‘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 £8.5 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.

The guide is arranged as follows:

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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 270 members manage in excess of £8.5 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 (23%) 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

2021 looks set to be another busy year with 01 January signalling a new relationship between the UK and the EU. The IA will continue to support our members retaining the enduring activities that sit at the heart of what we are here to deliver ensuring a focus on the customer, competitiveness, culture, stewardship, sustainability and innovation. Our 2021 Strategic refresh looks to bring together the eight priority areas central to strengthening our industry:

1. **Shaping policy and regulation.** Acting as a convenor and clearing house for the industry, the IA will develop and promote effective policy at the highest levels of authorities in the UK, EU and in global standards setters. By partnering with members and expert stakeholders, we will combine deep policy expertise with operational understanding and commercial insight to provide innovative, competitive, and customer-focused solutions for policy issues.

2. **Building the reputation of the industry.** Working together we will continue to build a positive reputation of the industry, operating at multiple levels from investment practices, including stewardship and responsible investment, through to conduct as an employer and the culture of firms. We will specifically focus on the purpose of the industry and the wider role of investment managers in society, economy and planet, building a deeper social licence to operate in its markets.

3. **Helping firms to succeed.** We will help our members prepare for and operationalise regulatory change and to be better positioned for market developments, via the expansion of the IA’s policy positions as well as our trade & investment work supporting innovation and competitiveness with the building strong international relations.
4. Keeping the customer front and centre: The IA will provide practical and advocacy support in key delivery areas, notably fund vehicles (e.g. Long-Term Asset fund), communication and disclosure, financial literacy and operational effectiveness (e.g. liquidity management). This extends also to international competition and the success of the UK as a leading centre serving domestic and overseas customers.

5. Working for effective markets: We will champion retail and institutional investors’ ability to invest in dynamic, diverse, efficient and well-regulated markets. Promoting the role of Market Based Finance, we will work with stakeholders to ensure appropriate understanding of the buy-side role and perspective on different asset classes, liquidity, emerging risk and appropriate regulation.

6. Building stewardship, sustainability & responsible investment: We will work with authorities, asset owners and investee companies to define and implement 21st Century stewardship, responsible investment practices, regulatory frameworks and investor relations and communications that support the economy, and society’s, recovery from the crisis and long term foundations.

7. Developing culture, diversity & inclusion: The culture of the industry, the people and the firms within it, is our greatest asset. We will lead work to build healthy cultures, attract, retain and develop the widest diversity of individuals, providing a central resource and expertise for member firms. We will shape people policies and use Investment 20/20 https://www.investment2020.org.uk/ to effect delivery from talent attraction to senior leadership.

8. Driving competitiveness through innovation and resilience: We will support the development of members businesses, through supporting technological change (via the Engine www.theiaengine.com ) and cyber awareness, (www.theia.org/campaigns/ia-titan) product or distribution development, international development, to adoption of new working practices. We will offer members practical support, professional development and access to resources from partners.

The Investment Association 2025 Vision - delivering for customers and the economy in a rapidly changing world outlines the key elements driving evolution of our industry and key actions that we identify as necessary to ensure good outcomes for our customers.

5.0 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

January 2021 – The Investment Association
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, ESG, Stewardship & Governance, 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.

6.0 2021 work streams

2021 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 (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.

Risk, Culture & Resilience

- Culture & Conduct
- Financial Crime, Risk & Regulatory
- Operational & Cyber Resilience
- Skills, Talent, Diversity & Inclusion
- Tax
- Post Brexit Tax Regime
- Government Policy

International

- Beyond Brexit
- Trade Promotion
- Global Financial Partnerships

Investments & Capital Markets

- Sustainability & Responsible Investment
- Private Markets
- Public Markets
- Libor Transition
- Dealing & Market Structure
- Derivatives
- FX
- ETFs
Policy Strategy & Research

- UK Investment Funds
- EU Investment Funds / Pensions
- UK Pensions – DB and DC
- Market Insight
- Broader Research

Stewardship & Corporate Governance

- Implementation of Stewardship Reform
- Audit Market Reform
- Promotion of UK Plc

FinTech: Engine (www.theiaengine.com)

- Growth, development and promotion of buy-side FinTech ecosystem
- Regional, national and international FinTech engagement programme

