



SECURITIES INDUSTRY INSTITUTE

# SII2020

EXCELLENCE IN LEADERSHIP DEVELOPMENT

MARCH 8-13, 2020 | THE WHARTON SCHOOL, PA

**SPONSORSHIP OPPORTUNITIES**



# SII2020

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## SPONSORSHIP OPPORTUNITIES

TAMARA BAILEY

Assistant Vice President, Sponsorship Sales, SIFMA | 212-313-1240 | tbailey@sifma.org

**“I was a graduate of the Securities Industry Institute...and the three-year program changed my life. It gave me a sense of excitement and it broadened my horizons about what the industry was all about.”**

**– JOHN TAFT  
VICE CHAIRMAN, BAIRD**

**“You bring this great stew of people together and watch them interact and engage and everyone learns in that kind of environment...You make incredible friendships over the years and not just networking and business relationships, but great friendships.”**

**– JOSEPH SULLIVAN  
PRESIDENT & CEO, LEGG MASON**

**The Securities Industry Institute®** (SII) is the premier executive development program for securities industry professionals. For 69 years, SIFMA and The Wharton School have partnered to develop the industry’s high-potential rising leaders. Each March, SII brings together over 800 high-potential, rising talent from across the industry with a world-class facility at The Wharton School of The University of Pennsylvania.

Participants meet for one week over three consecutive years to 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.



