

NAAIM Membership Application

Date _____

Calendar Year Dues: \$600.00

How did you hear about NAAIM? _____

(Please Print)

Company: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____ Fax: _____

Primary Company Contact Name & Title: _____

E-Mail Address: _____

Web Site Address: _____

Compliance Contact: _____

Marketing Contact: _____

Operations Contact: _____

SEC or State Registration Number (required if you are applying for regular or emerging membership) _____

If registering as a Regular, Emerging or Special Member, please mark the appropriate responses pertaining to your firm.

Firm Name: _____

Assets Under Management: (check appropriate box) Less than \$10 million
 \$10 million to \$25 million \$25 million to \$75 million Over \$75 million

Management Style:

- Dynamic Asset Allocation
- Strategic Asset Allocation
- Sector Rotation
- Market Timing
- Other _____

Methodology:

- Trend Following
- Fundamental/Forecasting
- Overextended
- Cyclical
- Pattern Recognition
- Seasonality
- Artificial Intelligence
- Modern Portfolio Theory
- Other _____

Market To/Through:

- Direct to Clients
- Through Brokers
- Through Insurance Agents
- Through Financial Planners
- Through Accountants
- Through Attorneys
- Other _____

Assets Custodied At:

- Direxion Funds
- Fidelity
- Fiserv ISS
- Foliofn
- Pershing
- ProFunds
- Millennium Trust Company
- Rydex Investments
- Schwab Institutional
- TD Ameritrade
- Trust Company of America
- Other _____

Back Office Software:

- Advent Axys
- Albridge (Statement One)
- Centerpiece
- dbCAMS
- Captools
- Orion
- Proprietary System
- Other _____

Investment Software:

- Amibroker
- AIQ
- Big Charts
- Bloomberg
- FastTrack
- FundMaster
- Investools
- Metastock
- SuperCharts
- Trade Station
- Wall Street City/Telescan
- Wealth-Lab Developer
- Proprietary
- Other _____

Membership Type (check one)

Regular Members must be (1) Registered as an Investment Adviser with the Securities and Exchange Commission or with any state securities administrator for a period of at least one year. (2) Regularly engaged in active investment management for client accounts through the use of a limited power of attorney with respect to investment in mutual funds and other appropriate investment vehicles. (3) Subscribe to the NAAIM Code of Ethics and Fair Practices Policy.

Emerging Members must be (1) Registered as an Investment Adviser with the Securities and Exchange Commission or with any state securities administrator for a period of less than one year. (2) Regularly engaged in active investment management for client accounts through the use of a limited power of attorney with respect to investment in mutual funds and other appropriate investment vehicles. (3) Subscribe to the NAAIM Code of Ethics and Fair Practices Policy.

Special Members must be (1) regularly engaged in active investment management for client accounts through the use of a limited power of attorney with respect to investment in mutual funds and other appropriate investment vehicles. (2) Subscribe to the NAAIM Code of Ethics and Fair Practices Policy (3) Membership must be accepted by a NAAIM board of directors vote and will last for one calendar year.

A letter to the NAAIM Board of Directors requesting membership and a copy of your offering memorandum or company profile must accompany the membership application.

If you are a Regular or Emerging member, return this form with a copy of your ADV Parts I & II or comparable state registration forms, completed credit card information, or a check payable to NAAIM and fax or mail to:

NAAIM
6732 W. Coal Mine Ave., #446
Littleton, CO 80123

888-261-0787 • (Fax) 303-979-2192
naaim@mindspring.com • www.naaim.org

- Check enclosed payable to NAAIM
- Charge to ___ VISA or ___ MasterCard

Card Number _____

Exp. Date _____

Signature of Card Holder _____

The following Statement of Adherence must be signed for membership approval.

Statement of Adherence: Membership in NAAIM shall constitute a continuing representation of the member to NAAIM that such member is without knowledge of any fact or facts that would constitute professional misconduct by the member or covered person(s) associated with the member as defined in Section 7 of the NAAIM Bylaws.

I, _____, hereby affirm my receipt and understanding of the foregoing representation and by my signature below deliver our annual statement of adherence to the governing documents of NAAIM (Articles of Incorporation and Bylaws, Code of Ethics, Performance Measurement Standards, Fair Practice Policy) found at www.naaim.org. Any exceptions as defined in Section 7(b) Professional Misconduct, are reported below as required.

 Signature Date

Exception(s) to statement of adherence: _____