

## Who We Are

NICSA is a non-profit trade association connecting all sides of the global asset management industry to **develop, share and advance leading practices**. NICSA offers enterprise-level membership benefits to a diverse set of participants in the industry– including product, distribution, technology, operations, compliance, and accounting professionals.

For over fifty years, the Association has offered a collective, timely view on evolving themes shaping the financial industry. At NICSA, deep expertise and unique perspectives come together in an open and collaborative environment to tackle the strategic implementation of the industry’s most vital issues.

## Our Mission

Our goal is to help asset management firms and financial service providers meet the changing needs of their clients and our industry by aligning and educating industry participants through:

- **Formal education programs** that provide collaborative insights from diverse perspectives
- **Interactive forums** that allow members to exchange ideas and business solutions
- **Networking opportunities** that connect members from all segments of the financial industry

“As a member of NICSA, we have benefited from access to the industry’s largest global asset managers and service providers. NICSA has afforded our employees access to its networking opportunities and interactive forums. NICSA encourages collaboration and, through their committee volunteer network, our employees have been able to further develop professional leadership skills and make a meaningful impact on the industry.”

David Whitaker | President |  
FORESIDE

We seek to provide industry executives the tools to **gain industry knowledge** and **make informed decisions** about strategic business development and best practice implementation. In addition, NICSA provides the opportunity for individuals to **develop professional leadership skills** and **make a meaningful impact** on the industry we serve via committee volunteer work.

# What We Offer

## ENTERPRISE-LEVEL VALUE

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Benefits are offered to all employees of member firms – executive level, mid-level management, and those that are new to the industry. NICSA’s membership value is extended to all parts of your organization .

“It is not often that you feel compelled to make a statement on an organization, but it is important to recognize excellence when you experience it. NICSA is not just another industry group. They are relevant in every important category from specific best practices to industry leading trends. The group continues to drive improvements in industry content, which can be leveraged as a primary or supplemental source of training for your organization.

NICSA has an effective lineup of committees that are chaired by industry leaders. NICSA is also bold enough to take a leading position on the critically important subject of diversity, by launching *The Diversity Project North America* with a set of founding members and a global reach.”

Phil Kolb | Managing Director,  
Head of Product Group Services |  
MORGAN STANLEY

## BROAD INDUSTRY PARTICIPATION

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NICSA has continued to evolve into a dynamic cross section of all aspects of the global asset management industry, with many of the largest and leading fund companies having a seat at the table.

NICSA offers enhanced collaboration across a **wide range of industry perspectives**. The Association enjoys a diverse membership, including asset management firms, broker dealers, and an extensive group of firms that include law, technology and service firms that support the industry.

## IMPACTFUL MEMBER CONTRIBUTION

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We rely upon strong member engagement, reflecting valuable insight and experience, to identify key themes and develop content for the programs that serve as education tools for NICSA members.

**Our thought leadership programs are driven largely by members for members.** Essential to our mission is active participation in, and contribution to, our many committees. To ensure that all segments of the global asset management industry are represented, NICSA supports a variety of topic and event committees that meet regularly to discuss emerging issues and exchange ideas.

Smaller committee sizes (approximately 25 members) allow our volunteers to have impactful participation, make meaningful contributions, and have their voices be heard.

**For a list of NICSA Committees, please visit [nicsa.org/about nicsa/committees](https://nicsa.org/about-nicsa/committees).**

## ACCESS TO LEADING INDUSTRY INTELLIGENCE

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NICSA provides access to developing industry practices via formal educational programs, nation-wide conferences, and informal networking opportunities. Employees of all stages of their careers can join our unique educational programs and receive valuable, practically-focused training on the essentials of the industry as well as deeper dives into leading industry practices.

### CONFERENCE AND WORKSHOP PROGRAMS

The **General Membership Meeting (GMM)** and **Strategic Leadership Forum (SLF)** each explore current industry trends via keynotes, panel discussions, and roundtables with subject matter experts across all areas of the global asset management industry. NICSA's SLF focuses on identifying central themes affecting the industry, while the GMM centers on business implications and strategic implementation of such developments.

