



AML 2022

ANTI-MONEY LAUNDERING & FINANCIAL CRIMES CONFERENCE

MAY 25-26, 2022

MARRIOTT MARQUIS, NEW YORK CITY

SPONSORSHIP PROSPECTUS

SPONSORSHIP OPPORTUNITIES

PAST PARTICIPANTS



AML2022 SPONSORSHIP OPPORTUNITIES

Scott Kramer, Managing Director, Head of Conference Sponsorship and Exhibit Sales, SIFMA | 212.313.1119 | skramer@sifma.org

AN ANNUAL EVENT YOU CAN'T AFFORD TO MISS WITH ...

About SIFMA

SIFMA is the leading trade association for broker-dealers, investment banks and asset managers operating in the U.S. and global capital markets. On behalf of our industry's nearly 1 million employees, we advocate on legislation, regulation and business policy affecting retail and institutional investors, equity and fixed income markets and related products and services. We serve as an industry coordinating body to promote fair and orderly markets, informed regulatory compliance, and efficient market operations and resiliency. We also provide a forum for industry policy and professional development.



TESTIMONIALS FROM 2020 DELEGATES:

“Topics are relevant and timely, great to hear from the regulators and law enforcement.”

“The speakers and panelists are ALWAYS influential, high-level people in their respective organizations or responsibilities. This includes industry and regulators. The diversity of the regulators and their input / perspective is outstanding, from SEC to FINRA to DOJ, to DFS.”

“This is one of my preferred conferences. The topics are interesting, and I always leave with some good and helpful takeaways.”



An Overview of SIFMA's Anti-Money Laundering & Financial Crimes Conference

SIFMA's Anti-Money Laundering & Financial Crimes Conference continues to be the leading forum for professionals from the securities industry, regulatory agencies and law enforcement to discuss current legal and regulatory developments and priorities in the AML and financial crime space.

AML and financial crimes professionals continue to serve as a vital role within the compliance department at firms. Don't miss your opportunity to gather with colleagues and peers to see how firms are adapting to the new scrutiny, new regulations, and new questions from our regulators around the globe and join in the conversation about the path forward. Throughout the two-day program, participants will have the opportunity to hear directly from the industry's regulators; participate in closed-door breakout sessions and network with policy makers and peer compliance professionals.

The Targeted Audience includes leading experts from the financial services industry, regulatory agencies and law enforcement to discuss new trends in financial crime, emerging issues relating to anti-money laundering, elder fraud, economic sanctions and anti-bribery/anti-corruption compliance, and changes in regulatory expectations and requirements.

Industry partners with solutions in the anti-money laundering and financial crimes space are invited to participate as supporting sponsors of the event.

For On-site Attendees

SIFMA closely follows 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.

SIFMA AML 2020 ATTENDEE PROFILE



- C-Suite – 10%
- Managing Director and Senior Executive – 32%
- Vice President and Director – 39%
- General Counsel & Attorney – 9%
- Regulator – 5%
- Consultant – 5%





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SIFMA's 22nd Annual Anti-Money Laundering & Financial Crimes Conference Sponsorship Benefits

GET MAXIMUM VALUE, BROADEN YOUR REACH & PROPEL YOUR BRAND.

Applicable for all sponsorship levels:

Pre-Conference Benefits:

- Exposure to influencers and decision makers registered for the Anti-Money Laundering & Financial Crimes Conference, with prominent placement of logo and firm profile listed on the conference website, www.sifma.org/event/aml/
- Prominent placement on SIFMA's email marketing campaigns sent to influencers and decision-makers.
- Preliminary mailing list of all 2022 Anti-Money Laundering & Financial Crimes Conference registrants (name, title, firm and postal address only). List sent four weeks in advance of the Conference.*

Days of Conference Benefits:

- Complimentary and/or Discounted Conference Registration(s)
- Access to food and networking functions
- Exhibit Space which includes a Table Display & Two (2) exhibit only personnel badges
- Opportunity to provide thought leadership for inclusion in the official Anti-Money Laundering & Financial Crimes Conference Event App.
- Prominent recognition during the sponsored function (if applicable), with logo displayed on dedicated print and digital signage that is strategically placed in areas including registration area, general session slides, a sponsor recognition video loop, and more.
- Dedicated sponsor listing placed within the SIFMA Anti-Money Laundering & Financial Crimes Conference Event App, branding company logo, listing contact name and company profile.

