

Exhibit A – Limited Certification

APPLICATION FOR LIMITED CERTIFICATION AS A PLAYER AGENT

INSTRUCTIONS

Use this Application form if you are applying for a **Limited Certification** as a Player Agent. Limited Certification is required before any individual may engage, on behalf of any Player Agent, in **Recruiting** players or providing **Client Maintenance Services** to players, as more fully described in Sections 2(D), 2(E), and 3(B) of the Regulations. A person who is granted Limited Certification is **NOT** authorized to represent or advise individual Players in the negotiation of Major League contract terms; for that you must obtain General Certification. If you are granted a Limited Certification, you may apply later for a General Certification

Your Application for Limited Certification, must be accompanied by a **Designation of Recruiter or Client Maintenance Services Provider** form (*Exhibit C*) designating you and signed by at least one Player Agent with General Certification. (*See, Regulations, Section 4(D)*).

YOU MUST READ ALL OF THE REGULATIONS and be sure that you understand them BEFORE you begin to fill out this Application. Sections 4 and 4(D) of the Regulations provide the detailed requirements and procedures for applying for Limited Certification.

IMPORTANT NOTE: - The mere filing of this Application **does not** constitute certification by the MLBPA as a Player Agent nor does it authorize you to engage in any of the conduct requiring certification as described in Section 3 of the Regulations. If the MLBPA approves your Application and grants you a Limited Certification as a Player Agent, you will be notified of your certification and only then will you be authorized to engage in the Recruiting or Client Services Maintenance activities for which you are granted Limited Certification.

Temporary Limited Certification – If you are already engaged, on behalf of a Player Agent, in the Recruiting of players or the Providing of Client Maintenance Services, you may be authorized, on a temporary basis for up to 90 days, to continue those activities while you apply for Limited Certification. You may file a request for temporary Limited Certification from the MLBPA, as provided in more detail in Sections 4(D)(1) and 4(D)(2) of the Regulations. A request for a temporary Limited

Certification may be made by e-mail or letter to the MLBPA providing identification and contact information about yourself, the conduct for which authorization is sought (*e.g.*, Recruiting or Client Maintenance Services), and the reasons why a temporary Limited Certification is needed. E-mail requests for temporary Limited Certification should be sent to the MLBPA at the following e-mail address:

AGENT.REG@MLBPA.ORG.

One Application Per Person - Each individual in your organization who wishes to be certified as a Player Agent must submit an Application. Applications will not be accepted and certifications will not be issued in the name of a partnership, corporation, or other business entity (*see Section 4(B)*).

Definitions of Terms - Certain terms in this Application are defined in Section 2 of the Regulations (*e.g.* “player,” “Player,” “Recruiting,” “Client Maintenance Services,” etc.) They have the same meaning in this Application as in the Regulations themselves.

Completing the Application - The Application form you need to fill out will be sent to you by the MLBPA as an e-mail attachment file in an interactive “.pdf” format.

You must open the .pdf Application form attachment and fill it out on your computer, then print it out on paper for signing and mailing to the MLBPA, retaining a signed copy for your files. First, though, be sure to e-mail the completed and unsigned .pdf Application form back to the MLBPA at this address as an e-mail attachment:

AGENT.REG@MLBPA.ORG

This will allow the MLBPA to store your answers in electronic format in our computer system. When you e-mail your completed Application to the MLBPA, you may also e-mail (as .pdf attachments) any Designation of Recruiter or Client Maintenance Services Provider form or any other documents that accompany your Application.

We expect soon to have the interactive Application form available on-line at **WWW.MLBPAAGENT.ORG**, where you will be able to fill it out on-line, then print it out to sign and file with the MLBPA in accordance with the on-line instructions.

Answer Every Question, Even if “Not Applicable” - You must provide a written response to every question in the Application, even if the question does not apply to you, in which case the appropriate response is “Not Applicable” or “N/A”.

