



MEMBERSHIP APPLICATION

The Third Party Marketers Association offers membership to a select group of sales & marketing organizations that meet the criteria of membership, which includes the registration and licensing of all sales professionals associated with the firm. In addition to the Membership Application, organizations seeking membership in the Third Party Marketers Association must also submit a signed and dated copy of the Third Party Marketers Association Principles and Best Practices signed by all sales professionals associated with the firm. Firm's who do not meet the eligibility requirements for membership into the Third Party Marketers Association may elect to complete an application for 3PM's Mentor Program via a separate application process.

Firm Name: _____

Address: _____ Website: _____ Phone: _____ Fax: _____

Firm Name, Address, Website, Phone, Fax and Key Contact will be listed on the 3PM Member web page upon membership approval, acceptance, and payment of dues. Please notify 3PM in writing if you do not wish to have your firm's contact information listed on the 3PM website at the time of submission of this application.

Name of Firm Professional Completing Application: _____

Email Address of Firm Professional Completing Application: _____

Phone Number of Firm Professional Completing Application: _____

Number of Principals/Owners: _____ **Number of Employees (non-Principals/Owners):** _____

Employee/Owner 1: Name: _____ Title: _____ Licenses: _____

Employee/Owner 1: Email: _____ Address: _____ Phone: _____

Employee/Owner 2: Name: _____ Title: _____ Licenses: _____

Employee/Owner 2: Email: _____ Address: _____ Phone: _____

Employee/Owner 3: Name: _____ Title: _____ Licenses: _____

Employee/Owner 3: Email: _____ Address: _____ Phone: _____

* By submitting this Application, the Firm and its respective owners and employees acknowledge that all sales professionals are, will and shall be licensed, including those hired and/or retained by the organization, currently and in the future. Additional Employees/Owners shall be listed in an attachment containing the same information as listed above. To be eligible for Third Party Marketers Association membership, all individuals participating in sales activities must be licensed and registered.

Please explain the specific registration and licensing of your firm (state(s) registered; B/D, RIA; Affiliated with B/D, RIA; SEC registered):

Formal Name of Registered Entity: _____

Specific relationship and/or registrations & Licensing held with Entity: _____

Management Contact and Title at Registered Entity: _____

Management Contact Phone: _____ Email: _____ Address: _____

Investment Managers Represented⁺:

Firm Name	Strategy/Style	Product Structures Offered

⁺If none, please specify whether the firm intends to market traditional long only or alternative managers, and/or what other business ventures and activities are undertaken by the Firm and/or any of its owners and employees:

References:

Please provide a series of 3 industry references, including contact information, that 3PM may contact on behalf of your firm:

Name: _____ Firm: _____ City, State: _____ Phone: _____ Email: _____

Name: _____ Firm: _____ City, State: _____ Phone: _____ Email: _____

Name: _____ Firm: _____ City, State: _____ Phone: _____ Email: _____

Background History:

Please submit a current CV/resume for all owners/employees of the firm. **Please note that all firm owners and principals must have a minimum of 5 years of direct investment management and/or financial services related business experience.**

Regulatory Standing:

Please confirm by the signature of each owner/employee of the firm (or a minimum of two management team members limited to the CEO, CFO, CCO and/or COO) that neither the firm nor any of its employees or owners have been the subject of any revocation, censure or litigation by the regulatory bodies that govern the financial services industry, including FINRA, SEC. If the firm or any of its owners or employees have been the subject or a part of any revocation, suspension, censure or litigation by the regulatory bodies, please attach a detailed explanation and note 'explanation attached' in lieu of a signature:

Name: _____ Title: _____ Attestation Signature: _____

Name: _____ Title: _____ Attestation Signature: _____

Additional Regulatory Standing Signatures:

Name: _____ Title: _____ Attestation Signature: _____

Name: _____ Title: _____ Attestation Signature: _____

Name: _____ Title: _____ Attestation Signature: _____

Membership Dues Scheduling

(Note: Annual dues are valid from July 1st - June 30th)

- January 1st - April 30th dues are pro-rated at 1/2 the regular member rate
- May 1st - December 31st dues are full price

FIRM MEMBERSHIP (\$850 USD)

Firm Membership Application

Additional Firm Member Listings on 3PM Website (\$200 per name)

