



C&L Annual Seminar 2022

March 20-23
Grande Lakes • Orlando, FL



SPONSORSHIP & EXHIBITOR PROSPECTUS

SPONSOR

**EXHIBIT &
ADVERTISE**

**PAST
PARTICIPANTS**

Reconnect. Engage. Inspire.

TESTIMONIALS FROM PAST PARTICIPANTS

“It’s a capsule to have all the **regulators** you care about, to have all your **peers** to brainstorm with, and to give back to others what you’re taking in yourself.”

“This is my first time at this event, and I’ve heard a lot about it. It has **vastly exceeded my expectations**. This is truly one-stop shopping.”

“You’ll learn information here that you really **cannot get anywhere else.**”

Our attendees want to meet with you.

Law firms, consulting firms and service providers who specialize in compliance and legal products and/or services are of prime interest to this targeted audience. In fact, 98% of our 2019 survey respondents found our sponsors relevant and more than 30% spent over 30 minutes of their time meeting with them.

Our participants specifically ask for solution providers in fields including:

- Cloud Computing
- Compliance Software and Solutions
- Consulting
- Document Management Reading and Support
- Law Firms
- Litigation
- Media and Communications
- Reporting Solutions
- Surveillance Systems
- Technology Services
- Training

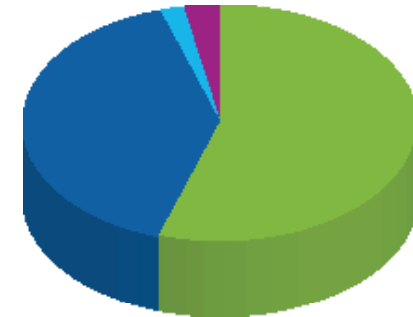
Who Attends

- Chief Compliance Officers
- Chief Legal Officers
- General Counsels
- In-House Counsel
- Outside Counsel and Senior Law Firm Partners
- Regulators
- Consultants

For On-site Attendees

We closely follow guidelines from the CDC as well as state and local officials. FAQs on our protocols will be made available for on-site attendees. Registration for in-person attendance at SIFMA events requires proof that registrants are fully vaccinated against COVID-19. Ongoing participation in this event is subject to SIFMA's COVID-19 Safety Acknowledgment.

2019 C&L Annual Seminar Delegate Profile



- In-House Counsel/Sr. Compliance Officers & Sr. Executives - 55%
- Outside Counsel/Sr. Law Firm Partners - 40%
- Consultants - 2%
- Senior Regulators - 3%



Sponsorship Packages

The 2022 SIFMA C&L Annual Seminar Sponsorship Packages are designed to enhance your firm’s presence before, during and after the event. With branding, advertising and content marketing opportunities, we offer multiple levels of sponsorship which can be customized to maximize your firm’s marketing goals and objectives.

LEVEL	INVESTMENT		PASSES			ROOMS**	INVITATION TO THE C&L PRESIDENT’S DINNER
	Member Rate	Non-Member Rate	Comp	Discounted	Guest	Access to Main Hotel	Number of Senior Executives
PRESIDENTIAL	\$52,000+	\$57,000+	4	3	1	7	1
DIAMOND	\$38,000	\$43,000	2	2	1	4	0
PLATINUM	\$31,000	\$36,000	1	2	1	3	0
GOLD	\$28,000	\$33,000	1	1	0	2	0
SILVER	\$21,000	\$25,000	1	0	0	1	0
BRONZE	\$18,000	\$21,000	1	0	0	1	0
PREMIUM PATRON	\$13,000	\$16,000	0	1	0	1	0
EXHIBITOR*	\$10,000	\$13,500	0	1	0	2	0

* Includes 2 exhibit personnel passes (access to Exhibit Hall only)

