RETIREMENT INDUSTRY TRUST ASSOCIATION

Membership Application

RITA encourages those that are directly or indirectly engaged in the self-directed retirement or financial services industry, including product and service providers, to become a member. RITA's membership calendar runs from January 1 – December 31.

All Membership Categories receive these exclusive value-added benefits:

- Company listing in RITA's online Member Directory (with link to your company website)
- Member-only access to RITA's website
- Use of the RITA-designed membership credential for the appropriate member category
- Industry updates, alerts and breaking news on regulatory, compliance and other timely issues
- Access to industry best practices
- Invitations to RITA-sponsored webinars
- Ability to participate on RITA committees – Compliance, Operations, Legislative Relations, etc.
- Discounted conference registration rate
- Access to any member-only sessions at RITA conferences for Regular Members
- Discounted RITA Institute rates for furthering education and professional development

1. Select your membership category

Membership Categories

Category	Annual Dues	Description
☐ **Regular Member** (voting)	**$600***	The Regular Member category is open to state or federally-chartered trust companies and banks that are primarily engaged in the administration of self-directed retirement accounts, and are regulated by state or federal banking authorities. Regular Members may also include qualified third party administrators (TPAs) and entities shown on the IRS list of "Approved Nonbank Trustees and Custodians." Qualifying TPA members are those in good standing whose custodians have title and control of IRA cash and assets.
☐ **Service Member** (nonvoting)	**$1000**	This membership category is for a wide variety of individuals and companies that provide ancillary services or products to the self-directed retirement or financial services industry. It also is open to those that have a general interest in expanding their knowledge of self-directed retirement accounts. • Individual broker/dealer registered representatives and RIAs • Attorneys and CPAs • Due diligence firms • Valuation/appraisal professionals • Real estate professionals • Endowments/foundations and family offices • Consultants • Pension fund managers • State and federal government agencies • Educators from universities and colleges • Associations that focus on financial, investment, savings, retirement or alternative asset issues • Others that provide related services or non-investment products

*In addition to annual dues, Regular Members are subject to annual assessment fees based on total assets under custody/administration, as set forth in RITA'S Membership Information disclosure. Assessment fees:

- Shall begin in year 1 of membership,
- Are subject to annual review and determination by the Board and may be adjusted based on the Association's budget and strategic plans, and
- Will be reduced by the total assets under administration of the TPA in the event both the custodian and administrator join.

RITA
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MEMBERSHIP APPLICATION

2. COMPLETE THE FOLLOWING INFORMATION

APPLICANT AND COMPANY INFORMATION

Applicant Name:

Applicant Phone: Applicant Email:

Company Name:

- ☐ Trust company or bank
- ☐ Third party administrator (TPA)
- ☐ Clearing firm
- ☐ Depository services firm
- ☐ Broker dealer
- ☐ Registered representative
- ☐ Registered Investment Advisor (RIA)
- ☐ Attorney
- ☐ CPA
- ☐ Valuation/appraisal professional
- ☐ Consultant
- ☐ Due diligence firm
- ☐ Real estate professional
- ☐ Endowment/foundation
- ☐ Family office
- ☐ Pension fund manager
- ☐ State or federal government agency
- ☐ Educator
- ☐ Association
- ☐ Other: (specify:________________________________)

Business Phone: Business Fax:

Business Location:

City: State: Zip Code:

Mailing Address (if different than above):

City: State: Zip Code:

Company Website:

Length of Time in Business: Number of Employees:

Name of Parent/Holding Company (If Any):

Names(s) of Company Owners:

Other Professional Association Memberships:

Regulatory Affiliation:

For Trust Companies and Banks:

- ☐ State Banking Authority: Specify State
- ☐ OCC
- ☐ FDIC

For Others:

- ☐ FINRA-registered
- ☐ SEC-registered
- ☐ Other: specify

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Company Contacts (To appear on RITA membership List)

CEO:		Email:		Phone:	
CFO:		Email:		Phone:	
President:		Email:		Phone:	
Compliance:		Email:		Phone:	
Operations:		Email:		Phone:	
Marketing:		Email:		Phone:	
Other:		Email:		Phone:	
Other:		Email:		Phone:	
Other:		Email:		Phone:	

Account Information (To be completed by Regular Member applicants only)

Types of Accounts/Plans Under Custody/ Administration	**Number of Accounts/Plans**	**Asset Value Held in Accounts/Plans**
IRAs		$:
SEPs		$:
CESAs		$:
HSAs		$:
401(k)s		$:
Define Contribution		$:
Defined Benefit		$:
Other:		$:
Other:		$:
Other:		$:
Total Assets Under Custody/Administration		$:
If Total Assets Under Custody shown above include cash or assets held for TPAs or other Institutions, please specify		$:

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Additional Information

How did you hear about RITA?

Other information you would like to share about your company:

3. Conduct Disclosures

Have you, your firm, or any principals of your firm been found guilty of a felony, violation of securities or insurance regulations, or disciplinary action by any state or federal authorities or agencies?

☐ No ☐ **Yes - If yes, please explain:**

4. Signature

I certify that the information provided in this Application is true and correct to the best of my knowledge, and I agree to abide by the RITA Code of Ethics as shown on RITA's website, www.ritaus.org. In addition, I will fully comply in using the appropriate RITA membership category on all forward-facing marketing materials, websites, or communications which I (or my company) may sponsor.

Signature of Applicant: ____________________

Title of Applicant: __________ Date: __________

Email Application to: Mike Posey, RITA Membership Director
mposey@ritaus.org

AND

$ Send Check for Payment with Application to:
Retirement Industry Trust Association
RITA Treasurer
c/o Gary Anetsberger
2001 Spring Road, Suite 700
Oak Brook, IL 60523

Questions?
RITA
Mike Posey, Membership Director
Phone: 512.826.5553
Email: mposey@ritaus.org

RETIREMENT INDUSTRY TRUST ASSOCIATION

MEMBER DIRECT LISTING ON RITA WEBSITE

As part of your RITA membership, your company name will be listed on RITA's online Member Directory at www.RITAUS.org. Your company listing may also include:

- Your RITA membership category
- Company phone number
- Company contact name
- Company website (linked to your website)
- Company social media links

Please complete the following information as it should appear in your online Member Directory listing:

☐ Regular Member ☐ Service Member

Company Name:	
Company Phone Number:	
Company Contact Name:	
Company Website:	