

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 links to your company website and social media sites)
- 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 Regulated and Associate Members
- Discounted RITA Institute rates for furthering education and professional development

## 1. Select your Membership Category

### MEMBERSHIP CATEGORIES

| Category   | Annual Dues | Description   |
|--|-------------|---|
| <input type="checkbox"/> <b>Full Member</b> (voting)       | \$ 600*     | This membership category is for state or federally-chartered trust companies and banks that are primarily engaged in the custody and administration of self-directed retirement accounts, and are state or federally-chartered and regulated by state or federal banking authorities.   |
| <input type="checkbox"/> <b>Associate Member</b> (voting)  | \$ 300*     | This membership category is for third party administrators (TPAs), entities shown on the IRS list of "Approved Nonbank Trustees and Custodians", brokerage/clearing firms, depositories and others that are engaged in the administration of self-directed retirement accounts or safekeeping of retirement assets. An Associate Member may or may not be regulated.  |
| <input type="checkbox"/> <b>Service Member</b> (nonvoting) | \$ 1,000    | <p>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.</p> <ul style="list-style-type: none"> <li>• Individual broker/dealer registered representatives and RIAs</li> <li>• Attorneys and CPAs</li> <li>• Due diligence firms</li> <li>• Valuation/appraisal professionals</li> <li>• Real estate professionals</li> <li>• Endowments/foundations and family offices</li> <li>• Consultants</li> <li>• Pension fund managers</li> <li>• State and federal government agencies</li> <li>• Educators from universities and colleges</li> <li>• Associations that focus on financial, investment, savings, retirement or alternative asset issues</li> <li>• Others that provide related services or non-investment products</li> </ul> |

\* In addition to annual dues, Full Members and Associate 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.

**2. Complete the following information**

**APPLICANT AND COMPANY INFORMATION**

Applicant Name:

Applicant Phone:

Applicant Email:

Company Name:

Type of Company:

- 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):

Name(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 \_\_\_\_\_

**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 Full Member and Associate 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  |                          | \$                                 |
| Defined Contribution   |                          | \$                                 |
| Defined Benefit  |                          | \$                                 |
| Other: _____   |                          | \$                                 |
| Other: _____   |                          | \$                                 |
| Other: _____   |                          | \$                                 |
| <b>Total Assets Under Custody/Administration</b>   |                          | <b>\$</b>                          |
| <b>If Total Assets Under Custody shown above include cash or assets held for TPAs or other Institutions, please specify:</b> |                          | <b>\$</b>                          |

**ADDITIONAL INFORMATION**

How did you hear about RITA?

Other information you would like to share about your company:

**3. Conduct Disclosures and Code of Ethics Attestation**

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: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

By signing this Application below, I certify that I have read, accept and agree to the RITA Code of Ethics as shown on RITA's website, [www.ritaus.org](http://www.ritaus.org).

**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](http://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](mailto: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](mailto:mposey@ritaus.org)

MEMBER DIRECTORY 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](http://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:

Member
  Associate Member
  Service Member

Company Name \_\_\_\_\_

Company Phone Number \_\_\_\_\_

Company Contact Name \_\_\_\_\_

Company Website \_\_\_\_\_

Company Social Media Links:

|   |  |
|---|--|
|  Facebook |  |
|  Twitter  |  |
|  LinkedIn |  |
|  YouTube  |  |