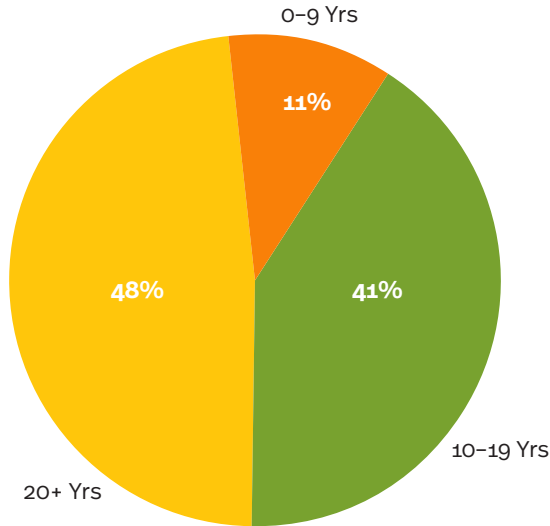
### SPONSORSHIP CATEGORIES

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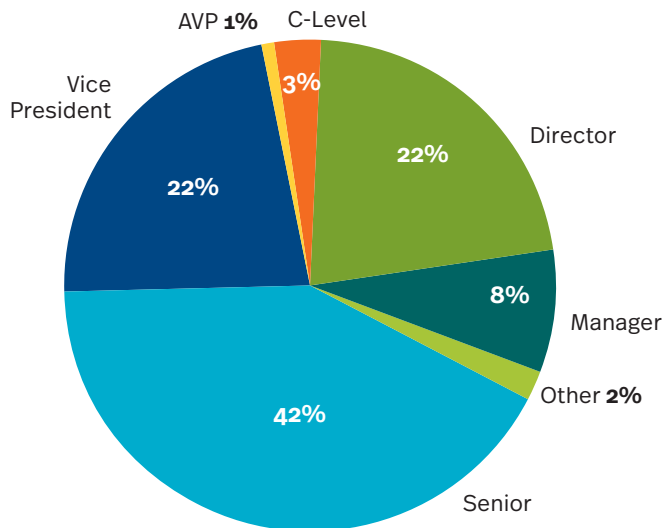
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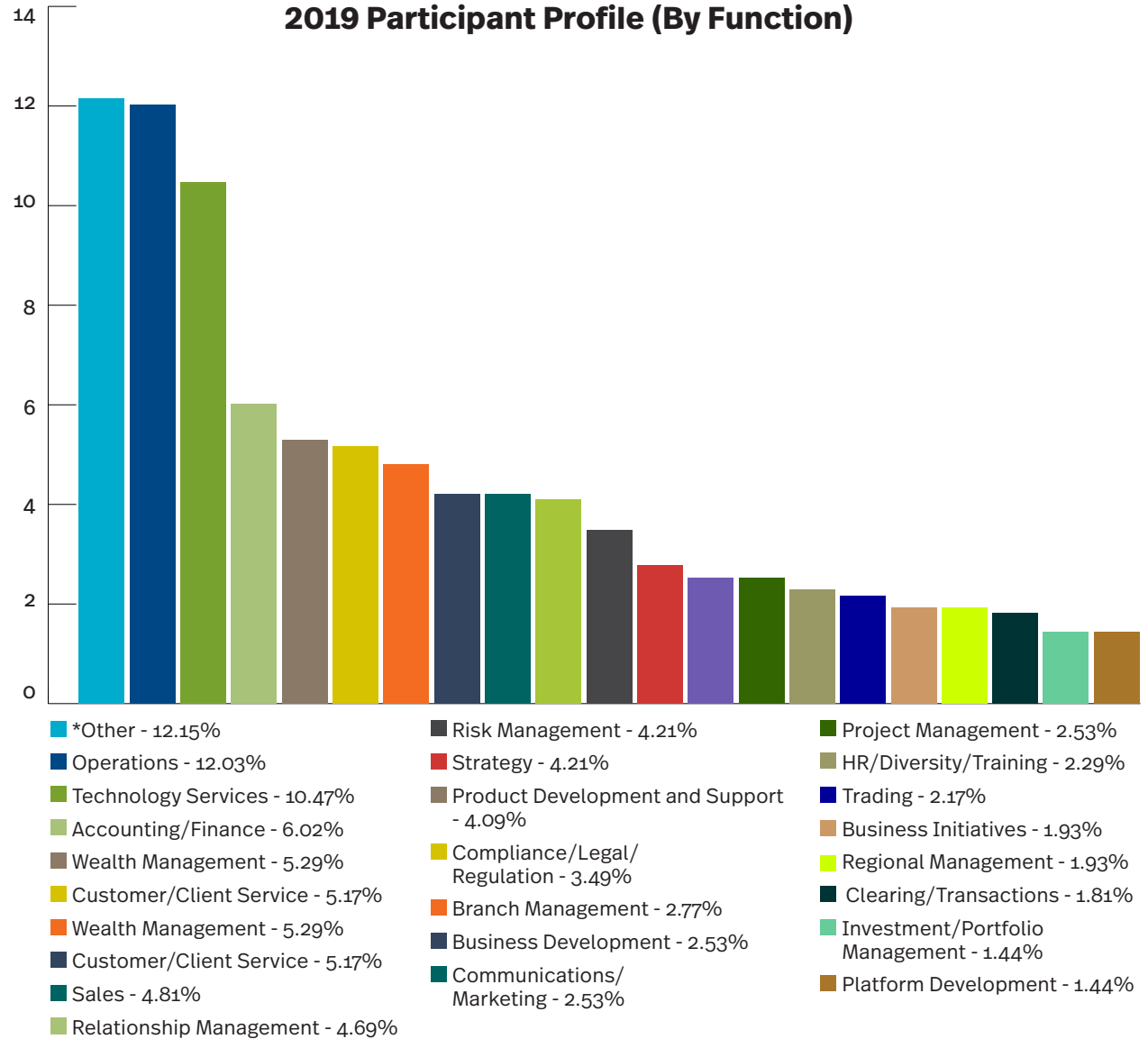
### Years in industry



### Participant Titles



### 2019 Participant Profile (By Function)



\*Other contains less than 3% in the following areas: Alternative Investments, AML, Asset Management, Audit, Behavioral Analytics, Clearing / Transactions, C-Level, Customer Tax Reporting & Cost Basis, Digital and Automated Investing, Equity Capital Markets, Financial / Investment Advisor, Fixed Income, Foreign Exchange Sales & Trading, General Management, Government Relations, Health Care Payor Services, Internal Quality and Process Improvement, Investment / Portfolio Management, Investment Banking, Performance Measurement/GIPS, Platform Development, Project Management, Research, Retail Retirement, Retirement Planning, Software Quality Assurance, Trading, Treasurer, Trust, Valuations