Filing the Application - When the Application form has been filled out accurately and completely and e-mailed back to **AGENT.REG@MLBPA.ORG**, the **original** printed version must be signed by the Applicant, and mailed or delivered to the MLBPA, along with the \$500.00 Application fee, (see Sections 4(G) and 4(H)), in an envelope clearly marked "ATTENTION: Player Agent Certification" at the following address:

**Major League Baseball Players Association
ATTENTION: Player Agent Certification
12 East 49th Street, 24th Floor
New York, NY 10017**

Keep a Copy for Yourself and Players - You **must** keep and maintain a copy of your completed Application for your files. Section 5(A)(3) of the Regulations requires that you inform each player you Recruit, before the player signs any Player Agent Designation form or otherwise agrees to become your client or advisee, that he has a right to request and obtain a copy of your most recent Application, and that you provide a copy to him if he requests it.

MLBPA’s Review of Application - In its review of your Application, the MLBPA may request that you provide additional information or documents, or may conduct whatever additional investigation it deems appropriate, including requiring a conference with you by telephone or in person (*see Section 4(I)*). If your Application is not complete, or you fail to cooperate with the MLBPA in its processing of your Application, or you make any misrepresentation or any false or misleading statement or omission of a material nature in the Application, you may be denied certification (*see Sections 4(M)(1) through 4(M)(3)*).

Bi-Annual Application Updates - If you are granted Limited Certification as a Player Agent, at least once every two years thereafter, by the second anniversary date of the filing of your most recent Application, you must also file either:

- (1) a completed, signed and fully-updated Application, or
- (2) a written certification that no information in your most recently-filed Application has changed. (*see Section 4(H)*).

You may use this Application form, or, if there has been no change in any of the information provided in your most recent Application, you may file a written certification (by e-mail or letter to the MLBPA) that no information in your most recently filed Application has changed. There is no filing fee for a filing a bi-annual Application update, or a certification of no change in your information for Player Agents with Limited Certification.

On-Going Updates - In addition, to ensure that the information contained in this Application is kept current and up-to-date, you must file written updates with the MLBPA, whenever there are material changes in the information in your most recent Application, such as any change involving your employment status, any change in the Player(s) you represent, any change in the customary fees you charge for the services you provide, any disciplinary proceeding that has been initiated against you, or any formal charge or complaint filed against you (*see Section 5(A)(I)*). You **do not** need to use this Application form for on-going updates, a brief letter or e-mail message to the MLBPA at **AGENT.REG@MLBPA.ORG** describing the changes that need to be reported will suffice. In the case of changes in the Player(s) you represent, the filing of Player Agent Designation forms will suffice.

If you have questions concerning this Application or the Agent Regulations in general, you should e-mail or call the MLBPA at **AGENT.REG@MLBPA.ORG** or (212) 826-0808.

**APPLICATION FOR
LIMITED CERTIFICATION
AS A PLAYER AGENT**

- PLEASE READ THIS IMPORTANT NOTICE -

**Do not begin to complete this Application until you have read and understand ALL
of the Regulations and Instructions which precede it.**

**By signing and submitting this Application to the MLBPA, you are agreeing to comply with
and be bound by the Regulations and any amendments adopted by the MLBPA.**

Your full name:

Last 4 digits of your Soc. Sec. No:

User Name for Agent Website (if any):

Name of the Business for which you provide services to or Recruit players:

Your Business Address – Street (Do not use P.O. Box):

Your Business Address – City:

Business - State and Postal Code:

Business – Country:

Your E-Mail Address for MLBPA business e-mails:

Your Business Phone Number:

Your Business Fax Number:

Your Home Address – Street:

Your Home Address - City:

Your Home State & Postal Code:

Your Home Address – Country:

Your Home Phone Number:

Your Mobile Phone Number:

I HEREBY APPLY FOR LIMITED CERTIFICATION by the Major League Baseball Players Association (“MLBPA”) as a Player Agent pursuant to the MLBPA Regulations Governing Player Agents (“Regulations”), a copy of which has been provided to me and which I have read in their entirety prior to completing and signing this Application.

