



The Active Investment Company Alliance (AICA) is the premier non-profit trade association for publicly-traded Closed-End Funds, Business Development Companies, Interval Funds, and Tender-Offer Funds.

We are the industry's spokesperson, publicly advocating for our member firms' funds and educating investors about fund structures and specific strategies. Our primary methods of showcasing our member firms and their investment strategies are through weekly NAVigator podcasts, hosted by Chuck Jaffe, and regular events.

Membership is broad-based, spanning:

- Fund Sponsors that manage a closed-ended management company (CEMCs);
- Institutional Investors & Product Sponsors that manage a product of CEMCs;
- Service Providers that support CEMCs.

Membership Benefits include:

- Invitations to participate on at least 2 Event panels per year;
 - Panel participation is invite-only; we do NOT use a pay-to-participate model.
- Invitations to conduct at least two NAVigator podcasts per year;
- Option to have a Highlight Video Interview with a member of your firm yearly;
- Option to have our Executive Chairman or Executive Director virtually speak with your sales team and/or Fund Board twice a year for updates and/or Q&A;
- Registration lists for all AICA event regardless of participation
- Ability to have banner advertisements on the AICA website.
- Receipt of quarterly reports on:
 - Public engagement related to Membership activity
 - Institutional and Activist Investor activity in Member funds
 - Trends related to CEMCs

All benefits are included in membership dues. There are no additional costs for any of the listed benefits. Also, we accommodate reasonable requests for other services at no extra charge. We are here to serve our members, not nickel-and-dime them. Please contact us for additional information.



NAVigator Podcast Total Downloads

Lead interview for Chuck's Jaffe's Friday MoneyLife and stand-alone NAVigator Podcast: 202,996 downloads to date (2/25/2022)

- 2020 Downloads: 54,487
- 2021 Downloads: 62,795 (15.25% growth rate from 2020)
- 2021 Avg Month: 5,233
- 2021 Best Month: 6,058 (Jul 2021)
- 2021 Worst Month: 4,707 (Jan 2021)

November 2019 to May 2022
9 Virtual Events, 1 In Person with 1000+ Registrations

Video Replays on Vimeo:	2019 to 2022
Views	2,880
Unique Views	1,089
Unique Impressions	6,910
Average Time	10:27
Total Time (Hours)	501:41

Email Marketing Data:

ConstantContact Data	5/3/2021 – 5/2/2022	5/3/2020 - 5/2/2021	1 Year Increase
Sends	603,371	493,608	+22.2%
# Emails	66	55	+20.0%
Avg Sends Per Email	9,142	8,975	+18.6%
Opens	76,343	57,228	+33.4%
Clicks	3,720	3,239	+14.9%
Open Rate %	20%	17%	+17.7%

Access to CEF Network on LinkedIn: 1950+ Members

AICA LinkedIn Page: 250+ Followers (Launched Feb 9, 2022)

In Person Event - NYC - November 16th, 2022, day before ICI CEF Meeting in NYC

John Cole Scott, CFS Executive Chairman jcs@aicalliance.org (804) 362-0717
 Mike Taggart, CFA Executive Director mike@aicalliance.org (630) 210-6759



To Become an AICA Member:

1. Completely fill out the Membership Application
2. Completely fill out the Payment Information
3. Submit completed and signed documents to AICA Membership Committee

For questions, please email membership@aicalliance.org

Membership Classification Fund Sponsor Specialist Firm / Product Sponsor
 Newsletter / Subscription Service Associate Member Service Provider

Member Firm Name: _____

Mailing Address: _____ Work Phone: _____

_____ Website: _____

_____ Email Address: _____

LinkedIN Page: _____ Twitter Account: _____

Fund Sponsor Members

Listed CEFs: Gross \$AUM _____ # Nonlisted CEFs: Gross \$AUM: _____

Listed BDCs: Gross \$AUM _____ # Nonlisted BDCs: Gross \$AUM: _____

Total CEFs/BDCs: Total Gross \$ AUM: _____ AUM as of Date: ___/___/_____

Primary Contact: _____

Title: _____ Work Phone: _____

Cell Phone: _____ Email Address: _____

Investment Management Contact: _____ Time Zone: EST, CST, MST, PST

Title: _____ Work Phone: _____

Cell Phone: _____ Email Address: _____

Sales Contact: _____ Time Zone: EST, CST, MST, PST

Title: _____ Work Phone: _____

Cell Phone: _____ Email Address: _____

IR/PR Contact: _____ Time Zone: EST, CST, MST, PST

Title: _____ Work Phone: _____

Cell Phone: _____ Email Address: _____

Billing Contact: _____ Time Zone: EST, CST, MST, PST

Title: _____ Work Phone: _____

Fax: _____ Email Address: _____

Primary Contact:

Year Started: At Company: _____ In Industry: _____ Year & Month Born: ____ / ____

FINRA Licenses: _____ CRD #: _____
(if applicable) (if applicable)

College / Educational Information: School(s): _____ Degree(s): _____

Please briefly describe your company and its involvement with listed / non-listed CEFs / BDCs:

Board of Directors Interest: Want to be considered for the Board of Directors? __ Yes __ No
(Voting member)

Advisory Council Interest: Want to be considered for the Advisory Council? __ Yes __ No
(Non-voting member)

*You are welcome to attached additional materials to this application outlining
your Board or Advisory Council experience and skills*

AICA Committee Interest:

Membership Finance Content & Events Website Press & Advisor Engagement

Marketing / Communication Board Development Strategic Partnerships & Lobbying

Briefly describe your experience and talents that may be of benefit to AICA and your committee / board/ council interest above: _____

Membership Dues Information

Membership Dues: \$ _____ Payments: Semi Annual / Annual (circle one)

Need Invoice?: Yes No Payment: Check / Wire / ACH Credit Card Card Type: _____

Name on Card: _____ Card Number: _____

Expiration Date: ____ / ____ / ____ Security Code: _____ Billing Zip Code: _____

Authorized Signature: _____ Title: _____

Optional References

Name: _____ Phone: _____

Email: _____ Company: _____

How & how long you've known them?: _____

Name: _____ Phone: _____

Email: _____ Company: _____

How & how long you've known them?: _____

Membership Application Confirmation:

I affirm that the information contained in this application for membership is correct and true to the best of my ability and knowledge. I will keep AICA informed and updated on any material changes to the information.

Member Applicant Name: _____

Member Applicant Signature: _____

Date: ___ / ___ / _____

AICA USE ONLY ◇ **CONFIDENTIAL**

Accepted by Membership Committee:

Name: _____

Title: _____

Date: ___ / ___ / _____

Signature: _____

Board of Directors Vote: ___ In Favor ___ Opposed ___ Abstained

Date: ___ / ___ / _____



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