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## SIFMA SECURITIES INDUSTRY INSTITUTE SPONSORSHIP PACKAGES OFFER MAXIMUM VALUE WITH:

### Pre-SII Benefits

- Exposure to more than 800 influencers and decision makers registered for the SII with prominent placement of logo and firm profile listed on the 2020 SII website, [www.sifma.org/sii](http://www.sifma.org/sii).
- Prominent placement on SIFMA's email marketing campaigns to more than 5,000 influencers and decision-makers.
- Preliminary mailing list of all 2020 SII registrants (name, title, firm and postal address only). List sent four weeks in advance of the 2020 SII.\*

### Onsite Benefits (6 days)

- Prominent recognition during the sponsored function (if applicable), with logo displayed on dedicated print signage that is strategically placed in areas including registration area, general session slides, and keynote sessions.
- Acknowledgment of sponsorship during SII keynote sessions with special mention in opening and closing remarks.
- Reduced rate for 2020 SII registration(s)
- Access to all food functions offering additional networking opportunities.
- Opportunity to provide thought leadership for inclusion in the official 2020 SII mobile app.

### Post-SII Benefits

- Final mailing list of all 2020 SII registrants (name, title, firm and postal address only). List sent at conclusion of 2020 SII.\*
- Listing company name, placement of logo and firm profile on SIFMA 2020 SII 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](http://www.sifma.org/privacy)).*





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### SIFMA'S 69TH ANNUAL SECURITIES INDUSTRY INSTITUTE SPONSORSHIP TIERS

<b>DIAMOND</b>	\$45,000 SIFMA Member Rate \$50,000 Non-Member Rate
<b>PLATINUM</b>	\$32,500 SIFMA Member Rate \$37,500 Non-Member Rate
<b>GOLD</b>	\$22,500 SIFMA Member Rate \$27,500 Non-Member Rate
<b>SILVER</b>	\$17,500 SIFMA Member Rate \$22,500 Non-Member Rate
<b>BRONZE</b>	\$12,500 SIFMA Member Rate \$17,500 Non-Member Rate





# SII2020

THANK YOU TO OUR SPONSORS

## DIAMOND



# Broadridge®

## PLATINUM



# BNY MELLON | PERSHING

## SILVER



## BRONZE





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## NETWORKING SPONSORSHIP OPPORTUNITIES

NETWORKING	SPONSORSHIP	AVAILABILITY
<p><b>DIAMOND</b>  <b>\$45,000 SIFMA Member Rate</b>  <b>\$50,000 Non-Member Rate</b>            Includes: Five (5) Reduced Rate Institute Registrations</p>	<p><b>THURSDAY, MARCH 12, 2020</b>  <b>CLOSING RECEPTION</b>  <b>National Constitution Center</b></p> <p>The Closing reception offers sponsoring firm high visibility opportunity in a relaxed atmosphere at the historic National Constitution Center. This is ideal for a firm wishing to achieve maximum exposure and is attended by all 700+ SII participants.</p>	<b>SOLD</b>
<p><b>PLATINUM</b>  <b>\$32,500 SIFMA Member Rate</b>  <b>\$37,500 Non-Member Rate</b>            Includes: Two (2) Reduced Rate Institute Registrations</p>	<p><b>SUNDAY, MARCH 8, 2020</b>  <b>OPENING NIGHT NETWORKING RECEPTION</b>  <b>Penn Museum</b></p> <p>The Opening Night Networking Reception, hosted at the Penn Museum, brings together all 800+ SII participants, allowing for one-on-one networking opportunities with industry colleagues. The historic Penn Museum will allow for great exhibits and great conversations amongst participants.</p>	<b>AVAILABLE</b>
<p><b>Gold</b>  <b>\$22,500 SIFMA Member Rate</b>  <b>\$27,500 Non-Member Rate</b>            Includes One (1) Reduced Rate Institute Registration</p>	<p><b>MONDAY, MARCH 9, 2020</b>  <b>YEAR 1, 2, 3 NETWORKING RECEPTION</b>  <b>Houston Hall</b></p> <p>The Networking Reception includes prominent brand recognition creating a platform for one-to-one networking opportunities with industry colleagues.</p>	<b>AVAILABLE</b>





