

‘Championing the industry for the benefit it brings to Investors and the wider economy in the UK and across the world’

A GUIDE TO JOINING THE INVESTMENT ASSOCIATION

The Investment Association is the trade body for the UK asset management industry, representing £6.9 trillion of assets under management. Our member firms include managers of a wide range of asset classes for a wide range of clients, including institutional funds, authorised unit trusts and open ended investment companies.

This guide will provide a general overview detailing the benefits of membership and the different options available for the industry and associated organisations.

Please contact the membership team (members@theia.org) if you have any questions or need further information.

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1.0 About The Investment Association

The Investment Association is the trade body that represents the interest of UK investment managers. Our members vary in size, assets under management (AUM) and jurisdiction but all seek the support, advocacy and aggregation that membership affords. With the change and disruption to the regulatory and political landscape set to continue our members have access to best in class resources, advice and partnerships both nationally and internationally.

2.0 Industry Overview & Importance

Our 240 members manage in excess of £6.9 trillion of assets and support 93,500 jobs across the UK. More than 1/3 of the investments managed in the UK comes from overseas clients and more evident than ever the UK continues to reign as Europe's leading centre for international investment management. Indeed it is our network of asset managers that creates a welcome opportunity to share in strategic thinking about the future of the asset management industry, especially as we embark on significant change in European and International trade.

3.0 Where The IA Operates

London and Edinburgh form the principal financial hubs for the investment management industry in the UK. Indeed almost a quarter (24%) of the assets managed by UK-headquartered investment managers are represented by managers with headquarters in Scotland. The IA operates in both UK centres holding events, training and briefings for our members.

The UK, European and International partnerships continue to grow as we work closely with our buy-side counterparts as well as EFAMA, AFME, ALFI, FSB, ICI, ISCO etc.

4.0 Strategic Priorities

The political and regulatory landscape continues to flux and grow and 2018 will see substantial change. As the voice of the industry we will continue to shape and influence on a domestic and as importantly on an international level. Our fundamental strategic priorities remain as we continue to assist our members in this dynamic environment.

1. To shape policy and regulation
2. To bolster expertise
3. To help firms succeed
4. To lead in stewardship and governance
5. To transform member engagement
6. To promote reputation

5.0 2017 Notable Work: Examples include

- **Responding to the FCA's Market Study:** The FCA's Asset Management Market Study has been a major focus of our work over the past year. Following the publication of the FCA's Interim Report in November 2016, the IA engaged constructively, providing extensive evidence as well as specific proposals.
- **Navigating the implementation of MiFID II:** The implementation of MiFID II has been one of the biggest issues the industry has had to address. The IA has been at the forefront of engagement with domestic, European and US policymakers to resolve critical areas of business need such as on research.

- **Raising the IA and industry's profile:** In 2017 the IA held its inaugural Annual Dinner at the prestigious Mansion House with an exceptional turnout of senior members, Ministers, politicians and regulators. We will continue to raise the IA's profile in the EU27 and beyond through increased engagement with other national Governments, regulators, the media and business groups.
- **Championing corporate governance:** 2017 saw the IA step up its role in corporate governance. We have worked with Government to create the world's first Public Register of shareholder votes which was launched in December 2017.

6.0 Benefits of Membership

Full or Affiliate membership of The Investment Association (The IA) provides the opportunity to be actively involved in the future development of the asset management industry in the UK, Europe and increasingly internationally. As a principal industry aggregator, we provide the industry voice on the legal, regulatory and fiscal landscapes applying to the UK and international markets. We work to maintain and enhance the reputation and standing of the industry by meeting and working with government, regulators, the media and all key stakeholders. It is our extensive knowledge of past, present and future initiatives that ensures as a member you have access to the very best information.