Post-Conference Benefits:

- Final mailing list of all 2022 AML Conference registrants (name, title, firm, and postal address only.) List sent at the conclusion of the Conference.
- Logo placement on all post-event email campaigns, including attendee survey, sent to all participants.
- Listing company name, placement of logo and firm profile on SIFMA Anti-Money Laundering & Financial Crimes Conference website following the meeting for an additional three (3) months.

* 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).





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SIFMA AML2022 Sponsored Workshop Sessions

Wednesday, May 25 - **SOLD!**

Thursday, May 26 - **SOLD!**

Exclusive to contracted sponsors, SIFMA is pleased to offer an opportunity to participate on the program agenda during this year's Conference by holding a Sponsored Breakout Session which are scheduled as part of the conference program and allows you to meet face to face and share thought leadership content with new and existing clients. There are only two (2) opportunities available, and all Sponsored Breakout Sessions offered are on a first-come/first-serve basis offered to contracted sponsors only. All session titles and descriptions are subject to a pre-approval process by SIFMA.

SIFMA's AML2022 - Sponsored Workshop package offers maximum value with the following:

- Each workshop host will have the opportunity to speak exclusively to a group of up to 60 registrants
- A room will be provided that can accommodate up to 60 people
- One (1) Complimentary Speaker Registration included as part of the Sponsored Breakout Session Sponsorship. Any additional speakers must pay the full register fee for the conference via the on-line registration link.

Sponsorship Investment: \$6,500 SIFMA Member Rate / \$9,500 Non-Member Rate



Sponsored Lunch & Learn Session

Wednesday, May 25 - **SOLD!**

Thursday, May 26 - **SOLD!**

Exclusive to contracted sponsors, Lunch & Learn sessions offer an opportunity to share thought leadership to a captive audience during a one-hour Lunch & Learn presentation. Lunch & Learn sessions are promoted as an official part of the program agenda.

SIFMA's AML2022 - Sponsored Lunch & Learn Session offers maximum value with the following:

- Sponsored Lunch & Learn title and session description are subject to a pre-approval by SIFMA. A meeting room with standard A/V as well lunch will be provided to host a maximum of 50 participants during your session.
- A room will be provided that can accommodate up to 50 people
- One (1) Complimentary Speaker Registration included as part of the Sponsored Lunch & Learn Session. Any additional speakers must pay the full register fee for the conference via the on-line registration link.

Sponsorship Investment: \$6,500 SIFMA Member Rate / \$9,500 Non-Member Rate





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DIAMOND SPONSORSHIP

Investment:

- \$20,000 SIFMA Member Rate
- \$22,500 Non-Member Rate

Benefits Include:

- Four (4) Complimentary Conference Registrations
- Table Display and Two (2) Table Staff Badges for the duration of the Conference

PLATINUM SPONSORSHIP

Investment:

- \$16,000 SIFMA Member Rate
- \$18,500 Non-Member Rate

Benefits Include:

- Three (3) Complimentary Conference Registrations
- Table Display and Two (2) Table Staff Badges for the duration of the Conference

GOLD SPONSORSHIP

Investment:

- \$13,000 SIFMA Member Rate
- \$15,500 Non-Member Rate

Benefits Include:

- Two (2) Complimentary Conference Registrations
- Table Display and Two (2) Table Staff Badges for the duration of the Conference

SILVER SPONSORSHIP

Investment:

- \$10,500 SIFMA Member Rate
- \$13,000 Non-Member Rate

Benefits Include:

- One (1) Complimentary Conference Registration
- One (1) Discounted Member Rate Conference Registration
- Table Display and Two (2) Table Staff Badges for the duration of the Conference

SIFMA does NOT guarantee any Speaking opportunities as part of a Sponsorship Benefit's package offered.