Private Parties/Dinners

In the interest of the success of SIFMA’s C&L Annual Seminar and in accordance with SIFMA’s Sponsorship and Exhibitor Agreement, all Sponsoring & Exhibiting Firms agree to NOT extend invitations, host any events (social or business) or otherwise encourage absence of attendees from the Event during SIFMA’s official Seminar Hours, which include educational as well as networking functions. Should any firm have an interest in hosting a private event, please refer to the program schedule so that you can plan accordingly. All events being hosted at the designated SIFMA C&L Annual Seminar Venue are subject to a pre-approval process by SIFMA. SIFMA requires all contracted partners, sponsors and exhibitors to use the Proper Title of the event and/or the official SIFMA Event Creative for use in promoting your firm’s participation at the event, which includes, but is not limited to all promotional messaging, extending invitations (digital and/or print) to privately hosted functions, etc. Upon request, SIFMA will provide artwork of the event creative in multiple formats for use. All invitations and/or promotional materials must be submitted to SIFMA for final approved.

**Hotel Room Block

A block of hotel rooms has been reserved at the JW Marriott Grande Lakes, Orlando for SIFMA C&L Annual Seminar sponsors and exhibitors. All room charges, including taxes and service fees, will be the responsibility of the individual utilizing the hotel room. All reservations are based on availability. Hotel room reservation links will be sent to all contracted sponsors once the hotel room block becomes available and contracts are confirmed.



Get maximum value, broaden your reach & propel your brand

Applicable for all sponsorship levels:

Pre-Seminar Benefits

- Exposure to influencers and decision makers registered for the Seminar with prominent placement of logo and firm profile listed on Seminar website, www.sifma.org/clannual/
- Access to the 2022 SIFMA C&L Annual Seminar Sponsors and Exhibitors hotel room block.*
- Prominent placement on SIFMA's email marketing campaigns sent to targeted decision-makers.
- Preliminary mailing lists of 2022 SIFMA C&L Annual Seminar registrants. List sent four weeks in advance of the Seminar.**

Days of Seminar Benefits

- Complimentary and/or discounted SIFMA C&L Annual Seminar registration(s), including access to all functions
- Dedicated sponsor listing placed within the SIFMA C&L Annual Seminar mobile app.
- Prominent recognition during the sponsored function (if applicable), with logo displayed on dedicated print and digital signage strategically placed in areas including registration area, general session slides, a sponsor recognition video loop, and more.

Post-Seminar Benefits

- Final mailing list of all 2022 SIFMA C&L Annual Seminar registrants (name, title, firm and postal address only). List sent at conclusion of the Annual Seminar.**
- Listing company name, placement of logo and firm profile on event 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 influencers and decision-makers.

* Sponsor is responsible for all room charges. See [page 4](#) for details.

**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).





C&L Annual Seminar 2022 • THANK YOU TO OUR SPONSORS

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PRESIDENTIAL



DIAMOND

ALLEN & OVERY



CRAVATH, SWAINE & MOORE LLP



Davis Polk

FRIED FRANK

KIRKLAND & ELLIS

kyndryl

Morgan Lewis

Paul|Weiss

ROPES & GRAY

SULLIVAN & CROMWELL LLP

PLATINUM

GOLD

AlixPartners



Simpson Thacher



protiviti®
Global Business Consulting

WACHTELL
LIPTON
ROSEN &
KATZ

SILVER

CLIFFORD
CHANCE

Debevoise
& Plimpton



KING & SPALDING

LATHAM
LATHAM & WATKINS

McGUIREWOODS

Milbank

Moore & VanAllen

MURPHY &
CGONIGLE



SHEARMAN & STERLING

SIDLEY

WILMERHALE®

WILMER CUTLER PICKERING HALE AND DORR LLP

BRONZE



PREMIUM PATRON



Katten



PERKINScoie
COUNSEL TO GREAT COMPANIES

Skadden





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PRESIDENTIAL

INVESTMENT

\$52,000+ SIFMA Member Rate

\$57,000+ Non-Member Rate

For the truly committed, the Presidential tier offers a sponsoring firm an escalated level of sponsorship, determined by a firm's overall investment at the Annual Seminar. Firms who invest in sponsorship of \$50,000 (Member Firm) / \$55,000 (Non-Member) or more are automatically escalated to this top tier of sponsorship (inclusive of investment of exhibit space, à la carte sponsorship, as well as branding and advertising opportunities).