To summarise, benefits of membership can be consolidated into 10 distinct areas:

1. Access to services that cover the waterfront of political and regulatory change impacting the sector
2. Active and respected advocacy
3. Effective, proactive lobbying that is business-need focused
4. A strong industry voice, which is fully representative of the industry
5. Industry expertise on policy and technical regulatory issues
6. A trusted source of industry data by media, regulators and policy makers
7. An international network promoting coherence and support of the industry
8. Value for all members and roles within an organisation
9. High quality governance and stewardship
10. Foresight on opportunities and trends affecting the industry

As a member you will receive:

- Regular alerts, reports and circulars concerning regulatory developments and the opportunity to input into The Investment Association policy positions affecting the industry.
- Access to the members' only section of The IA website, which includes our knowledge centre, model documentation, industry standards and statistics.
- Our expert staff are on hand to answer specific technical queries and offer advice on key initiatives and policy issues such as MiFID II, CRD4, EMIR, TTR, SM&CR, as well as Brexit, cyber security, FinTech developments and much more.
- The opportunity to be represented on c. 70 committees / working groups as well as member meetings, briefings, forums and discussion groups addressing the latest developments and action planning.

Amongst the staff at The Investment Association are experts on regulation, tax, operations, investment and market structure issues, corporate governance, communication, corporate affairs, research and statistics, training and education.

7.0 2018 work streams

2018 is another busy year as we continue to engage and influence change in the areas that matters most to our members. With millennials driving the growth in sustainable investment and set to account for 75% of the workforce by 2025 now is the time to embrace technology that will increase effectiveness and drive down costs. The UK is second only behind the USA with 11% of global fintech activity. A rise in expectations and scrutiny

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(systemic risk, sustainability, responsibility, alignment of interests between managers and clients, transparency and oversight) will see the formation of papers and responses that will be crucial to future proof the industry.

Our key priorities will include:

Brexit & International Trade

- Ensuring that our industry continues to thrive through Brexit and beyond by ensuring that our industry is prioritised in the Brexit negotiations – advocating for continuity of client services and protecting operating models
- **Market access** – identifying and removing barriers to free trade with EU and the Rest of the World
- UK's global competitiveness – working to improve **UK competitiveness** for investment management
- Promoting the industry internationally

Investment & Capital Markets

- On-going support for members with **MiFID II Implementation**
- Continue our advocacy on the on-going **EMIR Review** (including CCP supervision and location)
- Work towards effective and efficient markets and asset classes including global efforts to improve practices in the **FX market**, proposals to reform **UK primary equity markets**, as well as **LIBOR reform** and the international debate on **corporate bond liquidity**
- Develop an IA/investor-led program and leadership on **Sustainable Investment**
- Advance our industry's engagement on **ETFs**
- Evolve our **Sectors framework** in response to market developments

Policy, Strategy & Research

- Close engagement and member support through **next phases of FCA and CMA market studies**
- Continuing focus on **MiFID II, PRIIPs and PS17/20 implementation**
- Leading a meaningful debate on **'value for money'**
- Promoting asset management in an **evolving savings and pensions landscape**
- Engagement on **forthcoming UK and EU regulation**, including PEPP and AIFMD review
- Delivering enhanced **research and statistics insight**

Risk, Compliance & Tax

- Leading work on **SM&CR, GDPR, Diversity, Immigration** and bolstering the industry's talent strategy
- Initiating an **industry-wide cyber security strategy**
- Advocacy work to shape future European regulatory framework for members with specific reference to the new Prudential Regime

Stewardship & Governance

- Implementing and maintaining the **Public Register**
- Ensuring that the investor voice is represented in the **Corporate Governance Reform Agenda** – particularly through the review of the Corporate Governance and Stewardship Code, new reporting requirements on s172 and implementation of ICSA/IA guidance
- Promoting members as responsible long-term investors and promoting UK markets in moving towards a system of **long term investment**
- Implementing the **Productivity Action Plan**

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Investment 2020

- Engendering a favourable understanding of the investment industry amongst young people from diverse backgrounds - highlighting its social value and economic contribution
- Sourcing good quality applicants from a wide pipeline for trainee, apprenticeship and graduate vacancies offered by its member firms through its links with schools, colleges and universities.
- Assisting employers as they recruit and develop talented trainees in roles across their businesses.

Full and affiliate members will benefit from a greatly improved offering in 2018 providing more interaction and access to The IA, key decision makers and our wider membership. 2018 is set to offer some fantastic opportunities to meet and discuss with key policymakers and influencers from HMG, the FCA and other key institutions connected with the sector. A full diary of events is being developed and will include:

- CEO breakfast briefings discussing strategic tech and policy
- C-suite lunches and dinner briefings discussing strategic market and operational issues
- Expert-led conferences and forums (Full and half day)
- International summits and delegations
- Networking receptions
- Training workshops, e-learning opportunities and webinars

8.0 IA activities and services

As the trade association for asset managers, The Investment Association uses its resources effectively in the best interests of its members. The Investment Association is known for its integrity and quality in lobbying and representation amongst the authorities and regulators. It has a track record of success.