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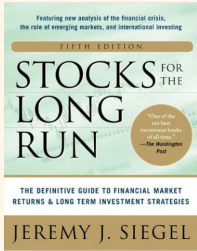
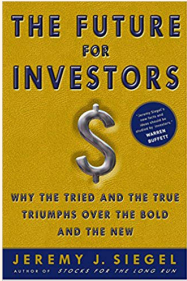
## NETWORKING SPONSORSHIP OPPORTUNITIES

NETWORKING	SPONSORSHIP	AVAILABILITY
<p><b>SILVER</b>  <b>\$17,500 SIFMA Member Rate</b>  <b>\$22,500 Non-Member Rate</b>            Includes: One (1) Reduced Rate Institute Registration</p>	<p><b>MONDAY, MARCH 9 – FRIDAY, MARCH 13, 2020</b>  <i>(*with the exception of Inn at Penn on Friday, March 13th)</i></p> <p><b>BREAKFAST</b>  <b>Philadelphia Marriott, Inn at Penn, Aresty/Steinberg Conference Center, The Study and Sheraton Hotel</b></p> <p>The breakfast sponsor will receive brand recognition throughout the entire SII week (Monday-Friday) at all five locations. In addition, this sponsorship includes a variety of breakfast options, allowing for one-on-one networking opportunities with industry colleagues. Signage will be displayed onsite.</p>	<p><b>Monday, March 9 AVAILABLE</b></p> <p><b>Tuesday, March 10 AVAILABLE</b></p> <p><b>Wednesday, March 11 AVAILABLE</b></p> <p><b>Thursday, March 12 AVAILABLE</b></p> <p><b>Friday, March 13 AVAILABLE</b></p>
<p>Includes:            Two (2) Reduced Rate Institute Registration</p> <p>Two (2) Reserved VIP Seats at the Dinner</p>	<p><b>WEDNESDAY, MARCH 11, 2020</b></p> <p><b>VIP RECEPTION AND DINNER</b>  <b>R2L Restaurant</b></p> <p>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.</p>	<p><b>AVAILABLE</b></p>
<p>Includes: One (1) Reduced Rate Institute Registration</p>	<p><b>FRIDAY, MARCH 13, 2020</b></p> <p><b>GRADUATION BREAKFAST</b>  <b>Inn at Penn</b></p> <p>The Graduation Breakfast includes a guest speaker from Wharton, special presentations from the Chairman and Academic Director, and the awarding of graduation certificates.</p>	<p><b>AVAILABLE</b></p>





## FEATURED KEYNOTE SPEAKER PRESENTATIONS/BOOKS SPONSORSHIP OPPORTUNITIES

PRESENTATION/BOOKS	SPONSORSHIP	AVAILABILITY
<p><b>Gold</b>  <b>\$22,500 SIFMA Member Rate</b>  <b>\$27,500 Non-Member Rate</b>                      Includes One (1) Reduced Rate Institute Registration</p> 	<p><b>JEREMY SIEGEL'S BOOK, STOCKS FOR THE LONG RUN DISTRIBUTED TO YEAR 1 STUDENTS</b></p> <p><i>Stocks for the Long Run</i> is a book on investing by Jeremy Siegel. Its first edition was released in 1994. Its fifth edition was released on January 7, 2014. According to Pablo Galarza of Money, "His 1994 book <i>Stocks for the Long Run</i> sealed the conventional wisdom that most of us should be in the stock market." James K. Glassman, financial columnist for The Washington Post called it one of the 10 best investment books of all time.</p> <p>Sponsors branded logo will be displayed in the inside front cover of each book.</p>  <p><b>JEREMY SIEGEL'S BOOK, "FUTURE FOR INVESTORS" DISTRIBUTED TO YEAR 3 STUDENTS</b></p> <p><i>Future for Investors</i> is a book that shatters conventional wisdom and provides a framework for picking stocks that will be long-term winners. While technological innovation spurs economic growth, it has not been kind to investors. Instead, companies that have marketed tried-and-true products for decades in slow-growth or even declining industries have superior returns to firms that develop "the bold and the new." Industry sectors many regard as dinosaurs—railroads and oil companies, for example—have actually beat the market.</p> <p>Sponsors branded logo will be displayed in the inside front cover of each book.</p> 	<p>AVAILABLE</p>
<p><b>SILVER</b>  <b>\$17,500 SIFMA Member Rate</b>  <b>\$22,500 Non-Member Rate</b>                      Includes: One (1) Reduced Rate Institute Registration</p>	<p><b>MONDAY, MARCH 9, 2020   KEYNOTE SPEAKER</b></p> <p><b>TBD</b></p> <p>This is a fantastic opportunity to leave a lasting impression with the SII '20 attendees.</p>	<p>KEYNOTE SPEAKER <b>SOLD</b></p>