PRESIDENTIAL BENEFITS

- One Invitation to the C&L President's dinner
- Four Complimentary Seminar Registrations
- Three 50% Discounted Seminar Registrations (Early Bird Rate)
- One Complimentary Guest Registration
- Access to Seven Hotel Rooms at the Main Hotel

SPONSORSHIP

CO-BRANDED ATTENDEE BAG - SOLD!

High-quality attendee tote bags are produced by SIFMA and distributed to all participants during registration.



DIAMOND

INVESTMENT

\$38,000 SIFMA Member Rate

\$43,000 Non-Member Rate

DIAMOND BENEFITS

Two Complimentary Seminar Registrations

Two 50% Discounted Seminar Registrations (Early Bird Rate)

One Complimentary Guest Registration

Access to Four Hotel Rooms at the Main Hotel

SPONSORSHIP

NETWORKING RECEPTIONS

Networking Receptions are scheduled for two hours each evening and are set with hot and cold buffet stations, passed hors d'oeuvres and open bar. Each event is planned at an outdoor location (weather permitting), offering attendees the opportunity to come together and catch up on the day's events in an enjoyable, informal setting. Open to all attendees.

Co-sponsorship offered to four firms at each reception:

Sunday, March 20 (Evening Reception)	Monday, March 21 (Evening Reception)	Tuesday, March 22 (Evening Reception)	Tuesday, March 22 (After Hours Reception)
(4) SOLD! (SOLD OUT FOR SUNDAY)	(4) SOLD! (SOLD OUT FOR MONDAY)	(1) AVAILABLE (3) SOLD!	(2) AVAILABLE (2) SOLD!



PLATINUM

INVESTMENT

\$31,000 SIFMA Member Rate

\$36,000 Non-Member Rate

PLATINUM BENEFITS

- One Complimentary Seminar Registration
- Two 50% Discounted Seminar Registrations (Early Bird Rate)
- One Complimentary Guest Registration
- Access to Three Hotel Rooms at the Main Hotel

SPONSORSHIP

NETWORKING LUNCHES - (2) AVAILABLE

A networking buffet lunch, offering sponsoring firm prominent brand recognition. Set in an indoor or outdoor location (weather permitting), allowing for one-on-one conversations with industry colleagues, clients and potential prospects.

Co-sponsorship offered to four firms at each reception:

Monday, March 21	Tuesday, March 22	Wednesday, March 23
(2) AVAILABLE	(2) AVAILABLE	(2) AVAILABLE

MOBILE APP - SOLD!

An exclusive opportunity, the Annual Seminar mobile app offers a sponsoring firm maximum exposure with branding on its splash page as well as a dedicated rotating banner advertisement. The mobile app captures all program materials including the meeting agenda, schedule, speaker bios, attendee list, sponsors and exhibitors, LinkedIn/Twitter options, and more.

WI-FI - SOLD!

Wi-Fi access will be available to all Seminar participants in the meeting space of the JW Marriott Grande Lakes, Orlando. Sponsoring firm is acknowledged with logo displayed on opening splash page; offers an opportunity to use a unique SSID which can be customized with the sponsoring firms name.





