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NEW YORK, NY 10036
NBPA.COM

T 212 655 0880
F 212 655 0881

Dear Prospective Agent:

Thank you for your recent inquiry regarding obtaining information on becoming a certified agent with the National Basketball Players Association. Please complete the enclosed application and return it to our office to the attention of **Eric Rhodes, Director of Security**. All applicants must submit a copy of the highest diploma received or an official copy of your transcript with your application. If this is not included, it will delay the process of your application. **(Each question must be answered in order for us to fully evaluate your credentials, if you need more space to fully answer a question, please attach an addendum to this application.)**

Please note that a **non-refundable** application fee of \$100.00, in addition to the required annual dues in the amount of \$2,500.00, should be included with your application. Dues are applied on a per season (July 1–June 30) basis. For future seasons, dues are based on the number of NBA clients an agent represents, please see the Agent section of NBPA.com for more details. These monies, in the form of a check or money order, payable to the National Basketball Players Association, are due and payable upon remittance of your application. **Please be sure to include the name of the applicant in the memo section of the check or money order submitted for payment.** You will be required to pay next year's dues on or before July 1 of each and every year thereafter.

If you have any questions regarding the enclosed application and or the NBPA Regulations Governing Player Agents, please do not hesitate to contact our offices.

Respectfully,

A handwritten signature in black ink, appearing to read "Ramya Ravindran".

Ramya Ravindran
Deputy General Counsel



NBPA AGENT CERTIFICATION CHECKLIST

PLEASE INCLUDE THIS FORM WITH YOUR COMPLETED APPLICATION

FULL NAME (LAST, FIRST, MIDDLE)		

HOME ADDRESS	CITY / STATE	ZIP CODE
_____	_____	_____
PRIMARY PHONE NUMBER	CELL PHONE NUMBER	
_____	_____	
EMAIL ADDRESS	FAX NUMBER	
_____	_____	

APPLICATION CHECKLIST

Please be sure to complete all of the items below before submitting your application to be processed.

- Answer all questions completely, including name, address and phone number
- Included **\$2500**. Also please note that a non-refundable fee of \$100 should also be included with your application as a separate check. Please be sure to include the name of the applicant in the memo section of the check or money order. Place your application fee in a sealed envelope with your application, and address the envelope with your fee to the attention of the Finance Department. **All completed applications should be sent to the attention of Eric Rhodes, Director of Security.**
- Original signature on application
- Copy of highest degree/transcript obtained included
- Original notary
- Completed and signed release form



NBPA AGENT CERTIFICATION CONSENT & RELEASE

AUTHORITY AND CONSENT TO RELEASE INFORMATION INCLUDING CONSUMER REPORTS
AND CONSUMER INVESTIGATIVE REPORTS UNDER THE FEDERAL FAIR CREDIT REPORTING ACT

1 | Screening Questionnaire for Identification Purposes:

FULL NAME (LAST, FIRST, MIDDLE)

SSN

HOME ADDRESS

CITY / STATE

ZIP CODE

DATE OF BIRTH

PRIMARY PHONE NUMBER

DRIVER'S LICENSE NUMBER

STATE

2 | Authorization and General Release:

I hereby authorize the National Basketball Players Association and all of its agents to request and receive any information and records concerning me, including, but not limited to, consumer credit, criminal record history, driving, employment, military, civil, regulatory, educational data, and reports from individuals, corporations, partnerships, courts, law enforcement, and licensing agencies, consumer reporting agencies, and other entities, including my present and previous employers.

I further release and discharge the National Basketball Players Association, all of its agents and all of its subsidiaries and affiliates, and every employee or agent of any of them, and all individuals and personal, business, private, or public entities of any kind, from any and all claims and liability arising out of any request(s) for, or receipt of, information or records pursuant to this authorization, or arising out of any compliance, or attempted compliance, with such request(s). I also authorize the procurement of an investigative consumer report and understand that it may involve personal interviews with sources such as friends, neighbors and associates, and

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may contain information about my character, general reputation, personal characteristics, and mode of living, whichever are applicable. I understand that I have the right to make a written request within a reasonable period of time for a complete and accurate disclosure of additional information concerning the nature and scope of the investigation. I acknowledge that I have voluntarily provided the above information for qualification as an NBPA Certified Player Agent, and I have carefully read and I understand this authorization. Further, I understand that the NBPA has the right to provide any information obtained to players and their family members who are advising them in selecting an agent.

