

11.0 Full membership application - 2018

The Applicant firm named below:

- applies to join The Investment Association as a Full member,
- confirms that it believes that nature of its business is such that it is eligible to be admitted as a Full member,
- acknowledges that it will upon admission to membership be bound by the [Memorandum and Articles of Association](#) of The Investment Association, and so additionally any rules made thereunder, including as to the payment of fees and as to the operation of The Investment Association Sectors and the role of the Sectors Committee, and
- acknowledges that there is no refund of fees on termination of membership.

Full legal name of Applicant firm	
Address	
Contact name of person authorised to represent the Applicant firm in relation to this application	
Address	
Email	
Telephone	
Category (please select one)	<input type="checkbox"/> CIS Operator <input type="checkbox"/> Other Investment Manager <input type="checkbox"/> OPS <input type="checkbox"/> Other

1. Other group companies (ignore if not needed)

The Applicant firm is also authorised to apply to The Investment Association as a Full member on behalf of the firm(s) named below, each of which is in the same group as the Applicant firm.

The Applicant firm applies, confirms and acknowledges on behalf of each named firm as set out above.

Named Group firms (full legal name)

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THE

INVESTMENT

ASSOCIATION

INVESTMENT MATTERS

2. Sectors (ignore if not needed)

Please tick here if you have or are applying to have funds admitted to The Investment Association Sectors. There is no additional fee to cover the cost of admission or monitoring of funds to The Investment Association Sectors as this is encompassed in Full membership.

3. Subscription data (this must be completed)

For the purpose of calculating your firm's annual subscription for 2017, please provide the following information in GBP (where a group application is made please aggregate data from the Applicant firm and all group firms applying for membership).

Assets under management in the UK (see note 1) as at 30/06/2017	£
Of which assets of UK Domiciled CIS funds under management at 30/06/2017	£
Gross UK retail sales of such CIS funds for the 3 previous years - please provide the month end date used for each reference year (/) See note 2	1. 2. 3.

Note 1

This covers all assets where the day-to-day management is undertaken by managers based in the UK, regardless of the domicile of the fund or client. The full definition of UK AuM used by the Investment Association and what is to be included and excluded is described on our [website](#).

Note 2

The characteristic feature of retail sales is that the unit trust/OEIC product is actually owned by an individual investor who enjoys the full legal and fiscal benefits of direct unit trust/OEIC ownership, but this will also include trustees for family houses and individuals.

Although some ISA, savings plan and private client business may be invested through a nominee account system, where an institution is technically registered as the unit holder, this should be disregarded since it is entirely a matter of administrative convenience which does not break the direct connection between the unit holder and their unit trust/OEIC units.

4. Attestation (this must be completed)

The Applicant firm on its own behalf and on behalf of all named group firms confirms as stated herein and that the information provided in connection with this application is correct as at [insert date]

..... Signed on behalf of the Applicant firm