DIAMOND	SPONSORSHIP	AVAILABILITY
<p>INVESTMENT: \$20,000 SIFMA Member Rate \$22,500 Non-Member Rate</p> <ul style="list-style-type: none"> • Four (4) Complimentary Conference Registrations • Table Display and Two (2) Table Staff Badges for the duration of the Conference 	<p>Wednesday, May 25 SIFMA AML Committee Dinner</p> <p>Private VIP Dinner set in a relaxed atmosphere offering invited guests the opportunity to come together and enjoy an evening of good food and conversations with new and existing business associates. This event will host approximately 25-30 senior leaders representing SIFMA's AML Committee Members, Speakers and other VIP's in attendance, this is an exclusive by-invitation only event and all dinner logistics, including menu selection, venue, invitations and RSVP lists are managed by SIFMA Staff Advisors.</p> <p>Speaking opportunities are not included as part of the sponsorship benefits package.</p>	<p>SOLD!</p>



PLATINUM	SPONSORSHIP	AVAILABILITY
<p>INVESTMENT: \$16,000 SIFMA Member Rate \$18,500 Non-Member Rate</p> <ul style="list-style-type: none"> • Three (3) Complimentary Conference Registrations • Table Display and Two (2) Table Staff Badges for the duration of the Conference 	<p>Evening Reception, Wednesday, May 25</p> <p>The AML2022 Welcome Reception, open to all conference participants, is the gathering place for all participants to come together and catch up with colleagues, new and old set in the Sponsors Showcase area and includes food stations, passed hors d'oeuvres and open bar.</p>	<p>SOLD!</p>
	<p>Networking Luncheon</p> <p>Networking Luncheon, open to all conference participants, allows for one-on-one conversations with industry colleagues, clients and potential prospects offering a sponsoring firm prominent brand recognition.</p>	<p>WEDNESDAY, MAY 25 SOLD! THURSDAY, MAY 26 SOLD!</p>
	<p>Mobile App</p> <p>The SIFMA AML2022 Mobile App offers a sponsoring firm maximum exposure with branding on the Mobile App. This exclusive sponsorship opportunity is a downloadable app, at no additional cost to conference attendees. The Mobile App offers easy access to all program materials including the meeting agenda, schedule, speaker bios, attendee list, sponsors as well as an audience response feature used throughout the event during general session presentations.</p>	<p>AVAILABLE</p>
	<p>Wi-Fi for Conference Attendees</p> <p>Wi-Fi availability for all conference participants during event sessions accessible for the duration of the event. Offering sponsoring firm an opportunity to customize the SSID password for access as well as acknowledgement of sponsoring firm included on a re-directed splash page, on program materials and print and digital signage.</p>	<p>AVAILABLE</p>



GOLD	SPONSORSHIP		AVAILABILITY													
<p>INVESTMENT: \$13,000 SIFMA Member Rate \$15,500 Non-Member Rate</p> <ul style="list-style-type: none"> • Two (2) Complimentary Conference Registrations • Table Display and Two (2) Table Staff Badges for the duration of the Conference 	<p>CO-SPONSORSHIP GENERAL SESSION AUDIO VISUAL, MAY 25-26</p> <p>Prominent brand recognition of sponsorship included on General Session slide deck, viewed by all attendees as they enter the Ballroom.</p> <p>Networking Refreshments Break</p> <p>Networking Refreshments, hosted in the Sponsor Showcase Area, allowing for one-on-one networking opportunities with industry colleagues and prospects, offering sponsoring firm prominent brand recognition.</p> <table border="1" data-bbox="596 686 1934 808"> <thead> <tr> <th colspan="2">MORNING</th> <th colspan="2">AFTERNOON</th> </tr> <tr> <th>WEDNESDAY, MAY 25</th> <th>THURSDAY, MAY 26</th> <th>WEDNESDAY, MAY 25</th> <th>THURSDAY, MAY 26</th> </tr> </thead> <tbody> <tr> <td>AVAILABLE</td> <td>AVAILABLE</td> <td>AVAILABLE</td> <td>AVAILABLE</td> </tr> </tbody> </table>		MORNING		AFTERNOON		WEDNESDAY, MAY 25	THURSDAY, MAY 26	WEDNESDAY, MAY 25	THURSDAY, MAY 26	AVAILABLE	AVAILABLE	AVAILABLE	AVAILABLE	<p>TWO (2) AVAILABLE</p>	
MORNING		AFTERNOON														
WEDNESDAY, MAY 25	THURSDAY, MAY 26	WEDNESDAY, MAY 25	THURSDAY, MAY 26													
AVAILABLE	AVAILABLE	AVAILABLE	AVAILABLE													
	<p>Continental Breakfast</p> <p>Networking opportunity offering prominent brand recognition, serving a variety of healthy breakfast choices along with hot & cold beverages, set in the Sponsor Showcase, allowing for one-on-one conversations with industry colleagues, clients and potential prospects.</p>		<p>WEDNESDAY, MAY 25 AVAILABLE</p> <p>THURSDAY, MAY 26 AVAILABLE</p>													