## FEATURED KEYNOTE SPEAKER PRESENTATIONS/BOOKS SPONSORSHIP OPPORTUNITIES

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<p><b>SILVER</b>  <b>\$17,500 SIFMA Member Rate</b>  <b>\$22,500 Non-Member Rate</b>                      Includes: One (1) Reduced Rate Institute Registration</p>	<p><b>FRIDAY, MARCH 13, 2020   KEYNOTE SPEAKERS</b>  <b>JEFF BUSH WITH THE WASHINGTON UPDATE</b></p> <p>A dynamic and insightful speaker, Jeff Bush is known for his unique ability to decode difficult and confusing tax and fiscal information coming out of Washington. Jeff is a colleague of Andy Friedman and an integral part of <i>The Washington Update</i>, the industry thought leader that guides domestic clients through the complex and ever-changing political and tax environment and helps international audiences understand US politics.</p> <p><b>PHILIP MCKERNAN</b></p> <p>Philip works with entrepreneurs and business leaders all over the world. When people are seeking clarity about their future or want to move through roadblocks, seen and unseen, they call Philip. As a speaker, he has inspired and challenged the Canadian Olympic Team and The Pentagon to name a few. He is also the founder and is spearheading the One Last Talk™ movement.</p> <p>This is a fantastic opportunity to leave a lasting impression with the SII '20 attendees. In addition, to having your organization associated with remarkable featured closing speakers.</p>	<div data-bbox="1402 386 1619 609" data-label="Image"> </div> <p><b>JEFF BUSH AVAILABLE</b></p> <div data-bbox="1402 711 1619 933" data-label="Image"> </div> <p><b>PHILIP MCKERNAN AVAILABLE</b></p>
	<p><b>PHILLIP MCKERNAN'S BOOK, ONE LAST TALK</b></p> <p>In this book, McKernan goes beyond the event, and dives into what it means to discover your truth and speak it, why people should do this, and then deeply explains exactly how this can be done. If you feel living more authentically could allow you to have a greater impact on others, or you can't find the words to speak your truth as boldly as you know you need to, this is the book for you.</p> <p>Make no mistake, the path McKernan lays out is simple, but not easy, because your greatest gift lies next to your deepest wounds.</p> <p>Sponsors branded logo will be displayed in the inside front cover of each book.</p>	<div data-bbox="1402 1057 1612 1372" data-label="Image"> </div> <p><b>AVAILABLE</b></p>

