COMPLIANCE NEWS, GUIDANCE & BEST PRACTICES

IAWatch

A service of: **Regulatory Compliance** Watch

# 2019 EVENT SPONSORSHIP OPPORTUNITIES

Become a partner of *IAWatch* and network with hundreds of Investment Adviser Compliance professionals hungry for your solutions!

## 2019 IA WATCH CONFERENCES

**21ST ANNUAL**
**IA Compliance** — *The Full 360° View East*

March 7-8, 2019
**The Mayflower • Washington, DC**

**11TH ANNUAL**
**IA Compliance** — *The Full 360° View Southwest*

June 7, 2019
**The Fairmont Dallas • Dallas, TX**

**19TH ANNUAL**
**Commitment to Compliance**

September 16, 2019
**The Inn at Penn • Philadelphia, PA**

# *Reserve your package today!*

For full details and pricing on sponsorship and exhibitor opportunities, or to create a custom package, please contact **ANDREA TROUT** at **atrout@iawatch.com** or **301-675-4262**.

# SHOWCASE YOUR COMPANY

When you partner with I*A Watch*, you reach hundreds of Chief Compliance Officers, Compliance Officers, In-House Legal & Compliance Personnel, General Counsel, Outside Counsel, Senior Officers and Executives, CFOs, Owners/Presidents, Senior VPs and financial professionals working in companies of all sizes and sectors. Connect with new customers, generate qualified leads, and gain measurable investment return with our strategic partnerships.

1. **Get** in front of the industry's smartest CCOs, senior executives and compliance professionals.
2. **Network** with key compliance decision-makers and turn meaningful conversations into hot leads.
3. **Gain** access to a diverse audience looking for hard-hitting solutions.
4. **Ensure** that you have access to compliance professionals and management executives who have the resources to seek out innovative products and services for their firms.
5. **Close** deals on the spot and turn prospects into clients.

## COMPLIANCE CONFERENCES DECISION-MAKERS BY TITLE

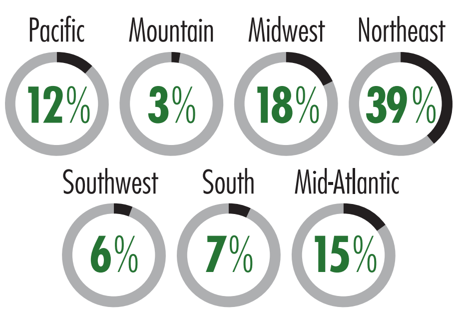
**56%** CHIEF COMPLIANCE OFFICER

**30%** COMPLIANCE OFFICER

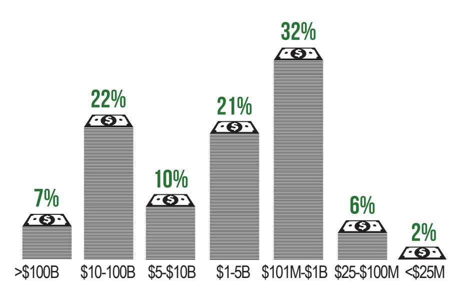
**8%** SENIOR EXECUTIVES (PRESIDENT/CEO/CFO)

**6%** GENERAL COUNSEL

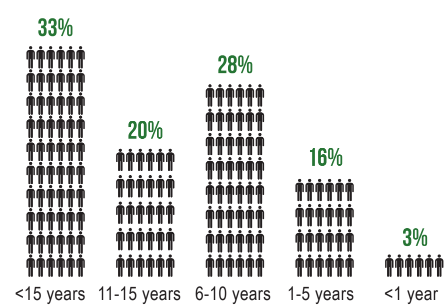
## INVESTMENT ADVISER ATTENDEES BY REGION:




## INVESTMENT ADVISER ATTENDEES BY ASSET SIZE:




## COMPLIANCE PROFESSIONAL ATTENDEES BY INDUSTRY EXPERIENCE:




# VOICES OF INFLUENCE...

"Amazing speakers and experts. The subject matter covered was highly relevant, timely and informative. Excellent workbook and materials. Good job!"