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PLATINUM	SPONSORSHIP
<p>INVESTMENT \$31,000 SIFMA Member Rate \$36,000 Non-Member Rate</p> <p>PLATINUM BENEFITS One Complimentary Seminar Registration Two 50% Discounted Seminar Registrations (Early Bird Rate) One Complimentary Guest Registration Access to Three Hotel Rooms at the Main Hotel</p>	<p>BADGE LANYARD - SOLD! What better way to leave an impression than to have 2,000+ attendees wearing your firm's name/logo for the duration of the Annual Seminar? Name badge lanyards are worn around the neck of each attendee to gain access to all sessions and event networking functions. Co-branded, pre-approved lanyards are produced by sponsoring firm and distributed with registration materials to all Seminar participants.</p> <p>CHARGING/NETWORKING LOUNGE - SOLD! The Charging Lounge is designed with branding of sponsoring firms' logo, set with comfortable seating in prime, high trafficked location, allowing individuals to charge their personal devices while networking with their peers.</p> <p>HOTEL ROOM KEY CARDS - SOLD! Co-branded Hotel Room Key Cards are produced by SIFMA and distributed to all Seminar participants. Includes sponsoring firm's logo and messaging printed on the face of each key card.</p>



GOLD

INVESTMENT

\$28,000 SIFMA Member Rate

\$33,000 Non-Member Rate

GOLD BENEFITS

One Complimentary Seminar Registration

One 50% Discounted Seminar Registrations (Early Bird Rate)

Access to Two Hotel Rooms at the Main Hotel

SPONSORSHIP

CONTINENTAL BREAKFAST

Attendees start their day with a networking breakfast that offers prominent brand recognition to the sponsoring firm. A variety of healthy breakfast choices along with hot and cold beverages are set in the Exhibition Hall, allowing for one-on-one conversations with industry colleagues, clients and potential prospects.

Co-sponsorship offered to two firms each day:

Monday, March 21	Tuesday, March 22	Wednesday, March 23
(1) SOLD! (1) AVAILABLE	(2) SOLD! (SOLD OUT FOR TUESDAY)	(2) AVAILABLE

GOLF TOURNAMENT - SOLD!

Exclusive sponsorship at a championship-level golf course! In designing The Ritz-Carlton Golf Club, Orlando, Grande Lakes, two-time British Open Champion Greg Norman and his team put special emphasis on preserving the area's well-balanced ecosystem, thriving with ponds, wetlands, live oaks, and cypress heads. The result is a breathtakingly beautiful course enhanced by rare natural elements. Wide fairways, strategically placed hazards, generous landing areas, and subtly contoured greens provide a challenging but fair test of a golfer's abilities.

Acknowledgment of Tournament sponsorship includes signage strategically displayed on the golf course greens as well as on tournament marketing materials which includes website, email, event app and event program materials. Sponsorship fees cover food, beverage and prizes for tournament participants as well as two complimentary foursomes for sponsoring firm. Individual greens fees are pre-paid by each participating golfer.



SILVER	SPONSORSHIP					
<p>INVESTMENT \$21,000 SIFMA Member Rate \$25,000 Non-Member Rate</p> <p>SILVER BENEFITS One Complimentary Seminar Registration Access to One Hotel Room at the Main Hotel</p>	<p>FUTURE LEADERS & FIRST TIMERS RECEPTION – SUNDAY, MARCH 20 – SOLD! Networking Reception attended by C&L Society Members who are Future Leaders of the industry with 10-15 years-experience as well as members of the Future Leaders Group of the C&L Society and First-Time participants attending the C&L Annual Seminar. SIFMA C&L Society Committee Members will be in attendance as well.</p>					
	<p>WELCOME HOSPITALITY REFRESHMENTS – SUNDAY, MARCH 20 – SOLD! Networking opportunity offering prominent brand recognition, serving a variety of healthy snacks as well as hot and cold beverages, set in the Registration/Exhibition Hall, allowing for one-on-one conversations as industry colleagues, clients and potential prospects check in for the event.</p>					
	<p>WOMEN’S LUNCHEON – MONDAY, MARCH 21 – SOLD! Networking lunch with a featured Speaker addressing issues in today’s working environment. Sponsoring firm representatives are invited to sit at one of the reserved VIP tables.</p>					
	<p>LGBTQ+ COMMUNITY RECEPTION – MONDAY, MARCH 21 – SOLD! Networking One-Hour Reception, set in an outdoor location (weather permitting), offering attendees the opportunity to come together and catchup on the day’s event in an enjoyable, informal setting. Open to all attendees.</p>					
	<p>DIVERSITY, EQUITY & INCLUSION BREAKFAST – TUESDAY, MARCH 22 – SOLD! Networking breakfast with a featured Speaker addressing Diversity & Inclusion issues in today’s working environment. Sponsoring firm representatives are invited to sit at a reserved VIP table.</p>					
	<p>MORNING NETWORKING REFRESHMENTS Co-Sponsorship offered to two firms during each networking break, set in the Registration/Exhibition Hall.</p>					
	Monday, March 21		Tuesday, March 22		Wednesday, March 23	
	Session A	Session B	Session A	Session B	Session A	Session B
	(2) AVAILABLE	(2) AVAILABLE	(2) AVAILABLE	(2) AVAILABLE	(2) AVAILABLE	(2) AVAILABLE



