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## Purpose

NAMA is an organization of professionals specializing in providing financial advice to public agencies regarding infrastructure financing, long-term capital improvement, marketing of debt issues, and other municipal advisory engagements. The association brings together leading independent firms and other industry participants to concentrate efforts on improving the service and support to, and protecting the best interests of, public agencies.

## NAMA Firm Membership

Member Firms must meet all of the requirements as described in the NAMA Bylaws. These requirements are outlined below.

- The firm must be registered and in good standing with the Securities and Exchange Commission (SEC) and the Municipal Securities Rulemaking Board (MSRB).
- The firm's principal activity is to provide municipal advisory services to state and local governments or 501(c)(3) organizations.
- The firm cannot be associated with or registered as a broker, dealer or municipal securities dealer.
- Municipal advisory activities must be the firm's primary business activity.

**Membership dues are based on number of registered MA-Is in the Firm.**

## Information and Membership Application

Eligible firms may complete this application and submit it to NAMA headquarters. Once your membership application is received, it will be reviewed by the Membership Committee and Board of Directors. A member of the Membership Committee may contact you if there are questions or if additional information is required regarding your application or organization. Upon approval, an invoice for your annual membership dues will be sent. No membership is considered active until membership dues are received. For further information, please contact NAMA at 844-770-6262 or [Susan@municipaladvisors.org](mailto:Susan@municipaladvisors.org).



## NAMA Application for Firm Membership

Thank you for your interest in becoming a NAMA firm member. Please complete the following and submit all pages of the application for consideration.

### Firm Membership Eligibility

Member firms must be qualified by experience and practice to advise and assist public agencies on financing capital improvements and in issuing bonds, as their primary business.

1. Is the firm registered and in good standing with the Securities and Exchange Commission (SEC) and the Municipal Securities Rulemaking Board (MSRB)?

Yes  No

Please provide the following information:

EDGAR CIK# \_\_\_\_\_ MSRB Number \_\_\_\_\_

2. Is the principal activity of the firm to provide municipal advisory services to state and local governments and/or 501(c)(3) organizations?

Yes  No

3. Is the firm associated with, or registered as a broker, dealer, or municipal securities dealer?

Yes  No

4. Are municipal advisory activities the primary business activity of the firm?

Yes  No

5. Does the firm derive a majority portion of its business revenue from fees relating to its municipal advisory activities?

Yes  No

6. Has any person who is an elected Issuer or Related Entity official or is currently employed by the Issuer or any Related Entity ever been charged with, convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a felony?

Yes  No

**If the answer is yes, please provide a complete description of the situation and appropriate documentation on a separate sheet of paper.**



7. Has any person who is an elected Issuer official or Related Entity official or is currently employed by the Issuer or any Related Entity ever been charged with, convicted of or pled guilty or nolo contendere (“no contest”) in a domestic, foreign, or military court to a misdemeanor involving: investments or an investment-related business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?

\_\_\_\_\_ Yes                      \_\_\_\_\_ No

**If the answer is yes, please provide a complete description of the situation and appropriate documentation on a separate sheet of paper.**

8. Has the firm ever been or is currently a party to civil litigation with respect to municipal advisory services?

\_\_\_\_\_ Yes                      \_\_\_\_\_ No

**If the answer is yes, please provide a complete description of the situation and appropriate documentation on a separate sheet of paper.**

**Dues Structure**

Once membership is approved, you will be invoiced for annual dues and receive an invoice annually thereafter. NAMA Firm Membership dues include both a base fee and the number of MA-Is that are with the firm.

MA-I level	Base Fee	Dues	Total
1	\$400	\$500	\$900
2	\$400	\$1000	\$1400
3-5	\$400	\$1500	\$1900
6-9	\$400	\$3000	\$3400
10-14	\$400	\$5000	\$5400
15-19	\$400	\$7500	\$7900
20+	\$400	\$10,000	\$10,400

*I hereby certify that the information submitted in this application is truthful and accurate.*

\_\_\_\_\_  
(Name and Title)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Name of Firm)



**Firm Contact Information**

The NAMA Firm Membership belongs to the firm and not any one individual at the firm. If approved for membership, all staff qualify for membership benefits. Please complete the following information regarding your firm:

<b>Firm Name</b>			
<b>Firm Address (Principal Office)</b>	<b>City</b>	<b>State</b>	<b>Zip</b>
<b>Telephone Number</b>		<b>Fax Number</b>	
<b>Telephone Number</b>		<b>Fax Number</b>	
<b>Key Contact for NAMA Membership</b>			
<b>Key contact email</b>			
<b>Firm web site</b>			

Type of Firm (present):       Corporation       Partnership       Sole Proprietor

Year firm was initially established: \_\_\_\_\_

Number of MA-Is registered with the SEC: \_\_\_\_\_



**Officers, Principals and Professional Staff**

**Officers or Principals of Firm, including any and all stockholders or partners (may include on a separate sheet of paper)**

Name and Title	Email
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**Professional Staff in Firm With MA-I status (may include on a separate sheet of paper) that you wish to include for NAMA communications.**

Name and Title	Email
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