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PRESENTATION/BOOKS	SPONSORSHIP	AVAILABILITY
<p><b>SILVER</b>  <b>\$17,500 SIFMA Member Rate</b>  <b>\$22,500 Non-Member Rate</b>            Includes: One (1) Reduced Rate Institute Registration</p> 	<p><b>JONAH BERGER'S BOOK, THE CATALYST: HOW TO CHANGE ANYONE'S MIND COMING OUT MARCH 1, 2020 DISTRIBUTED TO YEAR 1 STUDENTS</b></p>  <p>Everyone has something they want to change. Marketers want to change their customers' minds and leaders want to change organizations. Startups want to change industries and non-profits want to change the world. But change is hard. Often, we persuade and pressure and push, but nothing moves. Could there be a better way?</p> <p>This book takes a different approach. Successful change agents know it's not about pushing harder, or providing more information, it's about being a catalyst. Catalysts remove roadblocks and reduce the barriers to change. Instead of asking, "How could I change someone's mind?" they ask a different question: "Why haven't they changed already? What's stopping them?"</p> <p><i>The Catalyst</i> identifies the key barriers to change and how to mitigate them. You'll learn how catalysts change minds in the toughest of situations: how hostage negotiators get people to come out with their hands up and how marketers get new products to catch on, how leaders transform organizational culture and how activists ignite social movements, how substance abuse counselors get addicts to realize they have a problem and how political canvassers change deeply rooted political beliefs.</p> <p>This book is designed for anyone who wants to change someone's mind. It provides a powerful way of thinking and a range of techniques that can lead to extraordinary results. Whether you're trying to change one person, transform an organization, or shift the way an entire industry does business, this book will teach you how to become a catalyst</p> <p>Sponsors branded logo will be displayed in the inside front cover of each book.</p>	<p><b>AVAILABLE</b></p>
<p><b>BRONZE</b>  <b>\$10,000 SIFMA Member Rate</b>  <b>\$15,000 Non-Member Rate</b>            Includes: One (1) Reduced Rate Institute Registration</p>	<p><b>MONDAY, MARCH 9 – THURSDAY, MARCH 12, 2020</b>  <b>LUNCH &amp; LEARN</b></p> <p>*Exclusive to contracted sponsors, the SII Lunch &amp; Learn sessions offer an opportunity to bring together non-profit organizations that the financial industry supports. The Lunch &amp; Learn sessions will bring awareness to various non-profit organizations that provide financial literacy education and are designed to advocate for the next generation of financial professionals.</p> <p>*Exclusive to contracted sponsors, the SII Lunch &amp; Learn sessions offer an opportunity to share thought leadership insight to a captive audience in a One-Hour or less Lunch &amp; Learn presentation. A meeting room with standard A/V as well as buffet lunch will be provided to host a maximum of 125 participants..</p> <p>** Topic, Title and Description will be subject to a pre-approval process by SIFMA.**</p>	<p><b>Monday, March 9</b>  <b>3 AVAILABLE</b></p> <p><b>Tuesday, March 10</b>  <b>3 AVAILABLE</b></p> <p><b>Wednesday, March 11</b>  <b>3 AVAILABLE</b></p> <p><b>Thursday, March 12</b>  <b>3 AVAILABLE</b></p>

