



Institute for Portfolio Alternatives

Membership Application | Independent Wholesaling / Managing Broker-Dealer

Company Information:

Name of Company: _____

Years in business: _____ CRD#: _____ Website: _____

Brief description of your firm:

Your Firm's Contacts with IPA:

Primary Contact: _____ **Title:** _____

Street Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ Email: _____

Dues Contact: _____ **Title:** _____

Street Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ Email: _____

Number of States Licensed: _____ Number of Representatives: _____ Number of Wholesalers: _____

Please list your current DPPs being offered, a brief description of the product(s), and the sponsor's cumulative equity raised (CER).

* Cumulative Equity Raised = Equity raised on all open and closed, non-liquidated private and public, non-listed programs since effective date that are currently under management inclusive of all alternative investment products covered by the IPA's scope of membership. Please do not include debt in this figure.

Sponsor Name: _____ CER: \$ _____

Brief Description of Product: _____

Sponsor Name: _____ CER: \$ _____

Brief Description of Product: _____

Sponsor Name: _____ CER: \$ _____

Brief Description of Product: _____

(Please supply additional sponsor information on a separate document).

Independent Wholesaling / Managing Broker-Dealer Dues Structure:

- \$7,500 without dealer manager agreements** (an Independent Wholesaling / Managing Broker Dealer who have no selling agreements with a sponsor firm in place in the given calendar year)
- \$2,500 with dealer manager agreements** (& direct investment sponsor firms also hold an IPA membership)

References: (Please provide a minimum of two references total.)

Company: _____

Name: _____ Title: _____

Email: _____ Phone: _____

Company: _____

Name: _____ Title: _____

Email: _____ Phone: _____

Sponsor Firm References:

Company: _____

Name: _____ Title: _____

Email: _____ Phone: _____

Company: _____

Name: _____ Title: _____

Email: _____ Phone: _____

IPA Member Reference, if any:

Company: _____

Name: _____ Title: _____

Email: _____ Phone: _____

Company: _____

Name: _____ Title: _____

Email: _____ Phone: _____



Additional Firm Contacts:

President/CEO Name: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ Email: _____

Chief Operating Officer Name: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ Email: _____

Marketing Dept. Name: _____ Title: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ Email: _____

Operations Dept. Name: _____ Title: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ Email: _____

Compliance Dept. Name: _____ Title: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ Email: _____

Legal Dept. Name: _____ Title: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ Email: _____

Finance Dept. Name: _____ Title: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ Email: _____



IT Dept. Name: _____ **Title:** _____

Street Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ Email: _____

Administration Dept. Name: _____ **Title:** _____

Street Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ Email: _____

Please attach a list of additional contacts if needed.

Membership Interest:

How did you hear about us:

Recruited Mailing Web Referral

Please prioritize your membership interest in order of importance (1–4):

Education _____ Networking _____ Conference _____ Industry Resource _____

Other (please specify): _____

Membership Terms:

Our firm has read the IPA's Code of Conduct (a copy of this can be found on our web site www.ipa.com) and will comply with these to the extent applicable. We agree that our logo and name can be listed as an IPA Member (an EPS or Illustrator file should be provided to tmesterharm@ipa.com).

Company Officer's Signature: _____ Date: _____

Printed Name: _____ Title: _____

Notice: IPA membership dues run on a calendar year—once approved, you will receive a prorated invoice based upon the date you join.

For questions, please contact us at **202-548-7190**.

Please email your completed application to ipa@ipa.com or mail to:

Institute for Portfolio Alternatives
P.O. Box 480
Ellicott City, MD 21043

