



**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 INDIVIDUALS

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#### **Membership Process**

- 1) Please complete sections 1-6 within the application package.
- 2) Once completed please send the final application form to paul@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 not be processed until your application has been approved. 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 based on the employer's business form:*

Associate Member

### 2) INDIVIDUAL - TYPE OF BUSINESS

*My employer is:*

Single-Family Office

Institutional Investor (Pension, Endowment, Foundation, SWF)

Wealth Manager

Multi-family Office

Investment Dealer

Other (please specify) \_\_\_\_\_

### 3) INDIVIDUAL CONTACT DETAILS

|                             |  |
|-----------------------------|--|
| <b>Entity Name:</b>         |  |
| <b>Main Office Address:</b> |  |

#### Key Membership Contact

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

|                          |  |
|--------------------------|--|
| <b>Full Name:</b>        |  |
| <b>Title:</b>            |  |
| <b>Email:</b>            |  |
| <b>Billing Address:</b>  |  |
| <b>MIGs of interest:</b> |  |

\*Please see Appendix for sample MIG names



**4) INDIVIDUAL PROFILE**

**a) Additional Locations:**

*Please indicate the locations in which you are active.*

Toronto                       Montreal                       Vancouver                       Calgary

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

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

**b) Net Assets:**

*If applicable, please indicate your organization's net assets.*

**Net Assets (CAD):**    \$

**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                        |  |
| Liquid Alternatives              |  |
| Other (please specify)           |  |



**5) AREAS OF INTEREST WITHIN MEMBERSHIP**

- |   |  |
|---|--|
| <input type="checkbox"/> Networking with Peers              | <input type="checkbox"/> Marketing - Central Canada (ON, QC)           |
| <input type="checkbox"/> MIGs / Peer Groups                 | <input type="checkbox"/> Marketing - Prairie Provinces (MB, SK, AB)    |
| <input type="checkbox"/> Education / Research               | <input type="checkbox"/> Marketing - West Coast (BC)                   |
| <input type="checkbox"/> Compliance / Operations            | <input type="checkbox"/> Marketing - Atlantic Region (NB, NL, NS, PEI) |
| <input type="checkbox"/> Regulatory / Legal                 | <input type="checkbox"/> Marketing - USA                               |
| <input type="checkbox"/> Marketing - Other (please specify) | _____  |
| <input type="checkbox"/> Other (please specify)             | _____  |

**6) MEMBERSHIP AUTHORIZATION & PAYMENT INFORMATION**

*Membership fees are based on the schedule below (page 5 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 / paul@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>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



## 7) 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,<br>Legal, Admin &<br>Audit | Wealth<br>Managers | Other<br>Consultants,<br>Exchanges | Family Offices,<br>& Institutions |
|----------|---|--------------------|------------------------------------|-----------------------------------|
| Subtotal | \$5,000                                   | \$3,000            | \$2,000                            | \$500                             |

*Employees of Family Offices, Institutional Investors, 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.*

Private Equity Group  
Real Asset & Real Estate Group  
Advocacy & Governance Group\*  
Wealth Management Group\*  
Fund Investment Risk Methodology\*\*  
Investor Group  
Digital Assets Group  
Robo-Advisor & Fintech Group\*

Compliance & Operations Group  
Québec Group  
Research & Training Group  
Private Lending Group  
Peer Connect Group\*  
Mentorship Group  
BC/Alberta Groups\*  
Marketing & Sales Group

\*Please see Appendix for sample MIG names