I have been given a stand-alone, consumer notification that a report will be requested and used for the purpose of evaluating me for qualification as an NBPA Certified Agent. The following is my true and complete legal name, and all of the above information is true and correct to the best of my knowledge.

SIGNED

DATE



NBPA AGENT CERTIFICATION APPLICATION AGREEMENT

I, _____, _____,
FULL NAME (LAST, FIRST, MIDDLE) SSN

BUSINESS ADDRESS AND AFFILIATION (IF ANY) ZIP CODE

hereby apply for certification as an NBPA Player Agent pursuant to the NBPA Regulations Governing Player Agents, as adopted effective February 15, 2016.

In advance of filling out and signing this application, I have read the NBPA Regulations Governing Player Agents, a copy of which has been provided to me along with this application form.

In submitting this application, I voluntarily agree to comply with and be bound by those Regulations (including but not limited to the maximum fee schedule) which are incorporated herein by reference and any subsequent amendments that may be promulgated thereto.

I understand that making any false or misleading statement of a material nature in answering any question on this Application can result in denial or revocation of certification.

I understand that all the information contained in this Application is designed to benefit the NBPA and its members, both present and future, by helping to insure qualified representation. I unconditionally agree that the information contained herein can be maintained and used by the NBPA Committee on Agent Regulation in performing its functions and can be provided by the Committee to individual NBA players, including rookies, and their family members who are advising them in selecting an agent.

I understand and agree that only persons who have been certified by the NBPA will be permitted to represent NBA players, including rookies, in performing services described in the Regulations (Section 1).

I understand and agree that a precondition to being granted certification is that I swear or affirm that every agreement for the performance of an Agent's services which I enter into with a player shall conform to the Standard Player Agent Contract in effect at that time.

I agree that if I am granted certification, I will save and hold harmless the NBPA, its Officers, employees and representatives (including, but not limited to, the Committee on Agent Regulation and the individual members thereof) from any liability whatsoever resulting from my acts of commission or omission in providing services to any player in connection with his individual compensation negotiations with an NBA club or in connection with any subsequent enforcement of such individual contract.



NBPA AGENT CERTIFICATION APPLICATION AGREEMENT

I agree that if I am denied certification, or if subsequent to obtaining certification it is revoked or suspended pursuant to the Regulations, the exclusive method for appealing from any such action is through the arbitration procedure set forth in the Regulations.

In consideration for being accorded the opportunity to obtain certification status, I further agree that this application and the certification, if one is issued to me, and the NBPA Regulations Governing Play Agents shall constitute a contract between the NBPA and myself.

SIGNED

DATE

NOTARY PUBLIC

DATE

(CONT. FROM PREVIOUS PAGE)

A | Degree:

DEGREE AWARDED

DATE AWARDED

B | Colleges or Universities attended:

1: _____
SCHOOL CITY, STATE

DEGREE

DATES ATTENDED

2: _____
SCHOOL CITY, STATE

DEGREE

DATES ATTENDED

3: _____
SCHOOL CITY, STATE

DEGREE

DATES ATTENDED

4: _____
SCHOOL CITY, STATE

DEGREE

DATES ATTENDED

C | High School attended:

SCHOOL

CITY, STATE

DATE GRADUATED

D | If you have not received a degree from an accredited four-year college/university, list below the negotiating experience you wish the Committee to consider in lieu of any year(s) of education.

SECTION 3 | EMPLOYMENT

A | I am currently (check one):

Employed by:

NAME OF EMPLOYER

PHONE NUMBER

EMPLOYER ADDRESS

CITY / STATE

ZIP CODE

NATURE OF EMPLOYMENT

DATES OF EMPLOYMENT

Self-employed

B | If self-employed, please state nature and location of business:

C | Please list below the names of employers, addresses, positions held, and dates of all employment you have had for the past ten (10) years:

SECTION 4 | LAWYERS AND LAW GRADUATES

A | Have you been admitted to the Bar in any jurisdiction?

