



# Membership Application

## Section A. INDIVIDUAL DATA. To be completed by all applicants

Mr.  Ms.  Mrs. (PLEASE PRINT)

NAME FIRST M.I. LAST NICKNAME (OPTIONAL)

TITLE

COMPANY OR UNIVERSITY

http://

WEB SITE URL

ADDRESS (PLEASE NO P.O. BOXES)

CITY STATE ZIP

COUNTRY

BUSINESS TELEPHONE FAX NUMBER

E-MAIL ADDRESS

MAILING ADDRESS (IF OTHER THAN ABOVE) (PLEASE NO P.O. BOXES)

CITY STATE ZIP

## BUSINESS EXPERIENCE

Year you started working \_\_\_\_\_

Year you started IR activities \_\_\_\_\_

Name and title to whom you report \_\_\_\_\_

Previous employer \_\_\_\_\_

## BACKGROUND: (Choose one or two that best represents your background.)

- Accounting
- Administration
- Corporate communications
- Public relations
- Finance
- Financial/business media
- Financial planning
- IR counselor
- Vendor
- Legal
- Marketing/Sales
- Operations/line function
- Portfolio manager
- Retail stockbroker
- Securities analyst
- Strategic planning
- Other \_\_\_\_\_

## TYPE OF ORGANIZATION (choose one)

- Public company
- Private company that may go public
- Agency, IR consulting
- Agency, vendor or IR service provider
- Law firm
- Specialist
- University
- Investment banker
- Venture capital firm
- Other \_\_\_\_\_

BRIEF DESCRIPTION OF IR ACTIVITIES \_\_\_\_\_

## THE MEMBERSHIP CATEGORIES

**Corporate Members:** Individuals actively engaged in the practice of investor relations and/or corporate communication at the time of application, as an employee listed on a public stock exchange (or of a company that is planning to go public).

**U.S. and International Members: \$595**  
**Application Fee: \$150**

**Counselor Members:** Consultants engaged in assisting public-company clients in the design and implementation of broad-based investor relations and/or corporate communication programs that contribute to the companies' securities achieving fair valuation in the market place.

**U.S. and International Members: \$595**  
**Application Fee: \$150**

**Service Provider Member:** An individual who is employed in a business that provides discrete products or services to support the investor relations and/or corporate communication function.

**U.S. and International Members: \$595**  
**Application Fee: \$150**

**Affiliated Profession Member:** An individual employed in a profession related to investor relations and/or corporate communications (such as, but not limited to lawyers, investment bankers, journalists, analysts/brokers and accountants.)

**U.S. and International Members: \$595**  
**Application Fee: \$150**

**Academic Member:** Professors or students who are engaged full-time in a college or university in areas encompassing investor relations and/or corporate communication.

**U.S. and International Members: \$100**  
**Application Fee: \$150**

**Required for Academic Member applicants only:**

Academic institution \_\_\_\_\_

Academic advisor/Dean \_\_\_\_\_

Advisor e-mail \_\_\_\_\_

Advisor telephone \_\_\_\_\_

FOR OFFICE USE ONLY	
PAID _____	DATE _____
NIRI _____	C 1 _____ C 2 _____
RTABLE _____	TOT _____
APPROVED BY NIRI STAFF VP, MEMBERSHIP	
DATE _____	
APPROVED BY NIRI PRESIDENT & CEO	
DATE _____	

**Section B. PROFILE OF THE CORPORATION. To be completed ONLY by applicants practicing IR in a public company or private company that may go public.**

_____ LAST NAME OF APPLICANT
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**COMPANY'S FULL NAME** \_\_\_\_\_

Ticker symbol (*important*) \_\_\_\_\_

LOCATION OF COMPANY HEADQUARTERS (COUNTRY) \_\_\_\_\_

On which stock market/exchange is your company listed? (*choose one*)

- NYSE
- NASDAQ
- Foreign
- Other (please specify) \_\_\_\_\_

Market cap size (*choose one*)

(*Number of shares outstanding times current stock price*)

- <\$250 million
- \$250 million - \$2 billion
- \$2 billion - \$10 billion
- \$10 billion - \$25 billion
- > \$25 billion

**COMPANY'S INDUSTRY**

Choose up to 3 industries. (*Rank your company's primary industry as 1.*)