SILVER	SPONSORSHIP
<p>INVESTMENT \$21,000 SIFMA Member Rate \$25,000 Non-Member Rate</p> <p>SILVER BENEFITS One Complimentary Seminar Registration Access to One Hotel Room at the Main Hotel</p>	<p>PROFESSIONAL HEADSHOTS – MONDAY, MARCH 21 AND TUESDAY, MARCH 22 – AVAILABLE Whether it's for LinkedIn, social media, or any other professional opportunity, a professional headshot offers participants an opportunity to convey a positive message about themselves to future clients, employers, and event participants.</p> <p>RUN FOR A PURPOSE – MONDAY, MARCH 21 – SOLD! Morning run/walk, organized by SIFMA, offers co-branded T-Shirts and/or socks distributed to all participants, along with beverages & prizes. Donation to a TBD Charity. Details to be confirmed as program develops.</p> <p>BOOT CAMP – MONDAY & TUESDAY, MARCH 21 & 22 – AVAILABLE C&L Booth Camp is designed to offer attendees the opportunity to take their workout to the next level with a fast-paced class that mixes strength building and muscular endurance for a high intensity, workout. Modifications are always provided while individuals work at their own pace through different rounds of a variety of exercises. Participants will leave class feeling powerful and strong!</p>



SILVER	SPONSORSHIP										
<p>INVESTMENT \$21,000 SIFMA Member Rate \$25,000 Non-Member Rate</p> <p>SILVER BENEFITS One Complimentary Seminar Registration Access to One Hotel Room at the Main Hotel</p>	<p>ALUMINUM OR STAINLESS-STEEL REUSABLE STRAWS – SOLD! Co-branded on outside packaging, environmentally friendly metal straws, produced and provided by sponsoring firm, placed in attendee tote bag and distributed to all participants during registration.</p>										
	<p>INSULATED WATER BOTTLE – SOLD! Co-branded, environmentally friendly sport bottle, produced and provided by sponsoring firm, placed in attendee tote bag and distributed to all participants during registration.</p>										
	<p>ALL DAY COFFEE SERVICE Caffeine. Need we say more? Offering a variety of coffee options that include hot, iced and flavored coffee, with continuous access each day in the Exhibit Hall.</p>										
	<p>Co-sponsorship offered to two firms each day:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="background-color: #e1f5fe;">Monday, March 21</th> <th style="background-color: #e1f5fe;">Tuesday, March 22</th> <th style="background-color: #e1f5fe;">Wednesday, March 23</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">7:00 a.m. – 1:00 p.m.</td> <td style="text-align: center;">7:00 a.m. – 1:00 p.m.</td> <td style="text-align: center;">10:00 a.m. – 1:00 p.m.</td> </tr> <tr> <td style="text-align: center;">(1) SOLD! (1) AVAILABLE</td> <td style="text-align: center;">(1) SOLD! (1) AVAILABLE</td> <td style="text-align: center;">(1) SOLD! (1) AVAILABLE</td> </tr> </tbody> </table>			Monday, March 21	Tuesday, March 22	Wednesday, March 23	7:00 a.m. – 1:00 p.m.	7:00 a.m. – 1:00 p.m.	10:00 a.m. – 1:00 p.m.	(1) SOLD! (1) AVAILABLE	(1) SOLD! (1) AVAILABLE
Monday, March 21	Tuesday, March 22	Wednesday, March 23									
7:00 a.m. – 1:00 p.m.	7:00 a.m. – 1:00 p.m.	10:00 a.m. – 1:00 p.m.									
(1) SOLD! (1) AVAILABLE	(1) SOLD! (1) AVAILABLE	(1) SOLD! (1) AVAILABLE									