I UNDERSTAND AND AGREE that, by signing this Application’s Certification by Applicant and submitting this Application for filing with the MLBPA, I am entering into a binding contract with the MLBPA that as long as I remain an Applicant for Limited Certification as a Player Agent, or if Limited Certification is granted, as long as I remain a certified Player Agent, I will comply with and be bound by the Regulations (which are hereby incorporated by reference into this Application), including such subsequent amendments to the Regulations as may be adopted by the MLBPA, and that my failure to comply in any material respect with any provision of the Regulations shall constitute grounds for denial, revocation, limitation or suspension of my Limited Certification, or other disciplinary action by the MLBPA.

I FURTHER UNDERSTAND AND AGREE that the information contained in this Application is designed to assist MLBPA members, both present and future, in making informed selections of Player Agents, and that the information provided in this Application (or in any update required by the Regulations), therefore, may be provided by the MLBPA to any individual player, and, in addition may be used by the MLBPA as it deems necessary in the performance of its representational duties, including the publication of basic biographical, educational, professional and contact information in a Player Agent directory.

Use additional pages at the end of this Application form to complete your responses where necessary. Be sure to reference the number of the particular question being answered.

PERSONAL INFORMATION

- 1. Your full name: _____
- 2. Your birth date: _____
- 3. Your birthplace: _____
- 4. Your citizenship: _____

- 5. Have you ever been known professionally by any other name or surname?
 Yes No
- 6. If yes, state all names used and the time period(s) involved:

Other names by which you have been known _____ *Time period involved for each name*

Baseball Business Relationships

- 7. Do you currently have any ownership interest in, or business relationship with, Major League Baseball, any Major League Club, or any Minor League or other professional baseball club, league or affiliated entity (including independent and foreign leagues)?
 Yes No
- 8. If yes, describe fully, including the name of the baseball organization, and the nature of the ownership interest or business relationship:

Name of baseball organization _____ *Nature of your ownership interest or business relationship*

- 9. Have you ever played for, coached or managed a professional baseball team, including Major League, Minor League, independent league and foreign league teams?
 Yes No
- 10. If yes, please list the teams and the dates you played, coached or managed for each team.

Name of baseball team _____ *Your position with team (player, coach, manager)* _____ *Start date* _____ *End date* _____

Name of baseball team _____ *Your position with team (player, coach, manager)* _____ *Start date* _____ *End date* _____

11. Have you ever had an ownership interest in any professional baseball team, or been employed by any professional baseball team, including Major League, Minor League, independent league and foreign league teams, in any capacity other than as a player?

Yes No

12. If yes, please list the team(s), the position(s) or ownership interest you held and the dates you were so employed or held such ownership interest.

<i>Name of pro baseball team</i>	<i>Position(s) you held</i>	<i>Start date</i>	<i>End date</i>
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<i>Name of pro baseball team</i>	<i>Position(s) you held</i>	<i>Start date</i>	<i>End date</i>
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13. Have you ever worked for Major League Baseball, Minor League Baseball, the Office of the Commissioner of Baseball, any organization affiliated with Major League or Minor League Baseball, or any other professional baseball league or organization, including independent and foreign leagues, or any professional team, club, league or affiliated entity in any other professional sport?

Yes No

14. If yes, please list the name of your employer(s) the position(s) you held and the dates you were so employed.

<i>Name of pro sports employer</i>	<i>Position(s) you held</i>	<i>Start date</i>	<i>End date</i>
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<i>Name of pro sports employer</i>	<i>Position(s) you held</i>	<i>Start date</i>	<i>End date</i>
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15. Have you ever had any ownership interest in, or been employed by or associated with, any baseball academy, athletic training facility or amateur or semiprofessional baseball team (including foreign teams)?

Yes No

16. If so, please provide the name, address and telephone number of the academy, training facility or team and describe the nature of your association with the training facility or team.

<i>Name of academy, training facility, or team</i>	<i>Address of academy, training facility, or team</i>	<i>Telephone No.</i>
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Describe your relationship or association with the academy, training facility, or team

<i>Name of academy, training facility, or team</i>	<i>Address of academy, training facility, or team</i>	<i>Telephone No.</i>
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Describe your relationship or association with the academy, training facility, or team

17. Have you ever been a partner or joint investor in any enterprise with an owner, officer or management official of any professional sport team or organization?