- |   |   |
|---|---|
| <input type="checkbox"/> Aerospace  | <input type="checkbox"/> Leisure Time Products: eating places; entertainment; hotel & motel; other leisure  |
| <input type="checkbox"/> Automotive: cars & trucks; parts & equip.; tires & rubber                                      | <input type="checkbox"/> Manufacturing: general manufacturing; machine & hand tools; spec. machinery  |
| <input type="checkbox"/> Banks  | <input type="checkbox"/> Medical Products   |
| <input type="checkbox"/> Biotechnology, Biomedicine, Bioscience   | <input type="checkbox"/> Metals & Mining: aluminum; steel; other metals   |
| <input type="checkbox"/> Building Materials/Construction  | <input type="checkbox"/> Oil & Gas  |
| <input type="checkbox"/> Chemicals  | <input type="checkbox"/> Paper & Forest Products  |
| <input type="checkbox"/> Conglomerates  | <input type="checkbox"/> Publishing & Broadcasting  |
| <input type="checkbox"/> Consumer Products: apparel, appliances and home furnishings, beverages, personal care, tobacco | <input type="checkbox"/> Real Estate  |
| <input type="checkbox"/> Containers: glass, metal & plastic; paper  | <input type="checkbox"/> Savings & Loans  |
| <input type="checkbox"/> Discount & Fashion Retailing   | <input type="checkbox"/> Service Industries: construction engineering; industrial distribution; pollution control; printing & advertising; other services |
| <input type="checkbox"/> Drugs & Research, Drug Distribution  | <input type="checkbox"/> Technology: hardware, peripherals  |
| <input type="checkbox"/> Electrical Instruments   | <input type="checkbox"/> Technology: Internet   |
| <input type="checkbox"/> Electrical Products & Electronics  | <input type="checkbox"/> Technology: software   |
| <input type="checkbox"/> Financial Services   | <input type="checkbox"/> Telecommunications: equipment & services; telephone companies  |
| <input type="checkbox"/> Food: food processing; food retailing  | <input type="checkbox"/> Transportation: airlines; railroads; transportation services; trucking & shipping  |
| <input type="checkbox"/> Fuel: coal; oil & gas; petroleum services  | <input type="checkbox"/> Utilities & Power: electric, water & cogeneration  |
| <input type="checkbox"/> Health Care Services   |   |
| <input type="checkbox"/> Insurance  |   |

**Section C. PROFILE OF COUNSELING, SERVICE OR AFFILIATE AGENCY To be completed by applicants whose firm provides IR consulting or IR vendor services ONLY. Important information for FREE marketing to members.**

Please choose up to 5 primary activities that your firm conducts.

- 1) Analysts research reports, earnings estimates
- 2) Annual report design
- 3) Annual report photography
- 4) Annual report printing
- 5) Beneficial ownership analysis (monitor daily trading)
- 6) Branding
- 7) Corporate advertising
- 8) Direct mail programs
- 9) Electronic publishing
- 10) Executive recruiting
- 11) Facsimile services
- 12) Financial advertising
- 13) Financial mailing lists
- 14) Financial media relations
- 15) Financial printers
- 16) Going public & post-IPO IR start-up, consulting
- 17) International IR, consulting
- 18) IR program evaluation & implementation, consulting
- 19) IR for the small cap company
- 20) Meetings: arrangement & critique
- 21) News release, disclosure & clipping services
- 22) Newsletters, publications, directories
- 23) Online services
- 24) Positioning & message development, consulting
- 25) Presentation development, consulting
- 26) Proxy solicitation
- 27) Software – IR office management
- 28) Research: financial community surveys
- 29) Shareholder analysis, targeting
- 30) Shareholder services
- 31) Speech writing
- 32) Stockbroker marketing programs
- 33) Stock transfer agents
- 34) Teleconferencing (voice only)
- 35) Tender offers & proxy contests
- 36) Valuation services, consulting
- 37) Video for IR
- 38) Web site development
- 39) Web site news services
- 40) Web site conferencing
- 41) Other \_\_\_\_\_