NICSA also offers **regional meetings** and **workshops** throughout the year that encourage peer dialogue and deeper dives into select topics.

### EDUCATIONAL CONTENT

NICSA membership grants access to a number of engaging content streams.

**#WebinarWednesdays**, diverse perspectives on industry hot topics presented by prominent industry experts

**NICSA Connect**, a monthly digital newsletter showcasing NICSA content and events

**NICSA Talk**, a podcast series offering brief insights on top industry issues

**NICSA Blog**, key takeaways from events, webinars, and trending business themes

**NICSA Research Notes**, best practice guides for implementation and business planning

**NICSA Member Surveys**, provides participating firms access to results reports on key implementation issues

**NICSA Transfer Agent Compliance Guide**, the industry standard on compliance updates as they relate to the transfer agent function

**NICSA Knowledge Center**, a searchable database of member-firm research

**NICSA Member Portal**, where members can register for events, access committee material, and engage in discussion forums

## CONTINUING EDUCATION

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NICSA is registered with the National Association of State Boards of Accountancy (NASBA) and proudly offers continuing education credits as a sponsor of continuing professional education on the National Registry of CPE Sponsors.

## NETWORKING EXPOSURE

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Members can refresh and gain new connections with leading professionals in the global asset management industry through networking opportunities at NICSA's meetings and conferences. NICSA's events provide opportunities to interact with industry peers in a setting that is conducive to idea sharing and collaboration.

## PEER COLLABORATION

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NICSA offers exceptional opportunities to collaborate on industry trends via year-round committee meetings. NICSA committees span both front and back office business functions including Distribution, Technology & Innovation, Compliance & Risk Management, Transfer Agent, and Human Capital Management.

## CONTENT SHARING

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NICSA offers unique opportunities for member firms that want to highlight and leverage their thought leadership expertise. Positioning featured content within NICSA's newsletter and Knowledge Center provides access to a global, influential audience.

## ACTIVE INDUSTRY ENGAGEMENT

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Committee membership is open to all levels of management, providing an excellent opportunity for mid-level management to participate in the development of industry solutions.

## PROFESSIONAL DEVELOPMENT AT ALL MANAGEMENT LEVELS

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### SPEAKING ENGAGEMENTS

Member firms are often given the opportunity to recommend featured speakers for NICS A webinars and conferences. Expert speakers and subject matter experts are given a platform upon which to offer their unique perspective while enhancing their personal and corporate brands.

### LEADERSHIP OPPORTUNITIES

Qualified industry executives of member firms may volunteer for impactful leadership roles through chairing committees and task forces. These opportunities are focused on identifying and leading discussions on key practices and topics shaping the industry.

## SCHOLARSHIP PROGRAMS

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**Children of employees of NICS A member companies are eligible to apply for the [Blackwell Scholarship Program](#)**, a program designed to support students pursuing degrees in the asset management industry during their junior and senior years of college. Blackwell Scholars are provided two years of scholarship support, a mentor from a NICS A member company, and access to career networking and internship opportunities.

## DIVERSITY & INCLUSION EDUCATION

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**NICS A is the proud sponsor of the [Diversity Project North America](#)**, an initiative focused on increasing diversity within the global asset management industry. The mission of the Diversity Project is to promote a diverse and inclusive global asset management industry with the right talent to deliver the best possible results for our clients, reflect the society we serve, and ensure long-term business sustainability. The Project spans the entire range of the industry: asset managers, fund complexes, asset servicers, broker dealers, asset owners and professional service firms that support the industry.

Now is the time to #JoinTheMovement - please contact us at [info@nicsa.org](mailto:info@nicsa.org) if your company is interested in joining.

## VALUE FOR ALL DIVISIONS, ALL DEPARTMENTS, ALL EMPLOYEES

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Membership in NICS A is on an annual basis and at the corporate level. All associates of the member firm, as well as divisions and subsidiaries, are eligible for benefits. Membership levels are determined by company size.

There are a variety of membership levels and benefit packages to help participating firms maximize the value of NICS A membership benefits. Please contact NICS A for details.



An Asset Management Association For All

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