YES NO

If yes, please list jurisdictions and dates of admission:

_____	_____
JURISDICTION	DATE OF ADMISSION
_____	_____
JURISDICTION	DATE OF ADMISSION
_____	_____
JURISDICTION	DATE OF ADMISSION

B | Do you have any applications for Bar admission currently pending?

YES NO

If yes, please state where you have applied and the status of that application:

C | Have you ever been disbarred, suspended, reprimanded, censured, or otherwise disciplined or disqualified as an attorney, as a member of any other profession, or as a holder of any public office?

YES NO

If yes, please describe each such action, the dates of occurrence, and the name and address of the authority imposing the action in question:

D | Are any charges or complaints currently pending against you regarding your conduct as an attorney, as a member of any profession, or as a holder of public office?

YES NO

If yes, please indicate the nature of the charge or complaint and the name and address of the authority considering it:

E | Has your right to practice before any governmental office, bureau, agency, commission, etc. ever been disqualified, suspended, withdrawn, denied, or terminated?

YES NO

If yes, please explain fully:

SECTION 5 | PROFESSIONAL LICENSES (OTHER THAN LAW)

A | Are you a member of any business or professional organization which directly relates to your occupation or profession?

YES NO

If yes, please list:

B | Please list any occupational or professional licenses or other similar credentials (i.e., Certified Public Account, Chartered Life Underwriter, Registered Investment Advisor, etc.) you have obtained other than college or graduate school degrees, including dates obtained:

C | Have you ever been denied an occupational or professional license, franchise or other similar credentials for which you applied?

YES NO

If yes, please explain fully:

D | Do you have currently pending any application for an occupational or professional license, franchise or other similar credentials?

YES NO

If yes, please describe and indicate status of each such application:

E | Have you ever been suspended, reprimanded, censured, or otherwise discipline or disqualified as a member of any profession, or as a holder of any public office?

YES NO

If yes, please describe each such action, the date(s) of occurrence and the name and address of the authority imposing the action in question:

F | Are any charges or complaints currently pending against you regarding your conduct as a member of any profession, or as a holder of public office?

YES NO

If yes, please indicate the nature of the charge or complaint and the name and address of the authority considering it:

G | Has your right to engage in any profession or occupation ever been disqualified, suspended, withdrawn, or terminated?

YES NO

If yes, please explain fully:

SECTION 6 | LEGAL PROCEEDINGS

A | Have you ever been charged with, indicted for, convicted of, or pled guilty (including a plea of no contest or nolo contendere) to a criminal charge, other than minor traffic violations (\$100 fine or less)?

YES NO

If yes, please indicate nature of offense, date of conviction, criminal authority involved, and punishment assessed.

B | Have you ever been a defendant in any civil proceedings, including bankruptcy proceedings, in which allegations of fraud, misrepresentation, embezzlement, misappropriation of funds, conversion, breach of fiduciary duty, forgery, or legal malpractice were made against you?

YES NO

If yes, please describe fully and indicate results of the civil proceeding(s) in question:

C | Have you ever had legal proceedings brought against you by any player, players association, professional sports club or league (NBA or otherwise) for any reason?

YES NO

If yes, please describe fully and indicate the results of the legal proceeding in question:

D | Have you ever been adjudicated insane or legally incompetent by any court?

YES NO

If yes, please provide details:

E | Were you ever suspended or expelled from any college, university or other educational institution?

YES NO

If yes, please describe circumstances:

F | Has any surety or any bond on which you were covered been required to pay any money on your behalf?

YES NO

If yes, please describe circumstances:

G | Are there any unsatisfied judgments or liens of continuing effect against you (other than alimony or child support)?

YES NO

If yes, please provide full details:

H | Have you ever been declared bankrupt or been an owner or part owner of a business which has declared bankruptcy?