Cyber Security: TITAN (www.theia.org/campaigns/ia-titan)

- IA TITAN powered by Anomali is the real-time Threat InTelligence Alert Network designed for the investment management industry
- The dashboard converges alerts from law enforcement, government agencies, and other relevant authorities

Investment 2020 (www.investment2020.org.uk)

- Think Investments, work experience and ambassador programmes
- Recruiting, developing, retaining & progressing talent

Full and affiliate members will continue to benefit from an extensive programme of support and access with interaction and access to The IA, key decision makers and our wider membership. 2021 will offer some fantastic opportunities to meet and discuss with key policymakers and influencers from HMG, HMT, DIT the FCA and other key institutions connected with the sector. A full diary of events is being developed; all events will be virtual for H1 2021 via webinars, online meetings and conferences, however, we are looking to return to hybrid / physical events when appropriate. Opportunities will include:

- CEO breakfast briefings discussing strategic tech and policy
- Virtual meetings, briefings and webinars discussing strategic market and operational issues
- Expert-led conferences and forums (Full and half day)
- International summits and delegations
- Networking receptions *(when appropriate to resume)
- Training workshops, e-learning opportunities and webinars

January 2021 – The Investment Association
7.0 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. With a proven track record with government & regulators both nationally and internationally.

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 provides over 100 courses covering all aspects of regulatory and operational change. To review the catalogue please visit the online training library. A series of half, full and 2 day courses as well as our online e-learning hub 'IA learning' promotes high professional standards in the industry.

We also enable our members to stay up to date with the latest industry insights through our regular programme of webinars.

Events and Engagement
The IA continues to develop and grow a comprehensive events schedule for 2021 with a series of roundtables, 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.
8.0 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:
   (i) 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;
   (ii) an authorised corporate director of an authorised open-ended investment company; or
   (iii) 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.

January 2021 – The Investment Association
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.
9.0 Joining The IA - Key Features of the 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 15. 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.

January 2021 – The Investment Association
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.”
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.
10.0 Full Membership Application - 2021

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.

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<td>□ Other Investment Manager</td>
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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.

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<th>Named Group firms (full legal name)</th>
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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 2021, 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).

<table>
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<tr>
<th>Assets under management in the UK (see note 1) as at 30/06/2020</th>
<th>£</th>
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<tr>
<td>FUM for UK Domiciled Authorised funds’ as at 30.06.19. Please note this contains all investors including overseas</td>
<td>£</td>
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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.

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
11.0 Sector Membership Application - 2021

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.

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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).

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<tr>
<th>Name of fund(s)</th>
<th>UK authorised</th>
<th>Offshore UCITS</th>
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Fees
These consist of an annual Sector Membership Fee plus an annual Fund Fee. In some cases there is a one-off Application Fee.

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 2021 the minimum charge under this heading is £4,635 (+VAT). Please complete the form below for the fee calculation for 2021.

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<tr>
<th>AUM as of 30/06/2020</th>
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<tr>
<td>FUM for UK Domiciled Authorised funds’ as at 30.06.20. Please note this contains all investors including overseas</td>
<td>£</td>
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Note 1
I. All Sector members pay an annual Fund Fee (including in the year of application) of £260+VAT per fund (whether UK or offshore) admitted.
II. 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 2021, the application fee is £1,350+ VAT to cover up to 5 offshore funds being admitted in 2021; 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 2021 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
12.0 Affiliate Membership Application - 2021

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.

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<td>□ Business / Fin Tech</td>
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<td>□ Business Services</td>
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</table>

<table>
<thead>
<tr>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Telephone</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

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 - 2021

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.

<table>
<thead>
<tr>
<th>Full legal name of Applicant firm</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Address</td>
<td></td>
</tr>
</tbody>
</table>

| 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.

<table>
<thead>
<tr>
<th>Value of assets under ownership at date of application</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>□ Less than £1 bn</td>
<td></td>
</tr>
<tr>
<td>□ Between £1 bn - £10 bn</td>
<td></td>
</tr>
<tr>
<td>□ Over £10 bn</td>
<td></td>
</tr>
<tr>
<td>□ Undisclosed</td>
<td></td>
</tr>
</tbody>
</table>

**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