

# NAAIM Renewal Membership Application

2015 Dues: \$600.00

Date \_\_\_\_\_

**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.

**Return this form with 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

303-979-1280 • (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 \_\_\_\_\_

(Please Print)

How did you learn about us? \_\_\_\_\_

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: \_\_\_\_\_

**SEC or State Registration Number** (required if you are a regular or emerging member firm) \_\_\_\_\_

Please mark the appropriate responses pertaining to your firm.

**Assets Under Management:**

- (check appropriate box)
- Less than \$10 million
- \$10 million to \$25 million
- \$25 million to \$50 million
- \$50 million to \$100 million
- \$100 million to \$150 million
- \$150 million to \$200 million
- \$200 million to \$300 million
- \$300 million to \$400 million
- \$400 million to \$500 million
- \$500 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:**

- Advisors Preferred / Ceros
- Direxion Investments
- Fidelity
- FOLIOfn
- Pershing
- ProFunds / ProShares
- Millennium Trust Company
- Guggenheim
- Schwab
- TD Ameritrade
- Trust Company of America
- Other \_\_\_\_\_

**Top 3 Investment Vendors:**

- Direxion Investments
- I Shares
- Jefferson National
- ProFunds / ProShares
- Putnam Investments
- Guggenheim
- Security Benefit
- State Street ETFs
- Van Eck
- Wisdom Tree
- Other \_\_\_\_\_

**Investment Software:**

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

**Is the member FIRM primarily a:**

- Money Manager
- Asset Gatherer
- Both
- Neither

**Primary Contact Designations:**

(Check all that apply)

- CFP
- ChFC
- CLU
- CPA
- PFS
- CFA
- CMT
- JD
- 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: \_\_\_\_\_