



## PORTFOLIO MANAGEMENT ASSOCIATION OF CANADA (PMAC)

### APPLICATION FOR MEMBERSHIP

#### SECTIONS:

#### A. FIRM CONTACT INFORMATION

#### B. TERMS AND CONDITIONS

Please return completed application via any of the following ways:

- **Email:** [info@pmac.org](mailto:info@pmac.org)
- **Mail:** PMAC, 1 Toronto Street, Suite 905, Toronto, Ontario, M5C 2V6

Your privacy is important to us. PMAC collects, uses or discloses your personal information only in accordance with and for the purposes outlined in the [PMAC Privacy Policy](#).

**Membership does not - and may not be used to - imply PMAC's endorsement of any firm, products, services, or personnel.**

## SECTION A – FIRM CONTACT INFORMATION

### Firm Contact Information – PLEASE PRINT OR TYPE ALL RESPONSES

Firm Name			Acronym
Mailing Address	Suite Number	City, Province	Postal Code
Telephone Number	Toll-Free Phone Number	Website	

Indicate topic areas of interest (Please check all that apply):

- Executive Management     
  Government Relations     
  Operations – HR / Finance / Technology  
 Investment / Portfolio Management     
  Legal / Regulatory / Compliance     
  Marketing

### Firm Information

- Approximate date of registration as a Portfolio Manager: \_\_\_\_\_
- Other categories of registration (please list all that apply):  
(e.g. IFM, EMD, International Adviser – Exemption, FSRA, SEC, etc.) \_\_\_\_\_
- Principal Regulator: \_\_\_\_\_
- Jurisdictions in which your firm is registered as a Portfolio Manager:  
\_\_\_\_\_
- Of the jurisdictions indicated above, please indicate in which you have an office:  
\_\_\_\_\_
- Firm's total Assets Under Management (AUM) in millions:  
(See Section "C" for fees schedule) \_\_\_\_\_
- Account Types (please check all that apply):
 

Private Client     
  Family Office     
  Institutional Investor – Pension Plan     
  Institutional Investor – Other  
 Institutional Investor – Foundations, Endowments, or Not for Profit Organizations     
  Institutional Investor – First Nations
- Client Minimums (if one is not applicable, please indicate "N/A"):
 

Private Client: \_\_\_\_\_ Institutional Client: \_\_\_\_\_
- Please Indicate below which professional liability insurance coverage applies to your firm:
 

The firm maintains professional liability insurance (i.e. Errors & Omissions (E&O) insurance) **or**  
 The firm does not maintain E&O insurance, however, risks that may arise in terms of professional liability are self-insured through our parent company:  
 Name of Parent Company: \_\_\_\_\_ **or**  
 The firm does not currently maintain E&O insurance, but plans to have such insurance in place no later than (specify date): \_\_\_\_\_  
 We are interested in receiving information about PMAC's insurance program for members.
- Please Indicate which statement applies to your firm:
 

The firm has adopted the CFA Institute Asset Manager Code of Professional Conduct™.  
 The firm's code of ethics/conduct complies with the 6 principles of conduct of the CFA Institute Asset Manager Code of Professional Conduct™
- How did you learn about PMAC? \_\_\_\_\_
- Please indicate the name of any individual or firm that referred you to PMAC: \_\_\_\_\_

## SECTION A – FIRM CONTACT INFORMATION

In order to ensure that we have the correct individuals for PMAC Committees and other PMAC communications, please identify the applicable individuals listed below for whom you wish to have involved with PMAC. Email addresses are needed to set up access to the PMAC Members-Only area of the website and to be added to distribution lists for PMAC e-Bulletins. **Please note:** by providing the following contact information, you are also consenting on behalf of each of these individuals to the receipt of any commercial electronic messages that PMAC may send from time to time. To change or withdraw this consent, please contact Gillian Murch at [gmurch@pmac.org](mailto:gmurch@pmac.org) or at 416-504-1118 x 203.