YES NO

If yes, provide full details:

SECTION 7 | REFERENCES

Please list below the names, addresses, and daytime telephone numbers of at least five (5) persons, not related to you, who have known you for at least the last five (5) years and who can attest to your character. (Names of officers, player representatives, or staff members of the NBPA may not be used):

- 1: _____
- 2: _____
- 3: _____
- 4: _____
- 5: _____

SECTION 8 | PROFESSIONAL SPORTS EXPERIENCE

A | Please list below the names of every NBA player, including rookies, you are now representing or have represented in the past in individual contract negotiations with NBA clubs, indicating the dates of such representation, the NBA club(s) involved, and whether your representation in each instance was pursuant to the NBPA's Standard Player-Agent Contract:

B | Apart from basketball, list any other professional sports in which you currently represent or have previously represented any professional athletes, and for each such sport specify the number of athletes you currently represent.

C | Have you ever applied to be certified as a player agent pursuant to any other sports union's regulations?

YES NO

If yes, please provide the name of the sports union, the date of your application, and the outcome of that application. If your application was denied, please provide a copy of that decision, including the decision from any appeal you may have taken.

D | Have you ever been subject to disciplinary action by another sports union?

YES NO

If yes, please provide the outcome of that proceeding and a copy of the decision, including the decision from any appeal you may have taken.

E | Are you registered or have you applied to be registered pursuant to any law, statute, or regulation governing athlete's agents, whether within or outside the United States?

YES NO

If yes, list each such application and your current status.

F | (Optional – applicant may refrain from answering if he or she desires.)

Please list below the names of any other professional athletes, entertainers, or celebrities you are now representing or have represented in the past, indicating the type of representation, the dates of representation, and the employers involved.

SECTION 9 | MANAGEMENT PERSONNEL

A | List the names of any coaches, general managers, or other management officials of any NBA team that you presently are representing or have represented in the past in individual contract negotiations with their respective team, including the date(s) of such representation:

B | Do you have a financial or business relationship with any coach, general manager, owner, or other management official of any professional basketball team, club, or league located outside the United States?

YES NO

If yes, please provide details.

SECTION 10 | BUSINESS AFFILIATIONS

- A |** List the name, address, and telephone number for each firm or organization with which you are presently affiliated where any part of the business is the representation of professional athletes.

- B |** For each such firm or organization, state whether it is a sole proprietorship, corporation, partnership, or other entity (specify).

- C |** If a partnership, list the name of each partner; if a corporation, list the name of each officer and member of the Board of Directors. Designate those partners, officers or members of the Board of Directors who customarily perform work for professional athletes.

- D |** List each person, not named in 10.C above who: (1) has a significant ownership interest in your firm or organization; (2) has wholly or partially financed your firm or organization (other than financing or credit extended in the ordinary course of business by lending institutions); or (3) directly or indirectly exercises or has the power to exercise a controlling influence over the management of your firm or organization.

- E |** Describe the ownership interest, the amount of financing, and/or basis of controlling influence for each person listed in 10.D above.

F | Describe fully the nature of the business of each of your firm(s) or organization(s) listed in 10.A (previous page).

G | With respect to your present business, list each person engaged in the representation of professional athlete(s) and his/her area(s) of specialty.

H | List all persons employed by you or any of your businesses, either directly or indirectly, who solicit, recruit or recommend players on your behalf. For each person listed include current addresses, phone numbers, and a brief description of your business relationship with them, including any fee arrangements.

SECTION 11 | SERVICES

A | What services does your firm provide to Players? (place a check next to each service provided):

- | | |
|--|---|
| <input type="checkbox"/> Contract Negotiation | <input type="checkbox"/> Financial Planning |
| <input type="checkbox"/> Estate Planning | <input type="checkbox"/> Appearances/Endorsements |
| <input type="checkbox"/> Grievance-Arbitration | <input type="checkbox"/> Investment Counseling |
| <input type="checkbox"/> Tax Planning | <input type="checkbox"/> Other Services (explain) |

B | Do you carry liability insurance in connection with the services you render pursuant to these regulations?

YES NO

If yes, list the carrier and the type of coverage.

C | Do you manage, invest or in any manner handle funds for NBA players?

YES NO

If yes, are you bonded?

