

# NAAIM Membership Application

Date \_\_\_\_\_

## Calendar Year Dues: \$600.00

### 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

Info@naaim.org • www.naaim.org

Check enclosed payable to NAAIM

Charge to \_\_\_ VISA \_\_\_ MasterCard or \_\_\_ Amex

Card Number \_\_\_\_\_

Exp. Date \_\_\_\_\_

Signature of Card Holder \_\_\_\_\_

Credit card billing address if different from the company address:

Street \_\_\_\_\_

City, State, Zip \_\_\_\_\_

How did you hear about NAAIM? \_\_\_\_\_

(Please Print)

Company: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Primary Company Contact Name: \_\_\_\_\_

Contact Title: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Web Site Address: \_\_\_\_\_

Compliance Contact: \_\_\_\_\_

Marketing Contact: \_\_\_\_\_

Operations Contact: \_\_\_\_\_

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

Firm Name: \_\_\_\_\_

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

#### Assets Under Management:

*(check appropriate box)*

- Less than \$10 million
- \$10 million to \$25 million
- \$25 million to \$100 million
- \$100 million to \$250 million
- \$250 million +

#### Management Style:

- Absolute Return
- Directional (long/short/cash)
- Strategic Asset Allocation
- Sector Rotation
- Tactical Asset Allocation
- Other \_\_\_\_\_

#### Market To/Through:

- Direct to Clients
- Brokers
- Insurance Agents
- Institutions
- Multimanager Platforms
- Financial Planners
- Accountants
- Attorneys

#### Assets Custodied At:

- Ceros
- Direxion Funds
- Fidelity
- Foliofrn
- Pershing
- ProFunds
- Millennium Trust Company
- Rydex/SGI
- Schwab
- TD Ameritrade
- Trust Company of America
- Other \_\_\_\_\_

#### Back Office Software:

- Advent Axyx
- Albridge (Statement One)
- dbCAMS
- Capttools
- Orion
- Portfolio Center
- Proprietary System
- Other \_\_\_\_\_

#### Investment Software:

- Amibroker
- AIQ
- Bloomberg
- eSignal
- FastTrack
- FundMaster
- Investools
- Metastock
- Real Tick
- Trade Station
- TELESCAN
- Wealth-Lab Developer
- Proprietary
- Other \_\_\_\_\_

#### Top 3 Investment Vendors:

- Claymore
- Direxion Funds
- I Shares
- Jefferson National
- ProFunds
- Putnam Investments
- Rydex/SGI
- Security Benefit
- State Street ETFs
- Van Eck
- Wisdom Tree
- Other \_\_\_\_\_

### 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: \_\_\_\_\_