Regulation, Taxation & Policy

Whether by regular updates, emails or one to one contact, The Investment Association focuses upon how existing and proposed tax and regulations impact asset managers and they can ensure compliance. In addition, forum discussions assist firms in benchmarking their own approaches.

Markets & Operations

The Investment Association is an authoritative promoter of buy-side interests across the capital markets given the significant position of our members as the agents of investors, both institutional and retail. This extends into back office operations and the promotion of infrastructure efficiency.

Pension and Savings policy

The Investment Association is heavily engaged in the development of pension and savings policy in the UK and the EU, including in relation to NEST and developments in DC provision.

Research, Statistics & Sectors

The Investment Association provides the definitive source of information about the market for investment funds through its monthly collation of statistics from its members.

The Investment Association produces and commissions research about the asset management market and publishes its flagship Asset Management Survey annually.

The Investment Association also operates The Investment Association Sectors, a system of classification of funds into sectors to allow like-for-like comparison to be made.

Training & Education

The Investment Association promotes high professional standards in the industry. We train our members' employees and also provide courses to the authorities and regulators about our industry. We support initiatives, such as pfeg, which seek to help consumers make informed decisions about their personal finances.

Events and Engagement

The IA has greatly improved events schedule for 2018 with a series of briefings, seminars, forums and conferences. Please see the website for the calendar of events.

Corporate Affairs

The Investment Association is a key information centre for journalists and other industry commentators. Additionally, our website is a source of information for consumers tailored to help them understand the wide opportunities for investment and savings provided by our members.

9.0 Categories of membership

The Investment Association has four categories of membership: Full; Sector; Affiliate; and Asset Owner.

A firm that can qualify for Full or Sector membership is not eligible to become an Affiliate member and an Affiliate member is not eligible to become a Full or Sector member.

Full membership

In short, to be eligible to be admitted to membership as a Full member, a firm must be:

- a discretionary investment manager; and/or,
- an operator of a collective investment scheme which is itself authorised or recognised in the UK.

The full definition from the Articles of Association is as follows:

- (a) *any person who manages portfolios which include investments in accordance with mandates given by clients on a discretionary basis;*
- (b) *any person who is:-*
- a manager resident in the United Kingdom and who is permitted under the Financial Services and Markets Act 2000 to operate a collective investment scheme;*
 - an authorised corporate director of an authorised open-ended investment company; or*
 - the management company of an overseas scheme recognised under Part XVII Chapter V of the Financial Services and Markets Act 2000. For an overseas self-managed open-ended investment company a reference to the management company is to the company itself.*

Fees available on request

Sector membership

A Sector member is any person who

- is eligible to be a Full member but is not a Full member; and
- has one or more funds admitted to The Investment Association Sector.

Fees available on request

Full or Sector membership?

Dependent upon membership category, there is a marked difference in the extent to which a firm and its staff can participate in The Investment Association wider activities and services. The basis and level of fees that will be charged to the firm are different as well.

Essentially, Sector membership is very limited and designed for those firms who do not wish to participate in any wider industry activities at The Investment Association but wish only to have funds admitted to The Investment Association Sectors.

Full members may participate in all activities and obtain all the services The Investment Association has to offer, including admission of funds to The Investment Association Sectors at no further cost.

Affiliate membership

Your business will include the provision of facilities or services to Full members or Sector members, but you will not yourself be eligible for Full membership. You will have access to our website, advisers and most circulars.

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Please note: most committees are restricted to Full members only and you will not be entitled to share in funds statistical information (beyond what is published) as by definition you cannot contribute to it.

Asset Owner Membership

To be eligible to be admitted to membership in this category, a firm must be:

- An institutional asset owner, to include life and non-life insurers
- A pension fund
- A Sovereign Wealth Fund

Asset Owner Members will have access to relevant IA events and updates, the IA website, IA Special Committees, circulars and advisers, as well as participation in relevant Forum. The purpose of the Forum is to identify, discuss and provide strategic oversight on issues of common interest between institutional asset owners and asset managers.

Fees are on scale according to assets under ownership and are available on request.