Yes No

18. If yes, please describe fully, the name and nature of the enterprise, the name of the owner, officer or management official of the team and the nature and dates of your association with the enterprise.

Name of enterprise *Name of team owner, officer, management official* *Nature and dates of your association with the enterprise*

19. Do you or any person or firm associated with you in any way currently represent in any capacity (e.g., as agent or attorney) any owner, partner, stockholder, management official, professional baseball scout, field manager, coach, or any other employee (excluding players) of Major League Baseball, Minor League Baseball, any Major League Baseball club, any Minor League Baseball club or any other professional baseball league or club (including independent and foreign leagues and clubs), or any professional team, club, league or affiliated entity in any other professional sport?

Yes No

20. If yes, describe fully, including the name of each such person you or your associate(s) represent, the name of the baseball organization they are associated with, and the nature and dates of your representation.

Name of person(s) you or your associates represent *Name of sports organization* *Nature of your representation*

Name of person(s) you or your associates represent *Name of sports organization* *Nature of your representation*

21. Does any member of your family (including your spouse, domestic partner or in-laws) have any ownership interest in, or any business relationship with, Major League Baseball, any Major League Club, or any Minor League or other professional baseball club, league or affiliated entity (including independent and foreign leagues and clubs), or any professional team, club, league or affiliated entity in any other professional sport?

Yes No

22. If yes, describe fully, including each family member's name and relationship to you, the name of the baseball or other pro sports organization, and the nature of the ownership interest or business relationship.

Name of baseball or other sports entity *Family member's name* *Family member's relation to you* *Nature of business relationship*

Name of baseball or other sports entity *Family member's name* *Family member's relation to you* *Nature of business relationship*

23. Does any person or firm associated with you in any way have any ownership interest in, or any business relationship with, Major League Baseball, any Major League Club, or any Minor League or other professional baseball club, league or affiliated entity (including independent and foreign leagues and clubs), or any professional team, club, league or affiliated entity in any other professional sport?

Yes No

24. If yes, describe fully, including each such person's or firm's name, relationship to you, the name of the baseball or other pro sports organization, and the nature of the ownership interest or business relationship.

Name of baseball or other sports entity *Name of person/firm* *Person/firm's relationship to you* *Nature of person/firm's business relationship*

Name of baseball or other sports entity *Name of person/firm* *Person/firm's relationship to you* *Nature of person/firm's business relationship*

25. If you are a lawyer, accountant or other professional, does any lawyer, accountant or other professional associated with you or your firm serve as counsel, accountant, consultant or advisor to Major League Baseball, Minor League Baseball, or any of their affiliated entities, any Major League or Minor League club, any independent or foreign league or club, or the ownership or management of any professional sports team or league in any other professional sport?

Yes No Not Applicable

26. If yes, describe fully, including each such lawyer's, accountant's or other professional's name, relationship to you or your firm, and the name of the baseball or other sports organization.

<i>Name of professional</i>	<i>Professional's relationship to you or your firm</i>	<i>Name of baseball or other sports organization represented</i>
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<i>Name of professional</i>	<i>Professional's relationship to you or your firm</i>	<i>Name of baseball or other sports organization represented</i>
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EDUCATIONAL AND PROFESSIONAL INFORMATION

27. List the high school(s) you attended, the city and state where located, and the school and year of graduation.

<i>Name of high school</i>	<i>City and state of high school</i>	<i>Years you attended</i>	<i>Year you graduated</i>
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<i>Name of high school</i>	<i>City and state of high school</i>	<i>Years you attended</i>	<i>Year you graduated</i>
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28. List each junior college, college or university you attended, the city and state where located, years attended, major field(s) of study, degree, if any, and year conferred (if no degree conferred, indicate hours or semesters completed, and reasons degree was not conferred).