Name: _____

Name: _____

___ Number of Third Party Marketers Association participants on behalf of the firm (for Association purposes only; Firm's will determine event participation on an event by event basis)

check enclosed paid by credit card

Firm owner/employee who will be listed on the 3PM website as contact person on behalf of the Firm (one is included in membership, see above to list additional personnel)

Name: _____ Title: _____

Phone: _____ Email: _____

METHOD OF PAYMENT

Check/Money Order Master Card VISA American Express

#: _____

Exp. Date: _____

Signature: _____

Please attach a 100-150 word description/profile of your Firm

Please attach one signed copy of the 3PM Principles and Best Practices per firm owner/employee

Please attach a current CV/resume for all firm owners/employees

As the representative submitting this application for membership into Third Party Marketers Association, I vow that the statements above are true and accurate to the best of my knowledge and ability, and that all firm owner and employee signatures and information are genuine and accurate as of this date.

Signature

Date

Please continue to the next page to complete this application

Firm Profile

Please complete the following questions regarding your firm. All information collected is for in-house use only and will be held in strictest confidence, unless authorized otherwise by the Member/Member Firm as specified in response to this next statement. **Note: Referrals from our 3PM.org web site will only be distributed based on membership acceptance and continued good standing, and your authorization and completion of this page.**

Pending membership acceptance, may we use the below information to add your firm to our web site, www.3pm.org? Yes No
Pending membership acceptance, may we use this profile in our newsletter, *3PM News*? Yes No

A benefit of 3PM membership is the opportunity to be referred to prospects seeking 3PM member firms who may be able to represent them. Would you be interested in receiving inquires from:

Traditional Firms

- With less than \$100M AUM?..... Yes No
- With track records less than 3 years?..... Yes No
- That are affiliated with banks, insurance companies, broker-dealers and/ or publicly held corporations? Yes No
- Domestic equity?..... Yes No
- Fixed income?..... Yes No
- International? Yes No
- Other: _____

Alternative Firms

- With less than \$100M AUM?..... Yes No
- With track records less than 2 years? Yes No
- That require offshore distribution?..... Yes No
- Hedge funds? Yes No
- Hedge funds of funds? Yes No
- Private equity? Yes No
- Private equity fund of funds?..... Yes No
- Real estate? Yes No
- Other: _____

On what distribution channels does your firm focus? (Check all that apply)

High Net Worth/Retail

- Individuals..... Yes No
- Family Offices..... Yes No
- Wrap/Managed Account Platforms Yes No
- Other: _____

Institutional Investors

- Corporations Yes No
- Public Funds Yes No
- Taft-Hartley/Union Plans..... Yes No
- Foundations and Endowments Yes No
- Other: _____

Financial Intermediaries

- Investment Consultants Yes No
- Insurance Companies Yes No
- Manager of Managers/Subadvisory Business Yes No
- Emerging Manager Platforms..... Yes No
- RIA and Wealth Management Platforms Yes No
- Other: _____

How did you hear about The Third Party Marketers Association?

Would you be interested in partnering with another 3PM firm? Yes No
Would you be interested in participating in one of the following committees? Yes No

If "Yes", please rate your interest in participating on the following committees: 1= highest interest, 2 = medium interest, 3 = lowest interest

- Communications/ Marketing Committee.** This committee works to improve the 3PM web site, providing members with access to new content and serves as mechanisms for keeping members abreast of new information important to the promotion of events and member benefits.
- Events Committee.** This committee works on the location and content of 3PM's annual conference, meetings and webcasts.
- Membership Committee.** This committee works to increase the membership of the organization by proactively contacting qualified third party marketing firms that are not current members. They work closely with the Strategy and Communications/ Marketing Committees.
- Sponsorships, Partnerships & Member Benefits Committee.** This committee works on recruiting sponsors for all 3PM events. This committee also negotiates with vendors regarding the Member Benefit Program as well as engaging in Media and Association Partnerships.
- Strategy Committee.** This committee works on the growth of 3PM while maintaining and improving the association's credibility. This committee also works with the Membership Committee to broaden 3PM's reach outside the U.S.

IMPORTANT NOTE: if you choose to electronically send this completed application to info@3PM.org, please be sure to SAVE the completed document and transmit the SAVED document. In addition, please print and mail or fax an original copy of this completed application to:

**Third Party Marketers Association, Inc.
191 Clarksville Road, Princeton Jct., NJ 08550 - Phone 609/799-4900 Fax 609/799-7032**