

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 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 adhere to the Third Party Marketers Association Principles and Best Practices and must 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 may elect to complete an application for 3PM's Mentor Program, or 3PM's Industry Associate Program via a separate application process.

Firm Name: _____			
Address: _____			
Website: _____		Phone: _____ Fax: _____	
Note: Firm will be listed on the 3PM Member web page upon membership approval, acceptance, and payment of dues			
<input type="checkbox"/> Check here if you do not wish to be listed on the 3PM website		<input type="checkbox"/> Check here if any of the information above has changed	
<u>Firm Principals and Personnel:</u>			
Number of Principals _____		Number of Employees _____	
Please provide information on Firm Principals (use additional sheet if necessary):			
<u>Principal 1 Name:</u> _____		<u>Title:</u> _____	
Email: _____		Phone: _____	
<u>Principal 2 Name:</u> _____		<u>Title:</u> _____	
Email: _____		Phone: _____	
<u>Registration and Regulatory Standing*:</u> Is your firm registered:			
As a Broker Dealer with:			
FINRA	Yes	No	CRD# _____
If affiliated with a Broker Dealer, please provide the name: _____			
As an Investment Advisor with:			
SEC	Yes	No	Reg# _____
States	Yes	No	List: _____
As a Municipal Advisor with:			
SEC	Yes	No	Reg# _____
MSRB	Yes	No	Reg#: _____
As a non-US registered organization with:			
FSA	Yes	No	Reg# _____
Other organization:	_____	_____	Reg# _____
Are all of your firm's employees properly licensed /registered? <input type="checkbox"/> Yes <input type="checkbox"/> No			
If you are affiliated with a Broker Dealer, please provide documents of attestation of your relationship; include all your 3pm licenses.			

* By submitting this Application, the Firm and its respective and active principals 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. Please note that licensing and registration pertinent to the specific geographic region and products represented is required; 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.

Please continue to complete application.



3PM

THIRD PARTY MARKETERS ASSOCIATION

As the firm managing principal, CEO or CCO of the firm I 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. 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.

Name: _____ Title: _____

Email: _____ Phone: _____

Attestation Signature: _____

Additional Information:

- Please attach the attestation page of the 3PM Principles and Best Practices signed and dated by a firm managing principal, CEO or CCO
- Please provide a 100 – 150 word description of your Firm.
- Please complete and attach a Firm Profile.

Membership Dues Scheduling

FIRM MEMBERSHIP (\$500 USD)

- Firm Membership Application
- Contact person to be listed on the 3PM website:

Name: _____ Title: _____

Email: _____ Phone: _____

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

METHOD OF PAYMENT:

- We accept Mastercard, VISA, and American Express on our Member's Only Site.
- Check/Money Order can be sent to Third Party Marketers, Inc. 191 Clarksville Rd., Princeton Jct., NJ 08550

As the representative submitting this application for membership in the 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.

Name: _____

Email: _____ Phone: _____

Signature Date

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

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.

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