

# IAA Sponsorship Prospectus



The IAA offers opportunities to its Associate Members to take part in sponsorship and exhibition engagements throughout the year. As a participant in these programs, your organization directly supports the IAA mission and shows its commitment to serving investment advisers.

We invite you to look through the options in this prospectus, which lays out the items that are open for participation. We've listed the types of topics, or track, for each event type, so you can identify the opportunities that will best serve your business and most effectively reach your intended audience.

Our goal is to let Associate Members choose a number of different engagements and craft a unique IAA partnership. If there are multiple offerings that interest you, we are happy to work together to tailor a discounted partner package based on your goals. Depending on the level of participation, your firm will be recognized as an IAA Partner at the Silver, Gold, Platinum, or Diamond tier and receive certain additional benefits.

If your firm is interested in any sponsorship, exhibition, or customizing a partner package, please reach out to Alex Ioannidis, *Manager, Marketing & Partnerships* at [alex.ioannidis@investmentadviser.org](mailto:alex.ioannidis@investmentadviser.org) or (202) 507-7212.

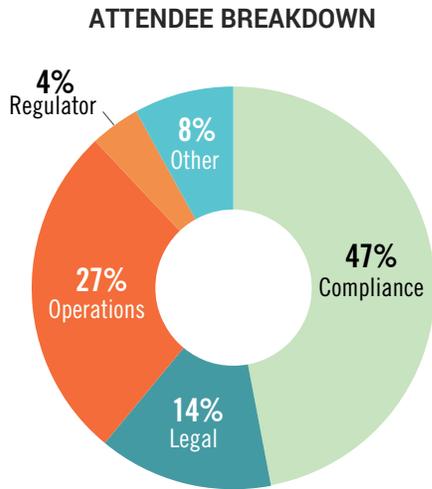
# Compliance Conference

TRACK: Legal/Regulatory/Compliance

The IAA's annual Investment Adviser Compliance Conference is a comprehensive two-day program that provides investment advisers with the most current information available on the changing regulatory landscape. Participants return to their firms with practical insights and knowledge of best practices to help them maintain a successful compliance program. The conference covers a wide range of compliance issues, both in plenary sessions and in numerous breakout sessions.

Participation as a Sponsor or Exhibitor allows your organization to demonstrate your offerings and abilities to assist asset managers and compliance officers in improving their business practices. Interact one-on-one with CCOs, in-house counsel and other key decision-makers at a diverse range of investment advisory firms, fund managers and industry service providers. This event is widely considered to be the premier conference for advisory firm compliance professionals, and welcomes over 450 attendees annually.

Participate as a Sponsor or Exhibitor at the Compliance Conference	
Opportunities range from \$4,000 - \$12,000	
<b>Branding Sponsor Items</b>	<ul style="list-style-type: none"> <li>• Lanyard</li> <li>• Conference Tote Bag</li> <li>• Hotel Key Card</li> <li>• Bag Insert</li> </ul>
<b>Technology Sponsor Items</b>	<ul style="list-style-type: none"> <li>• Conference Mobile App</li> <li>• Charging Stations</li> <li>• WiFi Access</li> </ul>
<b>Sub-Event Sponsorships</b>	<ul style="list-style-type: none"> <li>• Welcome Reception Sponsor</li> <li>• Lunch Sponsor</li> <li>• Breakfast Sponsor</li> </ul>
<b>Exhibit Hall Package</b>	



For specific price and sponsor benefits listings contact [alex.ioannidis@investmentadviser.org](mailto:alex.ioannidis@investmentadviser.org) for more information.

## Thank you to our past Compliance Conference Sponsors:

LEAD SPONSOR



SUPPORTER



OTHER SPONSORS



EXHIBITORS

ACA Compliance Group, Atlantic Fund Services, BasisCode, Bates Group, BBD, Broadridge, Cipperman Compliance Services, Core Compliance & Legal Services, Hardin Compliance Consulting, Millennium Trust Company, Nasdaq, NCS Regulatory Compliance, National Regulatory Services, Quest CE, Red Oak Compliance Software, Renaissance Regulatory Services, RIA in a Box, Six Lambda, Vigilant

# Leadership Conference

**TRACK: Business Practice/Strategy**

The Leadership Conference – *View for the C-Suite* – brings together top level executives from investment advisory firms across the nation and provides a special opportunity to explore industry trends, exchange ideas, and develop valued relationships with IAA members and other SEC-registered investment advisers. The program is designed to address the biggest challenges facing investment advisers, featuring nationally known speakers at the tops of their fields. Executives join colleagues who are from similar firms or who share similar business interests to discuss – with industry experts and with one another – the issues that challenge them.

As a Sponsor or Exhibitor, you will have the opportunity to reach senior level executives and decision makers of leading SEC-registered investment adviser firms in a more intimate setting.