SILVER	SPONSORSHIP	AVAILABILITY
<p>INVESTMENT: \$10,500 SIFMA Member Rate \$13,000 Non-Member Rate</p> <ul style="list-style-type: none"> • One (1) Complimentary Conference Registration • One (1) Discounted Member Rate Conference Registration • Table Display and Two (2) Table Staff Badges for the duration of the Conference 	<p>Charging Station</p> <p>The AML Charging Station is set in the Sponsor Showcase area, offering conference participants the option to charge their personal devices while attending sessions or networking throughout the event.</p>	<p>SOLD!</p>
	<p>Hotel Room Key Cards</p> <p>Co-Branded Hotel Room Key Cards produced by SIFMA and distributed to all participants during hotel registration.</p>	<p>SOLD!</p>
	<p>Attendee Lanyard</p> <p>What better way to leave an impression than to see 400+ attendees wearing your firm's name/logo around their neck for the duration of the conference? Name badge lanyards are worn around the neck of each attendee to gain access to sessions. Co-Branded, SIFMA pre-approved lanyard produced by sponsoring firm and distributed with registration materials to all conference participants.</p>	<p>SOLD!</p>

*SIFMA policy dictates that all branded sponsorship items must include SIFMA logo or the "Proud Support of SIFMA" creative. Creative guidelines will be included with final invoice.





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2020 PARTICIPATING FIRMS

- Ally Bank
- Ally Financial Inc.
- Ally Invest
- Ally Invest Securities LLC
- American Banker
- American Stock Transfer & Trust Company, LLC
- Ameriprise Financial Services, Inc.
- Ameriprise Financial, Inc.
- AML Audit Services, LLC
- Apex Clearing Corporation
- Arizona Corporation Commission Securities Division
- Aviva Investors Americas LLC
- Axos Clearing LLC
- Baird
- Bank of America Corporation
- Bank of America Merrill Lynch
- Bank of New York Mellon
- Bank of Nova Scotia
- Barclays
- Barclays PLC
- BasisCode Compliance, LLC
- Bates Group LLC
- Behavox
- Benjamin F. Edwards & Co.
- Bloomberg News
- BNP Paribas
- BNY Mellon
- BNY Mellon | Pershing
- BNY Mellon Investment Management
- BNY Mellon Securities Corporation
- BofA Securities, Inc.
- BrokerTec Americas LLC
- Brown Brothers Harriman & Co.
- BTIG, LLC
- Cadwalader, Wickersham & Taft LLP
- Canadian Imperial Bank of Commerce (CIBC)
- Capital One Financial Corporation
- Capital Research and Management Company
- Carta, Inc.
- Chainalysis Inc.
- Charles Schwab & Co., Inc.
- Charles Schwab Corporation
- CICC US Securities, Inc.
- Citi
- Citibank, N.A.
- Citigroup Global Markets Inc.
- Citigroup Inc.
- Clear Street, LLC
- Comerica Bank
- Compliance Support Services
- Continental Stock Transfer & Trust Company
- Credit Suisse Group AG
- Crowe LLP
- Danske Markets
- Davenport & Company LLC
- Debevoise & Plimpton LLP
- Deloitte & Touche LLP
- Depository Trust & Clearing Corporation (DTCC)
- Dow Jones & Co Inc
- DTCC
- Duane Morris LLP
- E*TRADE Financial Corp.
- Edward D. Jones & Co., L.P.
- Edward Jones
- Equitable Advisors, LLC
- Ernst & Young LLP
- Euroclear Bank SA/NV
- Evercore Group LLC
- Eversheds Sutherland (US) LLP
- Exiger
- Federal Bureau of Investigation (FBI)
- Federal Reserve Bank of New York
- Fidelity
- Fidelity Brokerage Services LLC
- Fidelity Institutional
- Fidelity Investments
- Fidelity Management & Research Company
- Fidelity National Information Services, Inc. (FIS)
- Fieldpoint Private Securities, LLC
- Financial Advisor IQ
- Financial Crimes Enforcement Network (FinCEN), US Department of the Treasury
- Financial Industry Regulatory Authority Inc (FINRA)