## BRANDING OPPORTUNITIES

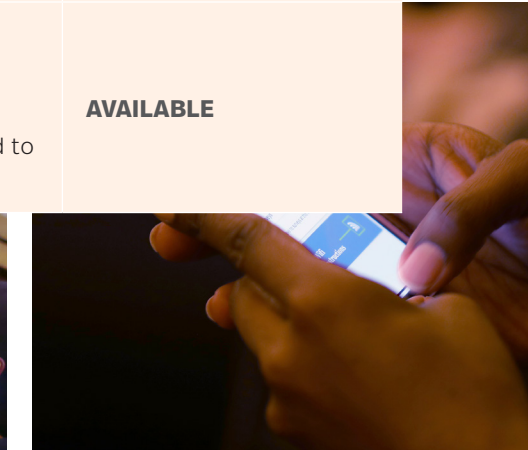
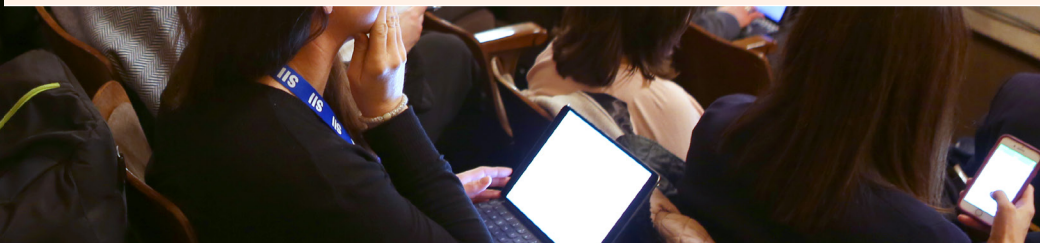
BRANDING	SPONSORSHIP	AVAILABILITY
<b>PLATINUM</b> <b>\$32,500 SIFMA Member Rate</b> <b>\$37,500 Non-Member Rate</b> Includes: Two (2) Reduced Rate Institute Registrations	<b>SIFMA'S SII MOBILE APP</b> SIFMA's approved Mobile App affords the sponsoring firm maximum exposure with branding on the app. The 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. The SII mobile app is the only form of information available to participants as this is a paperless event.	<b>SOLD</b>
<b>SILVER</b> <b>\$17,500 SIFMA Member Rate</b> <b>\$22,500 Non-Member Rate</b> Includes: Two (2) Reduced Institute Registrations	<b>BRANDED WATER BOTTLES</b> SIFMA pre-approved co-branded reusable water bottles. Each comes with a handy cleaning tablet and information page on refill stations throughout campus. In addition to the branding exposure on the water bottle itself, your firm's logo will be on the info page as well as the specialized section of mobile app. The branded water bottles will be provided to all participants during registration.	<b>AVAILABLE</b>
<b>BRONZE</b> <b>\$10,000 SIFMA Member Rate</b> <b>\$15,000 Non-Member Rate</b> Includes: One (1) Reduced Rate Institute Registration	<b>MONDAY, MARCH 9 – THURSDAY, MARCH 12, 2020</b> <b>BRANDED ENERGY BOOSTER AFTERNOON SNACKS</b> The energy booster snacks will be located at 3 (three) different locations throughout the campus from Monday–Thursday. The sponsorship would include a variety of branded energy booster snacks for attendees to grab and go as they head to their next class. Signage displayed onsite.	<b>AVAILABLE</b>
	<b>MOBILE DEVICE CHARGING STICKS</b> SII is a paperless event and therefore all materials are stored on the mobile app. Participants will use the app throughout the day to access session materials and charging sticks will come in very handy during the week. The SIFMA pre-approved co-branded charging sticks allow participants to charge their mobile devices on the go. Charging sticks are produced and provided by the sponsoring firm.	<b>AVAILABLE</b>
	<b>HOTEL ROOM BRANDED KEY CARDS</b> Inn at Penn, Marriott, The Study, Sheraton and Homewood Suites SIFMA pre-approved co-branded hotel room key cards. Attendees will receive cards upon check-in.	<b>AVAILABLE</b>





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BRANDING	SPONSORSHIP	AVAILABILITY
<b>BRONZE</b> <b>\$10,000 SIFMA Member Rate</b> <b>\$15,000 Non-Member Rate</b> Includes: One (1) Reduced Rate Institute Registration	<b>ATTENDEE CO-BRANDED TOTE BAG</b> 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.	AVAILABLE
	<b>BUS TRANSPORTATION (BRANDING OPPORTUNITY) for Participants via the Marriott, Homewood Suites/ Wharton Campus</b> 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 Campus each day. All participants use the bus to/from Thursday's closing night reception	AVAILABLE
	<b>BADGE LANYARD</b> 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.	SOLD
	<b>BRANDED TRAVEL UMBRELLAS</b> SIFMA pre-approved co-branded travel umbrellas produced and provided by sponsoring firm, distributed during registration to all participants.	AVAILABLE
	<b>NOTEPADS AND PENS</b> SIFMA pre-approved branded notepads and pens, provided by the sponsoring firm. This is an easy and effective way to get your message in the hands of every registered attendee.	AVAILABLE
	<b>NEW ALUMINUM OR STAINLESS-STEEL REUSABLE STRAWS</b> SIFMA pre-approved branded aluminum or stainless-steel reusable straws, provided by the sponsoring firm. Co-branded on outside packaging, environmentally friendly, metal straws, produced by sponsoring firm, distributed to all participants during registration.	AVAILABLE



## SIFMA SECURITIES INDUSTRY INSTITUTE 2019 PARTICIPATING FIRMS

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