



INVESTMENT MANAGER MEMBERSHIP APPLICATION

The Third Party Marketers Association offers membership to a select group of investment managers and, sales & marketing organizations that meet the criteria of membership. This includes a confirmation of the firm's registration. 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 / IARs:	Total All:
Principal/Employee	Title	Email	Phone

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

Firm Registration:

Registration	Yes/No	IARD # <i>Required</i>
Broker-Dealer/FINRA		
Affiliated with a Broker-Dealer	Y/N; If so, name:	
Investment Advisor/SEC		
Investment Advisor/State	Y/N: If so, state:	
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.

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

Attestation Signature: _____

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

Manager Exchange Posting:

As a member firm, once your membership is accepted, you have the opportunity to post on the Manager Exchange portal behind the password protected section of the 3PM website. This would provide your firm with the opportunity to expressly request assistance/seek a marketing partner for the firm and would provide your specific firm profile/area of expertise and contact details to members who visit the Manager Exchange portal. If you would like your profile posted to the Manager Exchange portal as a part of your membership, please confirm here: ☐

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/planning. 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
- ☐ 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 on the shaded lines.)

☐ **Payment.** See below for options if your payment has not already been accepted via the 3PM website portal.

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/check all that apply under each heading:

Alternative Strategies	HEDGE FUNDS	PRIVATE EQUITY	VENTURE CAPITAL	REAL ESTATE	OTHER REAL ASSETS	OTHER
Long-Only Strategies	EQUITIES	FIXED INCOME	BALANCED	OTHER		
Regions	GLOBAL	INTERNATIONAL	EMERGING MARKETS	FRONTIER MARKETS	OTHER	
Equity Strategy	LARGE CAP	MID CAP	SMALL CAP	MICRO CAP	ALL CAP	OTHER
Fixed Income Strategies	CORE	CORE-PLUS	High Yield	GLOBAL	EMERGING MARKETS	OTHER
Vehicles	SMA	MUTUAL FUND	ETF	LP	OTHER	
Other Attributes	Emerging Manager	MWBE	ESG / SRI	OTHER		
FIRM AUM	<\$100M	\$100M -\$500M	\$500M-\$1B	\$1B-\$5B	\$5B-\$10B	>\$10B
Strategy AuM	<\$100M	\$100M -\$300M	\$300M-\$500M	\$500-750M	\$750M-\$1B	Over \$1B
TRACK RECORD LENGTH	<1 Year	1-3 Years	3-5 Years	5-10 Years	10-15 Years	15+ Years
What Distribution Channels?						
HNW / Retail	Individuals	Family Offices	WRAP / SMAs	Other		
Institutional	Corporations	Public Funds	Taft-Hartley/ Union	E&F	Other	
Financial Intermediaries	Consultants	Insurance Companies	MOM / SubAdvis	EMoM	RIA / Brokerage	Wealth Mgmt
Do you require Marketing Support Assistance?	Yes	No				
What Type?	Databases	RFPs /Questionnaires	Presentations	Fact Sheets	Website	Other
Do you have internal sales professionals?	Yes	No				

How did you hear about The Third Party Marketers Association?