BRONZE

INVESTMENT

\$18,000 SIFMA Member Rate

\$21,000 Non-Member Rate

BENEFITS INCLUDE

One Complimentary Registration

Access to One Hotel Room

SPONSORSHIP

DAILY NEWSPAPERS

Daily newspapers placed in high traffic location, offering convenient access for participants each morning.

_____ **Financial Times**

_____ **New York Times**





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PREMIUM PATRON	
INVESTMENT \$13,000 SIFMA Member Rate \$16,000 Non-Member Rate	ACKNOWLEDGEMENT Premium Patrons are acknowledged with their firm logo displayed in multiple locations throughout the event venue, as well as on printed materials distributed to Seminar participants.
BENEFITS INCLUDE One 50% Discounted Seminar Registrations (Early Bird Rate) Access to One Hotel Room at the Main Hotel	
EXHIBITOR	
INVESTMENT \$10,000 SIFMA Member Rate \$13,500 Non-Member Rate	8'X10' EXHIBIT SPACE
BENEFITS INCLUDE Two Complimentary Exhibit Personnel Registration – Offers access to Exhibition Hall Only One 50% Discounted Seminar Registrations (Early Bird Rate) Access to Two Hotel Rooms at the Main Hotel	



CUSTOM BRANDED LIGHTBOX	
<p>INVESTMENT \$7,000 SIFMA Member Rate \$9,000 Non-Member Rate</p>	<p>SIFMA is offering all sponsors and exhibitors increased visibility throughout the event with our Lightbox Advertising Showcase. Sponsored Lightboxes are strategically placed in prominent locations throughout the Meeting Space and will be displayed over the full length of the Seminar. Lightboxes will be seen by your target audience as well as your competitors as they network with their clients, prospects and peers during the event.</p> <p>Includes all installation, dismantling and utility fees.</p> <p>(8) AVAILABLE - (2) SOLD!</p>
LUNCH & LEARNS - SOLD OUT!	
<p>INVESTMENT \$5,500 SIFMA Member Rate \$6,500 Non-Member Rate</p>	<p>Exclusive to contracted sponsors and exhibitors, Lunch & Learn sessions offer an opportunity to share thought leadership to a captive audience during a one-hour Lunch & Learn presentation. Lunch & Learns are promoted as an official part of the program agenda.</p> <p>All titles and session descriptions are subject to pre-approval by SIFMA. A meeting room with standard A/V as well as a hot buffet lunch will be provided to host a maximum of 50 participants during each session. Up to four sessions will run concurrently on both Monday & Tuesday, March 21 & 22.</p> <p>Monday, March 21 - (4) SOLD! Tuesday, March 22 - (4) SOLD!</p>





