymond James Financial Services, Inc.	SNL Financial	The Vanguard Group, Inc.
Nomura Securities International, Inc.	RBC Capital Markets, LLC	Snowden Capital Advisors LLC	The World Bank
North Highland	RBC Wealth Management	Societe Generale Corporate and Investment Banking	ThinkAdvisor.com
Northwestern Mutual Investment Services LLC	RBS Securities Inc.	Source Media	Thomson Reuters
Northwestern Mutual Wealth Management Company	RegEd	Standard & Poor's Ratings Services	TIAA-CREF
NYSE Euronext	Reich & Tang	Standard Chartered Bank	Tradeweb Markets
Och-Ziff Capital Management Group LLC	REP Magazine	State Street Bank and Trust Company, N.A.	Treliant Risk Advisors
Office of the Comptroller of the Currency	Reuters TV	State Street Corporation	Trillium Trading, LLC
Omgeo LLC	RIA Biz	Stephens Inc.	TriOptima North America LLC
On Wall Street	Risk Center	SunGard	Truphone, Inc.
Open Markets	Risk Magazine	SWIFT	Tudor, Pickering, Holt & Co. Securities, Inc.
OppenheimerFunds	Risk News	T. Rowe Price Associates Inc.	U.S. Bancorp
Pershing LLC, A BNY Mellon Company	Risk Professional Magazine	TD Ameritrade, Inc.	U.S. Securities & Exchange Commission
PIMCO	Robert W. Baird & Co., Inc.	TD Bank	UBS
Planned Investment Co., Inc.	Robinson & Robinson, Inc.	TD Securities	UMB Bank, N.A.
PNC Financial Services Group Inc	Royal Bank of Scotland	The Charles Schwab Corp	UMTB
Politico	Royce & Associates	The Chicago Stock Exchange Inc.	Vanguard Group Inc.
PricewaterhouseCoopers LLP	Russell Investments	The City University of New York (CUNY)	Wall Street Journal
Principal Global Investors	Scotiabank	The Clinton Foundation	Washington Post
Promontory Financial Group, LLC	Scottrade, Inc.	The Daly Post	Wedbush Securities
ProPublica	Securities and Exchange Commission	The Deal	Wellington Management Company, LLP
Protiviti Inc	Senior Advisor to Barclays	The Institute of International Finance Inc	Wells Fargo & Co.
Prudential	Shadow Financial Systems Inc	The Northern Trust Company	Wells Fargo Advisors LLC
R.W. Smith & Associates, Inc.	Shanghai Futures Exchange	The Norwegian Business Daily	WilmerHale
	Siebert Brandford Shank & Co., LLC	The Patrick Collins Group	Wilmington Trust
	SIFMA	The Street	WNYC Radio
	Simmons First Investment Group		Wunderlich Securities, Inc.

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