



**UPDATED AS OF JANUARY 2024**

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## Nicsa Committees

Impactful participation, meaningful contribution.

Nicsa's committees are at the heart of our mission to connect all facets of the global asset management industry in order to develop, share, and advance leading practices. Our thought leadership programs are driven largely *by members for members*. Essential to this process is active member engagement in our many committees. To ensure that all segments of the global asset management industry are represented, Nicsa supports a variety of committees that meet regularly to discuss emerging issues and exchange ideas.

### GOVERNANCE COMMITTEES

- Board of Directors
- Executive
  - Audit
  - Finance
  - Nominating

### TOPIC COMMITTEES

- Alternative Investments
- Compliance & Risk Management
- Data Analytics
- Fund Administration
- Fund & Investor Services
- International
- Next Gen
- Product & Distribution
- Retirement
- SMA and Model Portfolio
- Technology & Digital Innovation
- UIT
- Unclaimed Property

### EVENT COMMITTEES

- General Membership Meeting
- Strategic Leadership Forum

### ADVISORY COMMITTEES

- Content
- Membership
- NOVA Awards

Committee membership is open to all employees of member firms, providing an excellent opportunity for all divisions, all departments and all levels of management to participate in the development of industry solutions. To join, contact **Justine Phoenix** at [jphoenix@nicsa.org](mailto:jphoenix@nicsa.org).

*Updated Semi Annually.*

### GOVERNANCE COMMITTEES

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The following sub-committees are open only to members of the Board of Directors. Board sub-committee members facilitate decision-making by completing necessary research of ideas and to make recommendations to the Board as a whole.

#### ***Board of Directors***

#### **Executive Committee**

#### **Audit Committee**

#### **Finance Committee**

#### **Nominating Committee**

### TOPIC COMMITTEES

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#### **Alternative Investments Committee**

**Meeting Frequency:** Monthly

The Alternative Investments Committee will focus on education and opportunities to assist Nicsa in developing content to inform the investment community on the leading practices for alternative investment products across firms and platforms. The committee focuses on leading practices in service, platforms and operations for the broad scope of alternative investment products.

The committee will advocate for industry standardization and streamlining of current policies and procedures associated with the service and distribution of alternative investment products.

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#### **Compliance & Risk Management Committee**

**Meeting Frequency:** Bi-Monthly

This Committee focuses on regulatory compliance and the management of risk in the fund industry. Members share best practices and are responsible for contributions to conference sessions, webinar offerings, and research. Membership typically comprises asset managers, audit firms, and legal and compliance consulting firms.

## Nicsa Committee Descriptions

### **Data Analytics Committee**

**Meeting Frequency:** Monthly

This Committee serves as a resource for the Nicsa community by providing access to information and education related to advanced data analytics. The Committee draws on its own members as well as industry experts to help the Nicsa community identify and understand available data sources and best optimize data within asset management organizations.

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### **Fund Administration Committee**

**Meeting Frequency:** Quarterly

This Committee contributes to Nicsa's mission by providing subject matter expertise for development of best practices and by working with Nicsa staff to make those best practice discussions available to our broader membership in multiple formats. The Committee format and interaction also provide members with opportunities to benchmark and network. The Committee will work to provide and build content and education for the membership. The co-chairs and committee members will discuss topics and determine what content and format are most appropriate depending on the topic.

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### **Fund & Investor Services Committee**

**Meeting Frequency:** Bi-Monthly

The Committee monitors and discusses trends in mutual fund transfer agent operations, including but not limited to those related to regulatory-, industry-, and market changes. Members share best practices and are responsible for content ideation that contributes to Nicsa conference sessions, webinars, and research. In addition, members are responsible for contribution to the annual Nicsa Transfer Agent Compliance Guide. Membership typically comprises transfer agents and investment management companies.

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### **International Committee**

**Meeting Frequency:** Monthly

The Committee enhances Nicsa's mission by offering subject matter expertise for developing best practices. Collaborating with Nicsa staff, it shares these discussions in various formats with our diverse membership. The Committee fosters collaboration and networking opportunities, working to provide educational content on topics affecting **both** North American and international audiences in the asset & wealth management industry.

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### **Next Gen Committee**

**Meeting Frequency:** Quarterly

## Nicsa Committee Descriptions

This Committee explores the development of trendsetting programming designed to enhance engagement among emerging leaders with the asset management industry. Members will furnish relevant content ideas for Nicsa conferences, webinars, and research pertaining to Next Gen issues, including generational perspectives, leadership development and succession planning.