Where an asset owner is the parent of an investment management firm which is an existing full member of the IA, the membership is then complimentary.

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10.0 Joining The Investment Association - Key Features of Articles

Firms which join The Investment Association become members of the Association and so bound by its Articles, and any rules made under them. We would advise you to read the [Articles](#). This section highlights certain features of the Articles and describes the process of joining.

Joining The Investment Association

Having chosen an eligible membership category - Full, Sector, Affiliate or Asset Owner, the next steps are:

1. Complete and send the relevant application for membership form providing all requested information (these are at pages 12 onwards). We are ready to assist you. If you are part of a group and want to join several companies please see the section entitled "Other group companies" below.
2. The application will be considered; it is in the absolute discretion of the Board or its delegate to admit or decline eligible applicants (there are procedures for representation and reconsideration if you are declined).
3. You will be informed of the decision and consequential arrangements to ensure you can access all relevant services; this will include the need to then pay any fees due for the current year (see as well "Annual fees" below).
4. The Sector membership process can be lengthier dependent upon what funds have to be classified.

Other group companies

It may be that a group has several firms who may be eligible to join The Investment Association as Full members. For example, one might be a UCITS fund operator and another, a MiFID discretionary portfolio manager. Each firm is legally a separate member and individually responsible for its obligations under the Articles. However, we provide a streamlined process for joint application by group members. Additionally, there is likely to be a financial benefit in applying under one form as the aggregated subscription will likely be less (and will be no more) than if each firm applied separately.

Consequential arrangements after joining for Full, Affiliate or Asset Owner

Full and Affiliate members will be contacted so we can:

1. Let you know how to register any employees for web access;
2. Give you an opportunity to tell us who in your organisation would want to receive information about different subjects (such as compliance, tax or statistics);
3. For Full members only, assist you in providing certain data to us – see the section headed "Your data obligations" below; and
4. Help you to participate in your trade association and make the most of your membership.

Annual fees

Full and Sector Members

Fees are payable upon joining to the end of the current calendar year. You will be told what the amount will be on application. A Sector member's fees, both for joining and annually, are set out on the application form on page 14. No benefits of membership, including admission of any funds to Sectors will commence before payment of all relevant fees.

Fees are thereafter payable annually and are due without discount or right of reimbursement from any firm which is a member on 1 January in that year. Please note therefore how and when you can resign; it is described under the section "Leaving The Investment Association" below. Non-payment of annual fees will lead to termination of membership.

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The Board can authorise further calls for fees during the year, for example where significant unbudgeted expenditure needs to be incurred.

Affiliate Members

Fees are payable upon joining and are for a 12 month period (i.e. March-March). You will be told what the amount will be on application.

Fees are thereafter payable annually and are due without discount or right of. Please note therefore how and when you can resign; it is described under the section "Leaving The Investment Association" below. Non-payment of annual fees will lead to termination of membership.

The Board can authorise further calls for fees during the year, for example where significant unbudgeted expenditure needs to be incurred.

Your data obligations

We are happy to discuss how the data provision works and what we do in more detail; in any event we shall contact you about the arrangements upon joining. Every Full member and every Sector member is deemed to have promised:

- (a) to inform The Investment Association of the identity, value, sales and redemptions in a form required by The Investment Association of all collective investment schemes authorised or recognised in the United Kingdom and savings plans related thereto, managed by the member or its associates; and
- (b) to provide The Investment Association with such statistics and other information, in a timely manner, as the directors may from time to time reasonably require.

Additionally, Full members (but not Sector members) make promises about compliance with the Takeover code and to recognise the jurisdiction of the Panel.

Affiliate members are not required to make any promises about data or the Takeover Panel.

In return The Investment Association "*undertakes to each member to keep confidential the information so provided to it, except that (a) The Investment Association may use the information for compiling and publishing aggregate industry statistics and industry analysis and (b) the obligation of confidentiality will not apply when the information is made public by the member.*"

If you undertake various activities, only one of which makes the member eligible for membership, please note that the Articles require you when exercising your rights, to do so only through those individuals engaged in the eligible activity.

Leaving The Investment Association

We operate the subscriptions by apportioning the budgeted income needs around all those in membership at 1 January; because of the operational constraints this imposes, members cannot unilaterally resign at will.

