



**CAASA**  
CANADIAN ASSOCIATION OF  
ALTERNATIVE STRATEGIES & ASSETS

## CAASA - CANADIAN ASSOCIATION OF ALTERNATIVE STRATEGIES & ASSETS

### *ACGLA – Association Canadienne en Gestion d’Investissements Alternatifs*

#### NEW MEMBERSHIP APPLICATION FOR INVESTORS

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#### **Membership Process**

- 1) Please complete sections 1-7 within the application package.
- 2) Once completed please send a copy of your logo in jpg and eps format along with the final application form to caroline@caasa.ca (subject line: New Membership Application). Credit card details should be provided at this time.\*
- 3) CAASA will then review your application and process payment upon approval.
- 4) Membership will be activated once payment has been charged.

*\*Payment will be based on the fee schedule listed on page 7 of the application plus HST. All charges will not be processed until your application has been approved and you will then receive an email notification and receipt for the charge.*

*\*\*Please note that all content within this application will be used only for information purposes to assist us with tailoring our offering and benefits to best fit your needs and determining membership fees. Any information on a specific individual or entity will not be released to those outside of association staff.*



### 1) MEMBERSHIP TYPE

*The undersigned applies for the following membership category:*

#### a) Canadian Corporate Member

- Canadian Corporation
- Canadian Partnership
- Canadian Limited Partnership
- Other Canadian Legal Entity

#### b) Associate Member

- Non-Canadian Corporation
- Non-Canadian Partnership
- Non-Canadian Limited Partnership
- Other Non-Canadian Legal Entity

### 2) INVESTOR TYPE

- Institutional Investor – Pension
- Institutional Investor - Foundation, Endowment, Sovereign Wealth Fund
- Accredited Investor – Single Family Office
- Accredited Investor – Multi-Family Office
- Retail Investor - Investment Advisor/Dealer
- Other/Non-Canadian Entity (please specify) \_\_\_\_\_

### 3) ENTITY CONTACT DETAILS

<b>Entity Name:</b>	
<b>General Entity Email:</b>	
<b>Office Number:</b>	
<b>Main Office Address:</b>	
<b>Entity Website:</b>	

\*Please see Appendix for sample MIG names



**Key Membership Contact**

*Please indicate the primary contact for membership and billing.*

<b>Full Name:</b>	
<b>Email:</b>	
<b>Title:</b>	
<b>MIGs of interest:</b>	

**4) ADDITIONAL CONTACTS & MEMBER INITIATIVE GROUPS (MIGs)**

*All employees of a member are eligible to receive member benefits. Please attach an additional sheet if you would like to add contacts beyond the below personnel.*

**Primary Due Diligence Personnel:**

*Please indicate if the same as the key contact, CIO etc.*

<b>Full Name:</b>	
<b>Email:</b>	
<b>Title:</b>	
<b>MIGs of interest:</b>	

**Chief Investment Officer (CIO):**

*Please indicate if the same as the key contact, CIO etc.*

<b>Full Name:</b>	
<b>Email:</b>	
<b>Title:</b>	
<b>MIGs of interest:</b>	

\*Please see Appendix for sample MIG names



**Portfolio Manager:**

*Please indicate if the same as the key contact, CCO etc.*

<b>Full Name:</b>	
<b>Email:</b>	
<b>Title:</b>	
<b>MIGs of interest:</b>	

## 5) GENERAL ENTITY PROFILE

### a) Additional Office Locations:

*Please indicate additional locations in which your entity has an office or representative.*

Toronto       Montreal       Vancouver       Calgary

Other (within Canada): \_\_\_\_\_

Other (outside Canada): \_\_\_\_\_

### b) Net Assets:

*Please indicate the entity's net assets.*

Net Assets (CAD): \$

\*Please see Appendix for sample MIG names



**c) Strategies of Interest**

*Please note your net assets invested in the following strategies/assets (only CAASA staff will know this information).*

Multistrategy	
Equity Market Neutral	
Fixed Income / Credit	
Event Driven	
Equity Long/Short	
Global Macro	
Managed Futures / CTA	
Real Estate	
Infrastructure	
Private Lending, Private Equity	
Digital Assets / Crypto-currency	
ETF	
Long-only	
Other (please specify)	

**6) AREAS OF INTEREST WITHIN MEMBERSHIP**

- Networking with Peers
- MIGs / Peer Groups
- Education / Research
- Compliance / Operations
- Regulatory / Legal
- Marketing - Central Canada (ON, QC)
- Marketing - Prairie Provinces (MB, SK, AB)
- Marketing - West Coast (BC)
- Marketing - Atlantic Region (NB, NL, NS, PEI)
- Marketing - USA
- Marketing - Other (please specify) \_\_\_\_\_
- Other (please specify) \_\_\_\_\_

\*Please see Appendix for sample MIG names



**7) MEMBERSHIP AUTHORIZATION & PAYMENT INFORMATION**

*Membership fees are based on the schedule below (page 7 of the application).*

*My signature below confirms that all information within this application form is true. I confirm that the entity is either duly registered in at least one recognized jurisdiction, in the process of registration or is exempt from registration. Further, upon approval of membership, I confirm that the entity will abide by the association by-laws.*

*I/We consent to receiving commercial electronic messages from the Canadian Association of Alternative Strategies and Assets (“CAASA”), Suite 2500, 120 Adelaide Street West, Toronto, ON M5H 1T1 (647-953-0737 / caasa.ca / caroline@caasa.ca), including news, updates, promotions, offers and information from and about CAASA products and services. I acknowledge I withdraw my consent at any time by unsubscribing using the links provided in those electronic messages, or by contacting CAASA as above.*

<b>Name on card:</b>	
<b>Card type:</b>	
<b>Credit card number:</b>	
<b>Expiry date (mm/yy):</b>	
<b>CVC code:</b>	
<b>Billing address:</b>	
<b>Amount to be charged:</b>	
<b>Name of signatory:</b>	
<b>Authorized signature:</b>	
<b>Date:</b>	

\*Please see Appendix for sample MIG names



## 8) APPENDIX

### a) Fee schedule:

#### Asset Managers (in CAD Millions)

AUM	<\$50	\$50-\$100	\$100-500	\$500-\$1,000	>\$1,000	Long-only
Subtotal	\$1,200	\$2,000	\$3,000	\$4,000	\$5,000	\$1,200

#### Other Members

Type	Prime Brokers, Legal, Admin & Audit	Wealth Managers	Other Consultants, Exchanges	Family Offices, Institutions & Investment Dealers
Subtotal	\$5,000	\$3,000	\$2,000	\$500

*Employees of Family Offices, Institutional Investors, Investment Dealers and Wealth Managers, as approved by CAASA, may register individuals as members for \$150 plus applicable taxes per year.*

*\*The forgoing annual membership fees are subject to yearly change as determined by the Board of Directors and will be charged the applicable tax rate*

### b) Proposed Member Initiative Groups (MIGs):

*More details and groups to follow as we continue to collect member input and constitute our groups.*

Crypto-currency & Fintech / Digital Assets Group  
Marketing & Communications Group  
Peer Connect Group  
Regulatory & Legal Group  
Compliance & Operations Group

Robo-Advisor Group  
Alberta Group  
British Columbia Group  
Québec Group  
Good Governance Group

\*Please see Appendix for sample MIG names