## Participate as a Sponsor or Exhibitor at the Leadership Conference

Opportunities range from \$4,000 - \$15,000

- Branding Sponsor Items**
- Lanyard
  - Conference Tote Bag
  - Hotel Key Card
  - Bag Insert

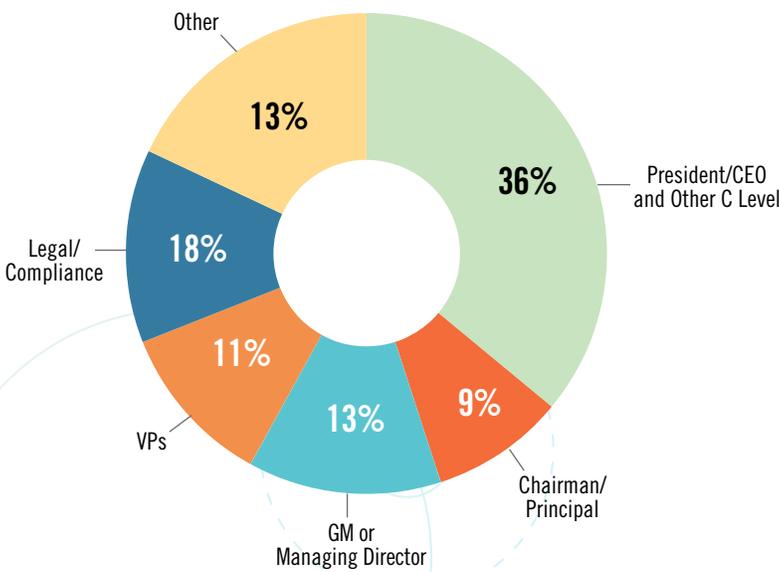
- Technology Sponsor Items**
- Conference Mobile App
  - Charging Stations
  - WiFi Access

- Sub-Event Sponsorships**
- Welcome Reception Sponsor
  - Lunch Sponsor
  - Breakfast Sponsor
  - Private Dinner Sponsor
  - Entertainment and Reception Sponsor

**Exhibit Hall Package** (Limited Availability)

For specific price and sponsor benefits listings contact [alex.ioannidis@investmentadviser.org](mailto:alex.ioannidis@investmentadviser.org) for more information.

### ATTENDEE BREAKDOWN



Thank you to our past Leadership Conference Sponsors:

SPONSORS



EXHIBITORS

Hardin Compliance Consulting, InvestCloud, Kemark Financial Services, QuoteMedia, Red Oak Compliance Software, Renaissance Regulatory Services, SS&C Advent, Sound Income Strategies, Telemet America

# Compliance Workshops

TRACK: Legal/Regulatory/Compliance

Thank you to our past and upcoming Compliance Workshop Sponsors



2019



2018



2017

The IAA's Compliance Workshops, offered in cities across the country each fall, offer an excellent opportunity to gain practical insights and up-to-date information on challenging legal and regulatory issues affecting SEC-registered investment advisers – as well as a forum for compliance professionals to engage with their peers. These one-day sessions provide need-to-know information on current hot topics, including a regulatory update.

# Executive Roundtables

TRACK: Business Practice/Strategy

Thank you to our past Executive Roundtable Sponsors:



IAA Executive Roundtables are held in cities across the country throughout the year. We host an intimate group of executives from local IAA Member firms to network and discuss issues critical to their investment advisory business. These meetings cover a range of topics such as M&A, succession planning, cybersecurity, insurance and risk management.

The sponsor has an opportunity to facilitate discussion between attendees in an intimate setting, and lend its expertise and subject matter knowledge to the topic of the session.

# Webinars

TRACK: Legal/Regulatory/Compliance

TRACK: Business Practice/Strategy

Thank you to our past Webinar Sponsors:



One of the most popular – and effective – ways for members to stay up-to-date on important issues is through the IAA Webinar Series. Throughout the year, the IAA hosts web presentations on legal, regulatory, compliance and business topics. Live and recorded webinars are free to Members and Associate Members.

Associate Members have the opportunity to participate as an IAA Webinar Sponsor, and work with IAA staff to build and present a webinar that addresses a topic of interest to RIAs.

# IAA Advocacy Day Dinner



On the evening before the IAA's Annual Adviser Advocacy Day each June, the IAA Board of Governors hosts a reception and dinner for participating executives from investment advisory firms. We invite Associate Members to partner with us and contribute to IAA efforts as an Advocacy Day Dinner Sponsor. This sponsorship provides the opportunity to demonstrate your organization's dedication to the critical issues investment advisers face – and support the value of having our industry's voice heard by our Congressional leaders.

TRACK: Advocacy

Thank you to our past Advocacy Day Sponsors:



# Panel Event



The IAA has held single and multi-city panel events covering topics affecting investment advisers such as cybersecurity, cryptoassets, and others. We welcome sponsors to work with us in building a presentation and panel that assist RIAs in addressing important and timely topics.

TRACK: Legal/Regulatory/Compliance

TRACK: Business Practice/Strategy

Thank you to our past Event Sponsors:



# Member Luncheon



Take part in a networking lunch and opportunity to deliver a presentation to IAA member firms and the IAA Board of Governors. This event occurs twice a year and is held in tandem with a board meeting in select cities.

TRACK: Legal/Regulatory/Compliance

TRACK: Business Practice/Strategy

Thank you to our past Member Luncheon Sponsors:

