



NEW MEMBER APPLICATION

The Third Party Marketers Association offers membership to a select group of sales & marketing organizations that meet the criteria of membership, which includes a commitment to best practices, and a confirmation of the firm's registration and licensing of all required sales professionals associated with the firm. In addition to the Membership Application, organizations seeking membership must also commit to adhere to the Third Party Marketers Association Principles and Best Practices and must therefore submit an attestation signed by a managing principal, CEO or CCO to that effect. Firms who do not meet the eligibility requirements for membership into the Third Party Marketers Association as an professional marketing organization or as an investment management firm, may elect to consider an application for 3PM's Industry Associate Program via a separate application process.

Questions? Contact us at info@3pm.org or by calling (508) 320-1685.

Firm Name	
Firm Address	
Website	
Main Phone Number	

Note: Active member firms will be listed on the 3PM Member web page upon membership approval, acceptance, and payment of dues. Check here if you do not wish to be listed on the 3PM website: ☐

Firm Principals & Personnel:

	# Principals	# Employees/RRs:	Total All:	<i>Required</i>
Principal/Employee	Title	Email	Phone	If Registered CRD #)

*Add additional line items/listings as needed on this or a separate page

Firm Registration:

Registration	Yes/No	CRD #, MSRB #, IARD # (<i>Required</i>)
Broker-Dealer/FINRA		
Affiliated with a Broker-Dealer	Y/N; If so, name:	
Investment Advisor/SEC		
Municipal Advisor/MSRB		
Non-US Registered Entity/FSA		

Principles and Best Practices Attestation

As the firm managing principal, CEO or CCO of the firm I, _____, hereby confirm that the above regulatory and registration information is accurate and that all firm personnel are properly licensed and registered. I also confirm that neither the firm nor any of its current owners or employees have been or are currently the subject of any revocation, censure, or litigation by the regulatory bodies that govern the financial services industry (unless such information has been fully disclosed in writing to 3PM and formal acceptance of the firm's candidacy has been affirmed by 3PM prior to submission in writing). In addition, should the firm or any of its owners or employees become the subject or a part of any disciplinary action by the regulatory bodies as described above, I confirm that a firm representative will notify 3PM immediately. Proof of licensing and registration with the appropriate authorities should be provided in conjunction with this application, particularly as it relates to non-US entities. Furthermore, I have read and agree to abide by the 3PM Principles and Best Practices.

Electronic Signature

Attestation Signature: _____

Please note: A Principal's signature is required in order to complete your registration. Alternatively, a Principal of the firm may send an email attesting to the 3PM Principles and Best Practices to info@3pm.org

☐ **Firm Description:** Please provide a 100 –150 word description of your Firm.

Additional Information:

3PM is a volunteer Association. As such, we ask all firms to please have one representative from your firm volunteer to participate on a committee. The representative can be anyone at your firm whether a Principal or an Admin. We just need someone that has about an hour a week to participate in 3PM activities. Please confirm a committee that you/a member of your firm would consider participating on to maximize your participation in 3PM:

☐ Partnerships & Events ☐ Membership & Strategy ☐ Marketing & Communications ☐ Regulatory

Representative of Firm that will participate on the 3PM committee:

Name	Title	Email	Phone

FIRM MEMBERSHIP (\$695 USD)

To finalize the application process and to ensure proper listing on 3PM’s globally recognized website, please be sure the following has been completed:

☐ **Firm Membership Application, including:**

- ☐ Read the 3PM Principles and Best Practices
- ☐ 3PM Principles and Best Practices Attestation signed and dated by a firm managing principal, CEO or CCO
- ☐ Firm description so that 3PM can identify your firm’s areas of interest and expertise.
- ☐ Firm Profile so that 3PM can identify your firm’s areas of interest and expertise (see last page of application)
- ☐ Contact person to be listed on the 3PM website: *List only one name below or you will be charged for an additional contact*

Name	Title	Email	Phone

☐ Additional contacts may be added for \$200 per person. (Please include Name, Phone and Email Address for each additional contact in the matrix above.)

☐ **Payment.** See below for options.

PAYMENT PROCESSING:

- We accept Mastercard, VISA, and American Express on 3PM’s site.
- Check/Money Order can be sent to the Third Party Marketers Association 23 Browns Road Grafton, MA 01519
- Once payment and the attached is received, members will be listed on the website for the calendar year

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 on our website? ☐ 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 inquiries 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