Resignation must be made in writing and "*shall not take effect, without the directors' agreement, until the member giving notice shall have satisfied all his outstanding obligations to the Association and subject thereto shall take effect one month from the date of receipt of such notice.*"

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We understand that business plans and needs mean that sometimes a firm may have to leave The Investment Association. But if you want to avoid the following year's fees, you need to notify us at the latest before 1 December and we would advise you to tell us well before then.

There are provisions under which any membership can be suspended or terminated. Additionally, if a Sector member no longer has any funds in The Investment Association Sectors, it will have to cease being a member.

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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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

12.0 Sector membership application - 2018

The Applicant firm named below:

- applies to join the Investment Association as a Sector member,
- confirms that it believes that the nature of its business is such that it is eligible to be admitted as a Sector member,
- confirms that it is applying to have funds admitted to The Investment Association Sectors,
- 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	

Please provide the names of the Funds in relation to which you are seeking admission to The Investment Association Sectors (you will be contacted by the Sectors team for further details which will need to be provided before your admission to Sector membership).

Name of fund(s)	UK authorised	Offshore UCITS

Fees

These consist of an annual **Sector Membership Fee** plus an annual **Fund Fee**. In some cases there is a one-off **Application Fee**.

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- I. The annual **Sector Membership Fee** is 30% of the subscription charge that would apply to a Full member taking into account funds under management and average retail sales over a three year period. In 2017 the minimum charge under this heading is **£4,140 (+VAT)**. Please complete the form below for the fee calculation for 2018.

AUM as of 30/06/2017	£
Value of assets of UK domiciled or authorised UK recognised CIS funds under management as at 30/06/2017	£
Gross UK retail sales(Note 1) of such CIS funds for the 3 previous years -please provide the month end date used for each reference year (/)	1. 2. 3.

Note 1

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.

- II. All Sector members pay an annual **Fund Fee** (including in the year of application) of **£235+VAT per fund** (whether UK or offshore) admitted.

If a fund is eligible for classification, the **Fund Fee** and any **Sector Membership Fee** will need to have been paid before classification is effected.

- III. There is also a one-off **Application Fee** to become a Sector member but only if you are asking for offshore funds to be admitted to The Investment Association Sectors. This is due to the work that needs to be done to bring in offshore funds. For 2018, the application fee is **£1,220+ VAT to cover up to 5 offshore funds being admitted in 2018**; in outline you can expect that any larger multiple of funds would be charged at the same equivalent rate but we would ask you first to contact us if you intend to seek admission of more than 5 offshore funds in 2018 so we can agree costs and timings.

By applying, the Applicant firm agrees to pay any application fee and acknowledges that it is non-returnable in the event that a firm is not admitted as a Sector member or any of all of the offshore funds are not admitted to The Investment Association Sectors. Where an **Application Fee** is payable, the classification process will only commence once cleared funds have been received.

Attestation (this must be completed)

The Applicant firm confirms as stated herein and that the information provided is correct as at.....
[insert date]

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

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Affiliate membership application - 2018

The firm named below:

- applies to join The Investment Association as an Affiliate member,
- confirms that it believes that nature of its business is such that it is eligible to be admitted as an affiliate member, and
- 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.

Full legal name of Applicant firm	
Address	
Number of UK based employees	
Type of Organisation	<input type="checkbox"/> Legal <input type="checkbox"/> Consultancy <input type="checkbox"/> Accountancy <input type="checkbox"/> Business / Fin Tech <input type="checkbox"/> Business Services <input type="checkbox"/> Other

Name of person authorised to represent the Applicant firm in relation to this application.	
Address	
Email	
Telephone	

Attestation (this must be completed)

The Applicant firm confirms that the information provided is correct as at [insert date]

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

13.0 Asset Owner membership application - 2018

The firm named below:

- applies to join The Investment Association as an Asset Owner Member,
- confirms that it believes that nature of its business is such that it is eligible to be admitted as an Asset Owner Member, and
- 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.

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	

Fees

Please complete the form below for the fee calculation.

Value of assets under ownership at date of application	<input type="checkbox"/> Less than £1 bn <input type="checkbox"/> Between £1 bn - £10 bn <input type="checkbox"/> Over £ 10 bn <input type="checkbox"/> Undisclosed
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Attestation (this must be completed)

The Applicant firm confirms that the information provided is correct as at [insert date]

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