YES NO

(CONT. FROM PREVIOUS PAGE)

If yes, please provide details as to the amount of the bond, the name and address of the surety or bonding company, etc.:

D | If you answered yes to 11.C (previous page), are you currently registered under the Investment Advisor’s Act, 15 U.S.C. Section 80.B-3 et seq.?

YES NO

If no, explain why:

E | If you do not provide services in one or more of the listed areas in 11.A (previous page), do you make referrals or otherwise assist the player in securing such services?

YES NO

If yes, describe what you do in this regard, including the name and address of each individual/firm to which you refer players for such service; your process for selecting, recommending, and monitoring such service providers; the amount of any monetary or other form of compensation you receive for such referrals; and if the services involved include financial management or investment counseling, whether the service provider is bonded.

F | With respect to the areas in which you do not provide services, do you: (1) have an ownership interest in; (2) wholly or partially finance; (3) directly or indirectly exercise a controlling influence over any firm or organization that does provide such services; or (4) have any other financial relationship? If so, list the name and address of each firm or organization, the services it provides, and a detailed explanation of your relationship to and/or involvement with such firm or organization (including financial relationships).

1: _____

2: _____

(CONT. ON FOLLOWING PAGE)

(CONT. FROM PREVIOUS PAGE)

3: _____

4: _____

G | Do you provide contract negotiating services for players who seek to play professional basketball outside the United States?

YES NO

If yes, please explain what you do in this regard; whether you negotiate such contracts directly or whether you retain another entity to handle such negotiations; your process for selecting and monitoring such entities; and the terms any agreement, understanding, or relationship you have with any individual, firm, or organization located outside the United States to assist you with negotiating contracts for players who seek to play professional basketball outside the United States.

H | Do you have an agreement, understanding or relationship of any kind with any individual, firm or organization pursuant to which such individual, firm or organization solicits, recruits, or encourages players to use your services?

YES NO

If yes, explain fully, including the name and address of each such person, firm or organization; what steps you take to ensure the honesty, integrity and qualifications of any such individual, firm or organization; and whether you provide any compensation or other consideration to such individual, firm or organization.

SECTION 12 | FEES

A | If you (or any affiliated company listed in 11.F (previous page)) provide any of the services listed in 11.A (previous page) other than contract negotiation, please specify your customary fees for each such service; whether they are based on a percentage of the Player's salary you negotiate, his total income, an hourly fee, or some other arrangement; and the relationship, if any, of such fees to the fees you charge for player contract negotiations and related services.

B | If you provide contract negotiating services for players who seek to play professional basketball outside the United States, please specify your customary fees for such services and the nature of any fee-sharing arrangement you have with any entity that assists you in negotiating such contracts.

C | Do you bill the player for your expenses in connection with the services referred to in 11.H (previous page)?

YES NO

If yes, on what basis do you bill (e.g. itemized out-of-pocket, daily rate or other basis)?

Do you allocate proportionate expenses among various player clients?

YES NO

If yes, describe method of allocation.

D | What, if any, additional charges do you customarily bill for other financially related work?

E | When is the player expected to pay your fees for such services?

F | Do you or any affiliated organizations or persons listed in numbers 10.D or 11.E above receive any fees, commissions, rebates or other compensation, other than as paid directly by a player client, as a result of:

(1) the player purchasing any securities or funds (stocks, bonds, mutual funds, etc.)?

YES NO

(2) the player investing in any investment vehicles (partnerships, businesses, corporation, venture capital program, etc.)?

YES NO

(CONT. FROM PREVIOUS PAGE)

(3) the player purchasing any form of insurance (disability, life, casualty, etc.)?

YES NO

(4) the player making any endorsements, appearances or other licensing arrangements?

YES NO

If you answered "yes" to any of questions (1)-(4), please explain in detail the compensation that is received.

(1) _____

(2) _____

(3) _____

(4) _____

G | Do you receive any other compensation as a result of your representation of the player?

Are these additional forms of compensation fully disclosed to the player?

YES NO

In writing?

YES NO

Are these additional forms of compensation deducted from the fees you charge as set forth in number 12.A (previous page)?

YES NO