### Firm Staff Information

#### Primary Contact to PMAC for official matters and notices

First Name	Last Name	Preferred Name
Title / Position		Email Address
Telephone Number	Address (if different from firm mailing address)	

**Billing Contact for membership fees invoice**  Same as Primary

First Name	Last Name	Preferred Name
Title / Position		Email Address
Telephone Number	Address (if different from firm mailing address)	

**Primary Compliance Contact for PMAC compliance matters**  Same as Primary

First Name	Last Name	Preferred Name
Title / Position		Email Address
Telephone Number	Address (if different from firm mailing address)	

**Chief Compliance Officer (CCO)**  Same as Primary  Same as \_\_\_\_\_

First Name	Last Name	Preferred Name
Title / Position		Email Address
Telephone Number	Address (if different from firm mailing address)	

**Chief Executive Officer (CEO)**  Same as Primary  Same as \_\_\_\_\_

First Name	Last Name	Preferred Name
Title / Position		Email Address
Telephone Number	Address (if different from firm mailing address)	

## SECTION A – FIRM CONTACT INFORMATION

<b>In-House Counsel</b> (if applicable)		<input type="checkbox"/> Same as Primary	<input type="checkbox"/> Same as _____
First Name	Last Name	Preferred Name	
Title / Position		Email Address	
Telephone Number	Address (if different from firm mailing address)		
<b>Chief Investment Officer (CIO)</b>		<input type="checkbox"/> Same as Primary	<input type="checkbox"/> Same as _____
First Name	Last Name	Preferred Name	
Title / Position		Email Address	
Telephone Number	Address (if different from firm mailing address)		
<b>Primary Operations Contact for PMAC operations networking group</b>		<input type="checkbox"/> Same as Primary	<input type="checkbox"/> Same as _____
First Name	Last Name	Preferred Name	
Title / Position		Email Address	
Telephone Number	Address (if different from firm mailing address)		
<b>Public / Investor Contact for public listing on PMAC website</b>		<input type="checkbox"/> Same as Primary	<input type="checkbox"/> Same as _____
First Name	Last Name	Preferred Name	
Title / Position		Email Address	
Telephone Number	Address (if different from firm mailing address)		
<b>Is your firm interested in receiving media calls?</b>		<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Media Contact</b>		<input type="checkbox"/> Same as Primary	<input type="checkbox"/> Same as _____
First Name	Last Name	Preferred Name	
Title / Position		Email Address	
Telephone Number	Address (if different from firm mailing address)		

**Please Note:** There is no limit to the number of firm staff who may receive PMAC member benefits and be on the PMAC mailing list.

Please attach supplemental pages if you would like to add additional firm staff.

## SECTION B – TERMS AND CONDITIONS

### Affirmations

We affirm the following conditions of membership to be true:

Agree Disagree

#### Registration

- Our firm is a portfolio manager registered with the provincial or territorial securities commissions in which we do business, **or**
- Our firm is in the process of registering as a portfolio manager with the provincial or territorial securities commissions in which we do business, and anticipate having registration by (please specify):  
Date: \_\_\_\_\_ **or**
- Our firm is registered as an International Adviser (exemption).
- We agree to notify PMAC if we become no longer registered with a provincial or territorial securities commission **within 10 days** of such an event occurring.

#### Terms & Conditions

- We agree to notify PMAC if we are subject to a proceeding or investigation by a securities regulator or any other regulatory authority for violation of Federal or Provincial securities or other laws or upon the imposition of material terms and conditions on our registration **within 10 days** of such an event occurring.
- Neither the firm applying for membership, nor any individual associated with the firm has ever been subject to a proceeding or an investigation initiated by a securities regulator or any other regulatory authority for violation of Federal or Provincial securities or other laws. *If disagree, please provide details of the proceeding or investigation and to whom it relates/related in a separate sheet to be submitted with this application for membership.*

#### Other

- We consent to receiving electronic messages from PMAC in accordance with Canada's anti-spam legislation and existing privacy legislation.
- We agree that the firm qualifies for and maintains insurance coverage as required under current Canadian securities legislation<sup>1</sup>.

In addition to the above, it is further understood that PMAC's board of directors may, in its sole discretion, remove a member firm from the PMAC public membership listing (including that member's firm profile on the PMAC website) or take any other action it deems appropriate with respect to that firm's membership in the event that, among other things, the member is or becomes subject to an investigation by a regulatory authority, has its registration suspended, or upon the imposition of material terms and conditions on the firm's registration.

**I confirm that I have read and understood the terms & conditions of PMAC membership:**

\_\_\_\_\_  
Name of Authorized Signing Officer

\_\_\_\_\_  
Signature of Authorized Signing Officer

\_\_\_\_\_  
Date

**Membership Accepted by The Portfolio Management Association of Canada (PMAC):**

\_\_\_\_\_  
Signature of PMAC President

\_\_\_\_\_  
Date of Approval

<sup>1</sup> As set out in Sections 12.4 and 12.5 of National Instrument 31-103 – *Registrant Requirements, Exemptions and Ongoing Registrant Obligations* (NI 31-103).