2019 Participating Firms

ABN AMRO Clearing Chicago LLC	Arnold & Porter Kaye Scholer LLP	Bloomberg Tradebook LLC	CellTrust Corporation
ACA Compliance Group	Ascent RegTech	BMO Capital Markets Corp.	Cetera Financial Group
Accenture Inc.	Ascent Technologies Inc.	BMO Financial Group	CFP Board
Accenture LLP	Asset Management Compliance Consulting Solutions, LLC	BMO Harris Bank	Charles River Associates
Advisor Group	Authentic8	BNP Paribas Securities Corp.	Charles Schwab & Co., Inc.
Akerman LLP	AxiomSL	BNY Mellon	Charles Schwab Corporation
Akin Gump Strauss Hauer & Feld LLP	Baker & Hostetler LLP	Boenning & Scattergood, Inc.	Charles Schwab Investment Advisory (CSIA)
Alabama Securities Commission	Baker, Donelson, Bearman, Caldwell & Berkowitz, PC	BOX Exchange LLC	China Renaissance Securities (US) Inc.
AlixPartners LLP	Ballard & Littlefield, LLP	Bracewell LLP	Choate Hall & Stewart LLP
Allen & Overy LLP	Banca IMI Securities Corp.	Bressler, Amery & Ross, P.C.	CIBC World Markets Corp.
AllianceBernstein L.P.	Bank of America Corporation	Broadridge Financial Solutions, Inc.	CION Securities, LLC
Ally Bank	Bank of America Merrill Lynch	Brownstein Hyatt Farber Schreck, LLP	Cipperman Compliance Services LLC
Ally Financial Inc.	Bank of Montreal	Burr & Forman LLP	Citadel LLC
Ally Invest	Bank of Nova Scotia	Business Insider	Citadel Securities LLC
Ally Invest Securities LLC	Bank of the West	Cadwalader, Wickersham & Taft LLP	Citi
Alston & Bird LLP	Barclays	Cahill Gordon & Reindel LLP	Citibank, N.A.
Alvarez & Marsal	Barclays Capital Inc.	Caldwell Partners	Citigroup Global Markets Inc.
Ameriprise Financial Services, Inc.	Barnes & Thornburg LLP	California Department of Business Oversight	Citigroup Inc.
Ameriprise Financial, Inc.	Barrasso Usdin Kupperman Freeman & Sarver, L.L.C.	Canadian Imperial Bank of Commerce (CIBC)	Citizens Bank
Amherst Pierpont Securities LLC	Bass, Berry & Sims PLC	Cantor Fitzgerald & Co.	Cleary Gottlieb Steen & Hamilton LLP
Analysis Group	Bates Group LLC	Capital Forensics, Inc.	Clifford Chance LLP
Ankura Capital Advisors, LLC	BBVA Securities Inc.	Capital Market Strategies	Clifford Chance US LLP
Apex Clearing Corporation	BDT & Company, LLC	Capital One Financial Corporation	Coastal Equities, Inc.
Aplomb Strategies	Benjamin F. Edwards & Co.	Capital One Investing, LLC	Cohen & Gresser LLP
AQR Capital Management, LLC	Berkeley Research Group, LLC	Capital One, N.A.	
Aragon Mediation	Bingham Greenebaum Doll LLP	Cardozo Law School	
Arctic Securities LLC	Bloomberg Law	Carrington, Coleman, Sloman & Blumenthal, L.L.P.	