– David Angerbauer, Durham Jones & Pinegar

"The IA Watch conferences provided more practical, ready-to-use compliance solutions than any other conference I have attended in recent memory."

– Bryan Freisinger, First Allied Advisory Services, Inc.

"The panel setting worked well and encouraged good dialogue. Lots of real-world examples provided. This was very helpful and informative!"

– Diane Cortese, Principal Global Investors

## READY TO TALK?


**ANDREA TROUT**
*Conference Relationship Manager*
301-675-4262 or atrout@iawatch.com

# SPONSORSHIPS & PACKAGES

## SPONSORSHIP OPPORTUNITIES

Get maximum exposure to showcase your solutions and to connect with decision-maker attendees through exclusive Sponsorships. Prices vary by event.

### LANYARD & BADGE
Guarantee traffic to your booth with a custom-branded lanyard.

### THOUGHT LEADERSHIP BREAKFAST
(360° East only)
Address all decision-makers at once during a peer-to-peer, best practice and idea swapping session over breakfast. You have the opportunity as the sponsor to address the audience before the session begins and participate with the moderator.

### NETWORKING BREAKS
Network with decision-makers during your custom branded refreshment breaks.

### LUNCHEON DAY
Network with decision-makers during your custom branded lunch.

### WELCOME COCKTAIL RECEPTION
(360° East only)
Network with decision-makers during your custom branded welcome reception.

### CREATE YOUR OWN SPONSORSHIP
Have an idea that isn't listed here? Let us know what you envision and we'll work with you to make it happen.

## EXHIBITOR MARKETING OPPORTUNITIES

Reach the decision-makers away from your booth.

### DIRECT MAIL ATTENDEE LIST
Reach decision-makers and showcase your solutions beyond your booth after the event by securing the direct mail attendee list.

### DIRECT MAIL ATTENDEE LIST WITH E-MAILS
Reach decision-makers and showcase your solutions beyond your booth after the event by securing the direct mail attendee list with e-mails included.

### ADVERTISING E-MAIL SENT TO ATTENDEES
Get your solutions-focused message out to decision-maker attendees before the event begins or right after by having us send out your custom message to drive traffic to your booth. (HTML template must be provided by exhibitor and messaging approved by the conference chair.)

### GENERAL SESSION SEAT DROP
Drive more traffic to your booth by getting your solutions-focused message in all of the decision-maker attendee hands during the general session.

### PRE-EVENT E-BULLETIN
The e-Bulletin is delivered to all pre-registered attendees. The bulletin provides the attendee with regular updates around sessions, speakers, and any networking activities. The e-Bulletin upgrade includes Company name and logo listed on each bulletin (3 on average), 50-word description, and hyperlink to either your corporate website or your online profile.

### REUSABLE WATER BOTTLES
Your company logo imprinted on reusable water bottles given to conference attendees, providing exposure throughout the conference and after as well.

### PARKING VALIDATION
Each attendee will be instructed to get their parking validated at your table, leading to valuable 1:1 interactions with potential customers.

### BREAKOUT SESSION SEAT DROP
(360° East only)
Drive more traffic to your booth by getting your solutions-focused message in decision-maker attendee hands during a targeted breakout session.

### CONFERENCE WORKBOOK AD
Send home your solution-focused message to all decision-maker attendees in the conference workbook. When you follow up, they'll already have your information in their hands.
(Full page ad.)

### ADVERTISING SLIDE ON SESSION STAGES
Sell your solutions on the big screen to drive more traffic to your booth.

### TOTE BAGS
The official tote bag is designed for a company seeking extensive visibility. The opportunity ensures that your company's name stands out. Company logo will be featured on every tote bag distributed to all conference participants.