**PLEASE TELL US HOW YOU HEARD ABOUT NIRI**

- |  |   |
|--|---|
| <input type="checkbox"/> a) Your local chapter   | <input type="checkbox"/> f) Internet                    |
| <input type="checkbox"/> b) Tip from a colleague | <input type="checkbox"/> g) Stock market representative |
| <input type="checkbox"/> c) Mailing              | <input type="checkbox"/> h) I am a former member        |
| <input type="checkbox"/> d) News media           | <input type="checkbox"/> i) Other _____                 |
| <input type="checkbox"/> e) Consultant/vendor    |   |

**Section D. Sign the Code appropriate to your membership category.**

\_\_\_\_\_  
LAST NAME OF APPLICANT

**CORPORATE/COUNSELOR MEMBER CODE OF ETHICS**

**As a regular member of the National Investor Relations Institute, I will:**

1. Maintain my integrity and credibility by practicing investor relations in accordance with the highest legal and ethical standards.
2. Avoid even the appearance of professional impropriety in the conduct of my investor relations responsibilities.
3. Recognize that the integrity of the capital markets is based on transparency of credible financial and non-financial corporate information, and will to the best of my ability and knowledge work to ensure that my company or client fully and fairly discloses this important information.
4. Provide analysts, institutional and individual investors and the media fair access to corporate information.
5. Honor my obligation to serve the interest of shareholders and other stakeholders.
6. Discharge my responsibilities completely and competently by keeping myself abreast of the affairs of my company or client as well as the laws and regulations affecting the practice of investor relations.
7. Maintain the confidentiality of information acquired in the course of my work for my company or client company.
8. Not use confidential information acquired in the course of my work for my personal advantage nor for the advantage of related parties.
9. Exercise independent professional judgment in the conduct of my duties and responsibilities on behalf of my company or client.
10. Avoid any professional/business relationships that might affect, or be perceived to potentially affect, my ethical practice of investor relations.
11. Report to appropriate company authorities if I suspect or recognize fraudulent or illegal acts within the company.
12. Represent myself in a reputable and dignified manner that reflects the professional stature of investor relations.

**SERVICE PROVIDERS, AFFILIATES AND ACADEMICS CODE OF ETHICS**

**As a service provider, affiliate or academic member of the National Investor Relations Institute, I will:**

1. Maintain my integrity and credibility in accordance with the highest legal and ethical standards.
2. Keep myself abreast of the laws and regulations affecting the practice of investor relations to the extent necessary to fulfill my duties.
3. During the course of my work, support, study, research, reporting, and/or practice of investor relations:
  - a. Maintain the confidentiality of information acquired.
  - b. Not use confidential information acquired for personal advantage nor for the advantage of other parties.
  - c. Exercise independent judgment and avoid conflicts of interest.
4. Support and promote maintaining the highest level of ethical standards for investor relations professionals.
5. Report to appropriate authorities if I strongly suspect or recognize fraudulent or illegal acts are being conducted.
6. Represent myself in a reputable and dignified manner that reflects on the professional stature of investor relations.
7. Honor my obligation to serve the interest of shareholders and other stakeholders by recognizing that the integrity of the capital markets is based on transparency of credible financial and non-financial corporate information.
8. Avoid any professional/business relationships that might affect, or be perceived to potentially affect, the ethical practice of investor relations or its professional stature.

Have you ever been cited for violating Securities and Exchange Commission regulations, or convicted of a felony?  Yes  No

I hereby apply for regular membership in the National Investor Relations Institute, and, if accepted, I agree to inform myself of and abide by the Institute's Code of Ethics.

**PLEASE SIGN HERE** ↓

\_\_\_\_\_  
SIGNATURE DATE

\_\_\_\_\_  
PRINT NAME

Have you ever been cited for violating Securities and Exchange Commission regulations, or convicted of a felony?  Yes  No

I hereby apply for regular membership in the National Investor Relations Institute, and, if accepted, I agree to inform myself of and abide by the Institute's Code of Ethics.

**PLEASE SIGN HERE** ↓

\_\_\_\_\_  
SIGNATURE DATE

\_\_\_\_\_  
PRINT NAME

**Enforcement and Communication of the NIRI Code of Ethics**

NIRI urges compliance with its Code of Ethics by positively communicating the ideals of professional ethics and practice rather than through negative sanctions. However, members of NIRI who are sanctioned by an appropriate governmental agency or judicial body for violating laws or regulations affecting their professional activities may, upon recommendation of the NIRI Ethics Council, have their membership terminated by the NIRI Board of Directors following procedures in the Institute's bylaws.

