



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

CAASA - CANADIAN ASSOCIATION OF ALTERNATIVE STRATEGIES & ASSETS

*ACGIA – Association Canadienne en Gestion d'Investissements Alternatifs*

NEW MEMBERSHIP APPLICATION FOR ASSET MANAGERS

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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 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 be based on the fee schedule listed on page 7 of the application plus applicable taxes. 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) 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>	

**Key Membership Contact**

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

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



**3) 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 Marketing & Sales Personnel:**

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

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

**Chief Compliance Officer (CCO):**

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

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

**Chief Investment Officer (CIO):**

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

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



**Chief Executive Officer (CEO):**

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

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

**4) GENERAL ENTITY PROFILE**

**a) Additional Office Locations:**

*Please indicate additional locations in which your entity is registered.*

Toronto

Montréal

Vancouver

Calgary

Other (within Canada):

\_\_\_\_\_

Other (outside Canada):

\_\_\_\_\_

**b) Investor Types:**

*Please indicate your primary investor type.*

Institutional Investor – Pension

Institutional Investor - Foundation, Endowment, Sovereign Wealth Fund

Accredited Investor – Single or Multi-Family Office

Retail Investor - Investment Advisors

Other (please specify)

\_\_\_\_\_

**c) Primary Regulator:**

AMF - Autorité des marchés financiers

ASC - Alberta Securities Commission

BCSC - British Columbia Securities Commission

OSC - Ontario Securities Commission

SEC - Securities Exchange Commission

Other (please specify)

\_\_\_\_\_



**d) Assets Under Management (AUM):**

*Please indicate the entity's total AUM including hedge/alternative strategies, real estate, private lending and private equity.*

**Total AUM (CAD):**     \$

**e) Strategies / Offering:**

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

Strategies	Prospectus \$	Offering Memorandum \$	Managed Account \$
Multistrategy			
Equity Market Neutral			
Fixed Income / Credit			
Event Driven			
Private Equity			
Global Macro			
Managed Futures / CTA			
Real Estate (Direct)			
Infrastructure			
Private Lending			
Digital Assets / Crypto-currency			
ETF			
Long-only			
Equity Long/Short			
Venture Capital			
Liquid Alternative			
Other (please specify)			

\*Please see Appendix for sample MIG names



**5) 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)

**6) CURRENT SERVICE PROVIDERS**

*Please indicate below the third-party providers that currently service you.*

<b>Prime Broker(s)</b>	
<b>Lawyer(s)</b>	
<b>Fund Administrator(s)</b>	
<b>Accountant(s)</b>	
<b>Auditor(s)</b>	

**7) SOURCE OF APPLICATION**

*Please indicate how you heard of the CAASA membership.*

- CAASA staff
- Conference
- Other (please specify) \_\_\_\_\_
- Referral by existing CAASA member
- Online (website, LinkedIn etc.)



**8) MEMBERSHIP AUTHORIZATION & PAYMENT INFORMATION**

*Membership fees are based on the schedule below (page 8 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>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>	



9) APPENDIX

a) Fee schedule:

**Asset Managers (in CAD Millions)**

AUM	<\$50	\$50-\$100	\$100-500	\$500-\$1,000	>\$1,000	Long-only
<b>Subtotal</b>	\$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
<b>Subtotal</b>	\$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.*

- |                                    |                               |
|------------------------------------|-------------------------------|
| Private Equity Group               | Compliance & Operations Group |
| Real Asset & Real Estate Group     | Québec Group                  |
| Advocacy & Governance Group*       | Research & Training Group     |
| Wealth Management Group*           | Private Lending Group         |
| Fund Investment Risk Methodology** | Peer Connect Group*           |
| Investor Group                     | Mentorship Group              |
| Digital Assets Group               | BC/Alberta Groups*            |
| Robo-Advisor & Fintech Group*      | Marketing & Sales Group       |

*\*Proposed - proposed Groups will be constituted once co-chairs are chosen and mandate is determined.*

*\*\* Liquid Alts & Private Lending sub-groups*