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# EXHIBITOR PACKAGES

## EXHIBITOR OPPORTUNITIES

| Benefit | Premium | Plus | Basic |
|---|---|---|---|
| Booth Space | ✓ | ✓ | ✓ |
| Logo with Click-thru on Event Site | ✓ | ✓ | ✓ |
| Company Info in Conference App | ✓ | ✓ | ✓ |
| Advertising E-mail Sent to Attendees (Pre- or Post-event) | ✓ | ✓ | |
| Attendee List* | Full | Partial | Partial |
| Ad on Conference App (Full-Page) | ✓ | | |
| General Session Ad Seat Drop | ✓ | | |
| Advertising Slide on Session Stages | ✓ | | |
| # of Conference Registrations Included | 3 | 2 | 1 |
| Additional Registrants (from your firm) | $500 | $600 | $700 |
| **Event Price (1 or 2 Days)** | **Call for Pricing** | **Call for Pricing** | **Call for Pricing** |

**Partial attendee list** *includes company name, city and state;* **Full attendee list adds** *delegate name, title, address, phone and e-mail address.*

**Multi-Event Pricing - Interested in exhibiting at more than one event? Call for multi-event pricing.**

## PAST SPONSORS & EXHIBITORS INCLUDED:

AGIO · Alaric Compliance Services · BasisCode Compliance · Chicago Clearing Corporation · compliance risk concepts · CCLS Core Compliance & Legal Services, Inc. · Fairview Investment Services · Gordian Compliance Solutions · Global Relay · RRS Manage Through Change · Starkweather & Shepley Insurance Brokerage Inc. · TD Ameritrade · Winquest Engineering Corporation

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# SPONSOR AN RCW WEBINAR

## INCREASE YOUR REACH • GENERATE LEADS • BE A THOUGHT LEADER

Our sponsored webinars reach an exclusive audience of highly influential community of compliance professionals and decision makers

Regulatory Compliance Watch attendees include Compliance Officers, In-House Legal & Compliance Personnel, General Counsel, Outside Counsel, Senior Officers, Principals, Chief Financial Officers, Owners & Presidents, and Senior VPs working at top Fortune 1000 companies.

## OPTION #1 - RCW WEBINARS

### WEBINAR BENEFITS

| Benefit | Opt #1 | Opt #2 |
|---|---|---|
| RCW editors lead the topic creation and speaker sourcing while our Marketing team manages all promotion | ✓ | |
| Maximum leads guarantee with contact information that can be used for your own sales and marketing follow-up | ✓ | ✓ |
| Logo with link to your website on RCW's webinar page | ✓ | ✓ |
| Sponsor may give brief 1-2 minute welcome at beginning of webinar | ✓ | |
| A link to your website included in all marketing messages to registered attendees before, during and after the webinars | ✓ | ✓ |
| Sponsor can provide 50-word message to be included in the "Thank You" e-mail sent to registered attendees after the webinar | ✓ | |
| Verbal recognition of your sponsorship during the live webinars as well as inclusion of your logo on slides throughout the webinars | ✓ | |
| Webinar provided on-demand for two years on www.regcompliancewatch.com | ✓ | ✓ |
| Sponsor mention and / or logo included in social media webinar promotion | ✓ | ✓ |
| Company logo with link on all emails promoting the webinar | ✓ | |
| Brand exposure to RCW's members | ✓ | ✓ |

### WEBINAR TOPICS

| Month | Topic Subject |
|---|---|
| February 2019 | Form ADV |
| March 2019 | SEC Exams |
| April 2019 | Business Continuity Planning |
| May 2019 | Advertising/Marketing |
| June 2019 | Robo-Advisers |
| September 2019 | Anti-money Laundering |
| October 2019 | Ethics |
| November 2019 | Compliance Best Practices |

**CLE/CPE credits available with attendance*

## OPTION #2 - CLIENT-ASSISTED WEBINARS

Submit a relevant, educational topic, provide your own expert speaker and work closely with our production staff to get your webinar up and running. We will provide the presentation tool, the targeted marketing as well as provide a professional moderator and source additional speakers. This option is great for those who want to showcase their expertise in their industry. Your topic must be educational in scope and provide business knowledge, solutions and real-world information.