**Section E. CHAPTER SELECTION AND INDUSTRY ROUNDTABLE SELECTION. Chapter and industry roundtable membership is optional.**

**CHAPTERS IN THE US**

Chapters provide valuable professional development and networking opportunities at the local level. National membership is prerequisite to chapter membership. Please remit chapter dues at the same time you submit your application with national dues.

\$150 Arizona ( <i>Phoenix</i> ) (includes cost of 5 meetings)	\$250 Cleveland/Northern Ohio (includes cost of 10 meetings)	\$ 75 Richmond
\$200 Atlanta (includes cost of 9 meetings)	\$ 60 Connecticut/Westchester ( <i>Stamford</i> )	\$100 Rocky Mountain
\$50 Austin/San Antonio	\$ 70 Dallas • Ft. Worth	\$ 75 San Diego
\$225 Boston (includes cost of 8 meetings)	\$ 70 Houston	\$ 75 San Francisco
\$100 Capital Area ( <i>Washington, DC</i> )	\$175 Kansas City	\$ 75 Seattle
\$ 75 Central Florida	\$ 75 Los Angeles	\$ 75 Silicon Valley
\$150 Central Ohio (includes cost of 4 meetings)	\$100 New York	\$ 75 South Florida
\$ 75 Charlotte	\$ 95 Orange County	\$175 St. Louis (includes cost of 5 meetings)
\$200 Chicago (includes 9 prepaid luncheons)	\$200 Philadelphia (includes cost of 10 meetings)	\$ 75 Triangle ( <i>North Carolina</i> )
\$150 Cincinnati Tri State (includes 4 prepaid dinners)	\$ 0 Pittsburgh (for 2011 only)	\$ 90 Twin Cities
		\$125 Virtual (dues include all webcast programs)
		\$ 0 Wisconsin (does not levy dues)

**INDUSTRY ROUNDTABLES**

You may be eligible to join one or more of NIRI's Industry Roundtables. You must be a NIRI corporate or counselor member to join NIRI Roundtables.

- \$100 - Banking Roundtable       \$100 - BioPharma Roundtable       \$100 - Semiconductor/Solar Roundtable

**PAYMENT: NATIONAL & CHAPTER DUES**

National Dues\* \$745 \$ \_\_\_\_\_

\* Includes one time application fee of \$150

**Chapter Affiliation(s) and Industry Roundtable**

See above for list of chapter and industry roundtable dues amounts.

Chapter \_\_\_\_\_ \$ \_\_\_\_\_

Chapter \_\_\_\_\_ \$ \_\_\_\_\_

Industry Roundtable \_\_\_\_\_ \$ \_\_\_\_\_

**Total National, Chapter and Roundtable Dues** \$ \_\_\_\_\_

Enclosed is my check.

Charge my credit card: Expiration Date \_\_\_\_/\_\_\_\_

AMEX \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

MC/VISA \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

DISCOVER \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

NAME AS IT APPEARS ON CARD

SIGNATURE PANEL NO.(REQUIRED)

**PLEASE REMIT DUES ALONG WITH APPLICATION TO**

**THE NATIONAL INVESTOR RELATIONS INSTITUTE**

**P.O. BOX 96040**

**WASHINGTON, DC 20090-6040**

**Phone: 703-562-7700 FAX: 703-562-7701**

**WORLD WIDE WEB: [www.niri.org](http://www.niri.org)**

- NIRI membership is in the name of the individual, not the employer organization.
- Transfers of membership from one individual to another may be made only with permission from the original member for a **\$50 administrative fee.**
- Membership dues must be submitted along with your application.
- Membership is active upon receipt of payment.
- National membership is prerequisite to joining a NIRI chapter or industry roundtable. Chapter membership is strongly recommended if there is a chapter in your area.

**Protecting Your Credit Card Account**

VISA, MasterCard, Discover and American Express charge cards contain special numeric identifiers that help protect you from fraudulent use of your account. Since these numbers are never recorded on any retail receipt, NIRI uses them to ensure that the person submitting the order actually has physical custody of the credit/charge card.

**NIRI TAX ID# 54-1758790**