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2020 PARTICIPATING FIRMS

Financial Transactions and Reports Analysis Centre of Canada (FINTRAC)
First Republic Bank
Firstrade Securities Inc.
FIS
Fiserv Inc
FMR LLC
Frost Brokerage Services, Inc.
FTI Consulting, Inc.
Gibson, Dunn & Crutcher LLP
Gilder Gagnon Howe & Co. LLC
Goldman Sachs & Co. LLC
Government of Canada
Guggenheim Partners, LLC
Guidehouse
Hilltop Holdings Inc.
HSBC Securities (USA) Inc.
Insigneo Securities, LLC
Interactive Brokers LLC
Investment Industry Regulatory Organization of Canada (IIROC)
J.P. Morgan Securities LLC
Jane Street Capital, LLC
Janney Montgomery Scott LLC
Jefferies LLC
JMP Securities LLC
JPMorgan Chase & Co.
Jump Trading, LLC

Katten Muchin Rosenman LLP
Law360
Lincoln Financial Group
Lincoln Investment Planning, Inc.
Lord, Abbett & Co. LLC
Lowenstein Sandler LLP
LPL Financial Holdings Inc.
LPL Financial LLC
Macquarie Capital (USA) Inc.
Market Watch
MarketAxess Corporation
Maxim Group LLC
McGuireWoods LLP
Mizuho
Mizuho Bank, Ltd.
MML Investors Services, LLC
Morgan Stanley
Morgan Stanley Fund Services Inc.
Morgan, Lewis & Bockius LLP
NASDAQ
National Futures Association (NFA)
Nationwide
NatWest Markets
Neuberger Berman Group LLC
New York Department of Financial Services
New York Life Insurance Company
Nixon Peabody LLP

Nomura
Nomura Holding America Inc.
Nomura Holdings, Inc.
Options Clearing Corporation
Other
Performance Trust Capital Partners, LLC
Pershing LLC, a BNY Mellon Company
PFS Investments Inc.
PIMCO
Piper Sandler & Co.
Primerica
Protiviti
Prudential Financial, Inc.
Raymond James & Associates, Inc.
Raymond James Financial, Inc.
RBC Capital Markets, LLC
RBC Wealth Management
Relativity
Robert W. Baird & Co. Incorporated
Robinhood Financial, LLC
Royal Bank of Canada (RBC)
Russell Investments
Sanford C. Bernstein & Co., LLC
Schulte Roth & Zabel LLP
Shearman & Sterling LLP
Sheppard, Mullin, Richter & Hampton LLP
Sidley Austin LLP



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2020 PARTICIPATING FIRMS

SIX Financial Information USA Inc.
Smarsh
SMBC Nikko Securities America, Inc.
Societe Generale
Societe Generale Corporate & Investment Banking
Splunk Inc.
Stifel Financial Corp.
Stifel, Nicolaus & Co., Inc.
StoneTurn Group LLP
StoneX Financial Inc.
Synovus Securities, Inc.
TD Ameritrade Holding Corporation
TD Bank
TD Wealth

The Huntington Investment Company
The Northern Trust Company
Thrivent Financial
TigerGraph
Truist Bank
Truist Financial Corporation
U.S. Bancorp Investments, Inc.
U.S. Commodity Futures Trading Commission (CFTC)
U.S. Department of Homeland Security
U.S. Government Accountability Office (GAO)
UBS Wealth Management
US Securities and Exchange Commission (SEC)
VALIC Financial Advisors, Inc.

Vanguard
Vanguard Group, Inc.
Virtu Financial
Waddell & Reed Investment Management Co.
Wedbush Securities Inc.
Wells Fargo
Wells Fargo Advisors
Wells Fargo Bank
Western International Securities, Inc.
Westpac Banking Corporation
William Blair
WilmerHale
Wintrust Wealth Management
Zanbato Securities LLC

About SIFMA

SIFMA is the leading trade association for broker-dealers, investment banks and asset managers operating in the U.S. and global capital markets. On behalf of our industry's nearly 1 million employees, we advocate on legislation, regulation and business policy, affecting retail and institutional investors, equity and fixed income markets and related products and services. We serve as an industry coordinating body to promote fair and orderly markets, informed regulatory compliance, and efficient market operations and resiliency. We also provide a forum for industry policy and professional development. SIFMA, with offices in New York and Washington, D.C., is the U.S. regional member of the Global Financial Markets Association (GFMA). For more information, visit <http://www.sifma.org>.

