

## Member Agreement

*The CAIA Member Agreement, available for completion through [www.caia.org](http://www.caia.org) to qualifying CAIA candidates and members, must be completed in full in order to become a member and to renew membership.*

Verification of Identity and Awareness of Sole Responsibility to Complete the Member Agreement. I am aware that I am solely responsible for completing this Agreement and that no one else may complete this Agreement, in part or in whole, on my behalf. I confirm that, unless prevented by disability, I and no one else will click on the "I Agree" button at the end of this Agreement, and that I and no one else will click on each "YES" or "NO" radio button embedded in this Agreement. A Prospective Member who is physically unable to complete this form due to impairment or disability may direct a third party to complete the questions and click the 'I Agree' button for him or her; provided, however, that the answers to each such question and the decision to click the "I Agree" button are solely those of the Prospective Member.

No  Yes

Professional Conduct Standards. The Association has established "CAIA" as the standard professional credential in the field of alternative investments, to serve as an independent and external validation of competence for its Members in the alternative investment markets. As such, CAIA Members must uphold the highest professional standards in their respective fields and the Association must ensure that these individuals meet certain qualifications and ethical standards.

Within the past five years, have you been:

A. Involved as a defendant, respondent, or primary subject in any litigation, arbitration, or investigation which was based on your professional conduct?

No  Yes

B. The subject of a written complaint regarding your professional conduct?

No  Yes

C. Convicted of a felony or any other crime punishable by more than one year in prison?

No  Yes

D. Prevented, due to misconduct or complaints against you, from any of the following: (i) acting under any mandatory professional license or registration (e.g., investment adviser or broker); (ii) acting as an affiliated person or employee of any entity required to be

registered under any law or regulation (e.g., investment company or bank); or (iii) trading on any securities market?

No  Yes

Future Events Regarding Professional Conduct

I hereby agree to inform the Association, on a case-by-case basis, of any future complaints or suits filed against me regarding my professional conduct, as they may arise. Furthermore, I acknowledge that I may be required to submit a statement of disclosure regarding any such complaints or suits against me.

No  Yes

Charter Program. I agree to comply with the guidelines and duties set forth herein, and certify that the information I have provided in this Agreement, as well as any previous information I have provided to the Association, is true to the best of my knowledge and belief. I understand that the Association may perform random audits to confirm the information provided in this Agreement, and I hereby consent to allow the Association to investigate my representations to determine their truthfulness. I agree to assist the Association by providing, within a reasonable time period, any documentation which the Association may require to confirm the information contained herein and any previous information that I have provided. I understand that failure to comply with the provisions of this Agreement or providing a false statement on this Agreement may render me ineligible for Membership in the Association, prevent me from obtaining or using the Association's designation, and result in the termination of my status as a Member of the CAIA Association.

I Agree