## OPTION #3 - WEBCAST PROMOTION

We promote your webcast to our members

| Benefit |
|---|
| • Marketing only—no lead guarantee |
| • Brand exposure to RCW's members |
| • We do the creative and run a custom marketing campaign for your webcast that includes an e-Newsletter ad and 4 dedicated E-mail promotions to our audience |
| • We'll assist in copy review, slide generation and provide experience and expertise to assure a successful webcast |
| • Promotion and brand exposure on social media |
| • Get valuable feedback by asking this audience up to four questions for your webcast via the registration page and polling questions during the live webcast |
| • Promotion on www.regcompliancewatch.com |

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# RCW READERSHIP

**Regulatory Compliance Watch** is the leading source for authoritative answers to your toughest IA, BD, CPO/CTA and private fund compliance questions. It delivers up-to-the-minute news, exclusive analysis and proven best practices, comprehensive compliance tools you can use and a network of compliance peers standing at the ready to assist you.

**Regulatory Compliance Watch** draws on the experiences and best practices of peers in the financial services industry like you and harnesses the best journalistic and research expertise available to create the most comprehensive information tool for compliance professionals working in the financial services industry.

## READERSHIP BY TITLE

**55%** CHIEF COMPLIANCE OFFICER

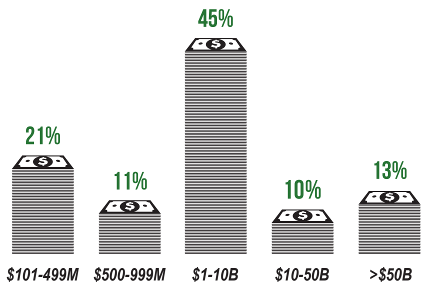
**20%** COMPLIANCE OFFICER

**16%** I WEAR MULTIPLE HATS

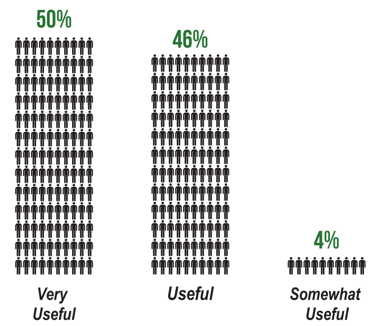
**7%** GENERAL COUNSEL

**2%** OWNER/PRESIDENT/CEO

## BY FIRM'S AUM




## HOW USEFUL DO YOU CONSIDER RCW CONTENT?




# VOICES OF INFLUENCE...

"It is a must read for Compliance professionals."

"I love knowing what the SEC did and how that could impact me. "

"The content is terrific.  I love the toolbox as well as insights from other CCOs. "

"Condensed and well- written articles about compliance issues.  The Tool Box has some good resources. "

"Great topical stories from those on the front lines of compliance. One-stop-shop to stay updated on compliance matters and pending current regulations. "

"I feel I can stay current on industry changes by reading the weekly newsletter.  Shortens my time reading the same information, not as precisely, in other places. "