2019 Participating Firms

Coinbase	Deloitte Advisory	Evercore Group LLC	Folio Investments, Inc.
Commerce Street Capital, LLC	Deloitte Transactions and Business Analytics LLP	Eversheds Sutherland	Freddie Mac
Commerz Markets LLC	Depository Trust & Clearing Corporation (DTCC)	Eversheds Sutherland (US) LLP	Fredrikson & Byron P.A.
Commerzbank AG	Deutsche Bank AG	Exane, Inc.	Fried, Frank, Harris, Shriver & Jacobson LLP
Commonfund	Deutsche Bank Securities Inc.	Exos Securities LLC	Frost Brokerage Services, Inc.
Compliance Science, Inc.	Dewey Pegno & Kramarsky LLP	ExpertSmith, LLC	FTI Consulting, Inc.
Consilio	DLA Piper	Federal Reserve Bank of New York	G1 Execution Services, LLC
Cooley LLP	DLA Piper LLP (US)	Federal Reserve Board	Geller & Company
Cornerstone Research Inc	Donovan & Rainie	Fidelity	Ghabai Law Group LLC
Cozen O'Connor	Dorsey & Whitney LLP	Fidelity Brokerage Services LLC	Gibbons P.C.
Cravath, Swaine & Moore LLP	Douglas Mediaton	Fidelity Institutional Asset Management	Gibson, Dunn & Crutcher LLP
Credit Agricole Securities (USA) Inc.	Dowd Bennett LLP	Fidelity Investments	Global Relay Communications Inc
Credit Suisse Group AG	Doyle Restrepo Harvin & Robbins LLP	Fidelity National Information Services, Inc. (FIS)	Global Relay Communications Inc.
Credit Suisse Securities (USA) LLC	Drinker Biddle & Reath LLP	Fieldpoint Private	Godfrey & Kahn, S.C.
Credit Suisse Services (USA) LLC	DriveWealth, LLC	Fifth Third Bank	Goldman Sachs & Co. LLC
Crowe & Dunlevy, P.C.	DRW Holdings, LLC	Financial Industry Regulatory Authority Inc (FINRA)	Goldman Sachs Group, Inc.
Crowell & Moring LLP	DST Market Services, LLC	Financial Industry Service Group LLC	Goodwin Procter LLP
D.A. Davidson & Co.	Duane Morris LLP	Finn Dixon & Herling LLP	Google Cloud
Daiwa Capital Markets America Inc.	Duff & Phelps LLC	First Manhattan Co.	Gordon Rees Scully Mansukhani, LLP
Dash Financial Technologies LLC	E*TRADE Financial Corp.	First Republic Bank	Grant Thornton LLP
David Lerner Associates, Inc.	E*Trade Securities LLC	First Republic Securities Company, LLC	GrayRobinson PA
Davis Polk & Wardwell LLP	Edward D. Jones & Co., L.P.	FIS	Greenberg Traurig, LLP
DCS Advisory LLC	Edward Jones	Fitch Ratings	Greenhill & Co., LLC
Deal Cloud	Electronic Transaction Clearing, Inc.	FITS Consulting	Greensfelder, Hemker & Gale, P.C.
DealCloud	Ellenoff Grossman & Schole LLP	FMR LLC	
Debevoise & Plimpton LLP	Epstein Becker & Green, P.C.	Foley & Lardner LLP	
Dechert LLP	Ernst & Young LLP		
Deloitte	Eventus Systems		
Deloitte & Touche LLP			

2019 Participating Firms

Guggenheim Partners, LLC	Intercontinental Exchange (ICE)	Kathy Adams Dispute Resolution Services	Liquidnet, Inc.
Guggenheim Securities, LLC	International Business Research	Katrina Photography	Liskow & Lewis
GX2 Systems, LLC	Intesa Sanpaolo SpA	Katten Muchin Rosenman LLP	Lloyds Banking Group
Hahn & Hessen LLP	INTL FCStone Inc.	Kean Miller LLP	Locke Lord LLP
Hanzo Archives	Inventus	Keesal, Young & Logan, P.C.	Loeb & Loeb LLP
HBR Consulting LLC	Investment News	Kelley Drye & Warren LLP	Lombardi & Donohue LLP
Hearsay Systems	Iron Mountain	Kessler & Collins P.C.	Long Term Stock Exchange
Hedley May LLP	J.J.B. Hilliard, W.L. Lyons, LLC	Kessler Collins	LPL Financial Holdings Inc.
Herbert Smith Freehills LLP	J.P. Morgan Securities LLC	Kestra Financial, Inc.	LPL Financial LLC
Hilltop Securities Inc.	Jackson National Life Distributors LLC	KeyBanc Capital Markets Inc.	LuckyStrike Securities LLC
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HSBC Holdings plc	Jenks & Harvey LLP	Kuchler Polk Weiner, LLC	Mayer Brown LLP
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HSBC Securities (USA) Inc.	Jones Day	Law Office of James A. Nofi, LLC	McDermott Will & Emery LLP
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Ice Miller LLP	Jones, Bell, Abbott, Fleming & Fitzgerald LLP	Lazare Potter Giacovas & Moyle LLP	MCG Consulting, LLC
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