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### **Product & Distribution Committee**

**Meeting Frequency:** Quarterly

The Product & Distribution Committee is comprised of asset managers and industry organizations that support products/distribution to identify key trends and challenges resulting from the changing business environments within intermediary home offices. The committee will address product trends, product development, intermediary engagement, data/reporting and organizational realignment in order to address the changing business environment.

As necessary, the committee may determine that they will engage in partnerships to leverage research or consulting expertise and provide content and education for Nicsa membership. This content may include webinars, workshops and conference panels.

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### **Retirement Committee**

**Meeting Frequency:** Monthly

This Committee focuses on issues related to retirement funds and/or servicing retirement clients. The Committee contributes to Nicsa's mission by providing subject matter expertise for developing and sharing best practices. Members are responsible for content ideation that contributes to development of Nicsa conference sessions, webinar offerings, and research. Membership typically comprises investment management companies, banks, consulting firms, and service providers.

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### **SMA and Model Portfolio Committee**

**Meeting Frequency:** Quarterly

The Committee's mission is to create a platform for constructive networking and to provide a sounding board for best practices for SMAs and model portfolios.

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## Nicsa Committee Descriptions

### Technology & Digital Innovation Committee

**Meeting Frequency:** Monthly

The Committee focuses on technology issues related to the financial services industry and fosters innovative thinking within the fund community. Members share best practices and are responsible for content ideation that contributes to Nicsa conference sessions, webinars, and research. Membership typically comprises investment managers, service providers, and technology companies.

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### UIT Committee

**Meeting Frequency:** Quarterly

This Committee contributes to Nicsa's mission by providing subject matter expertise for development of best practices. Members are responsible for delivering these ideas and practices to the broader membership in multiple content formats. Membership typically comprises asset managers, broker dealers, law and audit firms, and service providers.

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### Unclaimed Property

**Meeting Frequency:** Quarterly

The Unclaimed Property Committee focuses on current issues impacting unclaimed property rules that will have an impact on Nicsa membership. The Committee will keep members informed of bill proposals or changes in state requirements, as well as share updates, opinions, and comment letters related to regulatory developments. Committee members will share best practices and updates from STA, UPPO, Holder's Coalition and other associations as well provide a platform for informative discussions among committee members.

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## EVENT COMMITTEES

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### General Membership Meeting Committee

**Meeting Frequency:** Weekly (January-November)

This Committee is an integral and active part of the Association and is comprised of representatives from other Nicsa Topic Committees. The Committee is responsible for driving content development and speaker identification for the annual Nicsa General Membership Meeting typically held in Boston in the fall. Membership comprises individuals from companies operating in all segments of the financial industry.

## Nicsa Committee Descriptions

### **Strategic Leadership Forum Committee**

**Meeting Frequency:** Weekly (April-March)

This Committee is an integral and active part of the Association and is comprised of representatives from other Nicsa Topic Committees. This Committee is responsible for driving content development and speaker identification for the annual Nicsa Strategic Leadership Forum typically held in Florida each winter. Membership comprises individuals from companies operating in all segments of the financial industry.

## ADVISORY COMMITTEES

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### **Content Committee**

**Meeting Frequency:** Quarterly

This advisory Committee is an integral part of the Association and is responsible for identifying industry themes that impact a majority segment of Nicsa member firms. These key themes serve as the pillars that shape Nicsa's content development. Membership comprises individuals from companies operating in all segments of the asset and wealth management industry.

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### **Membership Committee**

**Meeting Frequency:** Bi-Monthly

This Committee contributes to Nicsa's mission by providing best practice strategies and assistance to increase membership, leverage membership benefits, and encourage membership engagement. Membership comprises individuals from companies operating in all segments of the asset and wealth management industry.

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### **NOVA Awards Committee**

**Meeting Frequency:** Ad hoc

This Committee identifies firms and individuals within the asset management industry who have demonstrated outstanding service, creativity, leadership and operational excellence. The NOVA awards are presented annually at the Nicsa's General Membership Meeting. Committee membership comprises individuals from companies operating in all segments of the asset management industry.

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*Don't see a committee that is right for you? Feel that Nicsa has an opportunity to focus on additional themes relevant to the asset management industry? Please [contact us](#) to suggest a new committee.*