# PAST ATTENDING COMPANIES

1 Confirmed Attendee | 2 Confirmed Attendees | 3+ Confirmed Attendees

337 Frontier Capital
57 Stars LLC
Abry Partners, LLC
Aetna Asset Advisors LLC
AIG Investments
Alaric Compliance Services LLC
Allegheny Financial Group
Allianz Investment Management LLC
Alterna Capital Partners, LLC
Ameriprise Financial Services
Bayard Asset Management, LLC
BCBSM, Inc.
BDT & Company LLC
Bedel Financial Consulting Inc.
Berman Capital Advisors, LLC
BIG Investment Services
Braddock Financial Corp.
Brandywine Global
Bridge Capital Associates
Bridgewater Associates LP
Brightstar Capital Partners
C.J. Lawrence
Cain Watters & Assoc PLLC
Calvert Street Capital Partners, Inc.
Carousel Capital
City of London Investment Management
Collins Advisors, LLC
Columbia Capital Management LLC
Columbus Investment Advisory
Compton Wealth Advisory Group, LLC
Councilor, Buchannan & Mitchell
Covington Investment Advisors, Inc.
DCR Consulting Services, LCC
Dearborn Partners LLC
DRA Advisors
Duff & Phelps
Dziura Compliance Consulting
Eagle Point Credit Management LLC
East End Advisors LLC
EJF Capital LLC
Elleverage Inc.
Endeavour Capital Advisors Inc.
Fairhaven Financial Advisory Corp.
Fairview Investment Services
Fayez Sarofim & Co.
Financial Coach
First Affirmative Financial Network
FIS Group, Inc.
Flexible Plan Investments, Ltd.
Franklin Templeton Investment
Frazier Financial Advisors
Front Street Capital Management
FS Investments
Galapagos Partners, LP
Galliard Capital Management
Gardner Lewis Asset Management, LP
Godfrey & Kahn, SC
Grubman Wealth Management
Hardin Compliance Consulting
HCI Equity Partners
Howard Financial Services, Ltd.
ICMA-RC
Independence Capital Partners
Integrated Financial Group
Intercontinental Exchange
Inverness Graham Investments
Island Capital Group LLC
Juggernaut Management, LLC
Keen Wealth Advisors
Knightsbridge Advisers LLC
Lee Equity Partners, LLC
Leerink Capital Partners
Legal & General Investment Management Am
LeGaye Law Firm P.C.
Logan Circle Partners, L.P.
Loring, Wolcott & Coolidge
Lovell Minnick Partners LLC
LVZ Advisors, Inc.
MACL Compliance Consulting, LLC
Madiaon International Realty LLC
Mairs & Power Inc.
Mak Capital One, LLC
Mass Mutual Financial Group
Massey Quick Simon & Co., LLC
McDonnell Investment Management LLC
MEAG NY Corporation
Millennium Management LLC
MKD Wealth Coaches
Money Managers Advisory Inc.
Moreton Asset Management, LLC
MPM Wealth Advisors
Mutual of America
MV Financial
National Investment Services Inc.
O.N. Investment Management Company
Opus Investment Mgmt. Inc.
PA Department of Banking and Securities
Penn Investment Advisors
Pine Street Financial Group
PNC Capital Advisors, LLC
Portfolio Strategies Inc.
Prelude Capital
Principal Global Investors
ProShare Advisors, LLC
Prudent Management Associates
Redwood Investments, LLC
Registered Advisor Services
Reilly Financial Advisors, LLC
RMB Capital Management, LLC
Rockwood Wealth Management
Rossmore Private Capital, LLC
Rothchild Capital Partners, LLC
S & T Bank
SBB Research Group
Schafer Cullen Capital Management Inc.
Scout Investment Advisors
Seaport Capital, LLC
Sequoia Financial Advisors, LLC
Signature Family Wealth
Skylands Capital LLC
Sound Shore Management Inc.
Starr Investment Holdings, LLC
Strategy Asset Managers LLC
Summit Financial Consultants, Inc.
Summit Global Investment
SunTrust Advisory Services, Inc
The Swartmore Group, Inc.
Trumbower Financial Advisors, LLC
US Asset Management
USBancorp Fund Services
Valley View Consulting
Vigilant Compliance, LLC
VIP Capital Management, L.P.
Wafra Investment Advisory Group Inc
Waldron Private Wealth
Westfield Capital Management Company, LP
Willamette Financial Advisors
Wingate Wealth Advisors, LLC