<i>Name of junior college, college or university</i>	<i>City and state</i>	<i>Years you attended</i>	<i>Major field(s) of study</i>
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<i>Degree(s) conferred and year of degree</i>	<i>If no degree, hours or semesters completed and reason for no degree</i>
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<i>Name of junior college, college or university</i>	<i>City and state</i>	<i>Years you attended</i>	<i>Major field(s) of study</i>
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<i>Degree(s) conferred and year of degree</i>	<i>If no degree, hours or semesters completed and reason for no degree</i>
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29. List law school(s) or other graduate school(s) you attended, the city and state where located, years attended, field(s) of concentration, degree(s) and year conferred (if no degree conferred, indicate hours or semesters completed and reason degree was not conferred).

<i>Name of law or graduate school</i>	<i>City and state</i>	<i>Years you attended</i>	<i>Field(s) of concentration</i>
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<i>Degree(s) conferred and year of degree</i>	<i>If no degree, hours or semesters completed and reason for no degree</i>
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30. Were you ever expelled or suspended from or otherwise disciplined by, any junior college, college, university, law school or graduate school?

Yes No

31. If yes, explain fully, including the name of the institution, the nature of the discipline imposed the date and the reasons.

<i>Name of educational institution</i>	<i>Nature of discipline imposed</i>	<i>Date of discipline</i>
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Reasons for discipline imposed

32. If you have a law degree, list State and Federal and foreign Bar admissions, if any, and year(s) admitted (include any pending Bar applications, identified as such, with the date of your anticipated admission).

<i>Name of state, federal or foreign Bar</i>	<i>Year admitted</i>	<i>If application pending date of anticipated admission</i>
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<i>Name of state, federal or foreign Bar</i>	<i>Year admitted</i>	<i>If application pending date of anticipated admission</i>
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33. Have you ever been denied admission or disbarred, suspended, disqualified from membership in, or reprimanded, censured or otherwise disciplined by, the Bar of any State or court, or any other entity regulating the practice of law?

Yes No Not Applicable

34. If yes, explain fully, including the name of the State or court Bar, the nature of the discipline imposed, the date and the reasons.

<i>Name of state or court bar or other entity</i>	<i>Nature of discipline imposed</i>	<i>Date of discipline</i>
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Reasons for discipline imposed

Business or Professional Organizations and Licenses

35. List any memberships in business or professional organizations relevant to your work on behalf of athletes (e.g., Sports Lawyers Association, etc.), including any offices you have held in the organization, and the dates of your membership and offices held.

<i>Name of Organization</i>	<i>Dates of Membership</i>	<i>Offices Held</i>	<i>Dates Offices Held</i>
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<i>Name of Organization</i>	<i>Dates of Membership</i>	<i>Offices Held</i>	<i>Dates Offices Held</i>
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36. List any agent certification you have obtained, or for which you have applied, from any other professional sports union, including the name of the union and the date the certification was obtained or your application was filed.

<i>Type of Certification</i>	<i>Name of Sports Union Issuing Certification</i>	<i>Date Obtained or Applied For (indicate which)</i>
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<i>Type of Certification</i>	<i>Name of Sports Union Issuing Certification</i>	<i>Date Obtained or Applied For (indicate which)</i>
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37. Have you ever been denied certification as an agent for professional athletes, had your agent certification revoked or suspended or been reprimanded, censured or otherwise disciplined by any other professional sports union?

Yes No

38. If yes, explain fully, including the name of the union taking the action, a description of each such action taken against you, the date of the occurrence, and the reasons for such action (include any charges or actions currently pending against you).

<i>Name of Union</i>	<i>Description of Action Taken</i>	<i>Date of Occurrence</i>
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Reasons for Action Taken

39. List all states or other governmental jurisdictions in which you are registered or licensed as an athlete agent pursuant to the Uniform Athlete Agent Act or similar statute governing athlete agents. Include the date(s) you initially registered or were granted a license in each state or other governmental jurisdiction.

States or Jurisdictions where Registered or Licensed, each followed by Date of Initial Registration or Licensure

States or Jurisdictions where Registered or Licensed, each followed by Date of Initial Registration or Licensure

40. Have you ever been denied registration or licensure as an athlete agent by any state or other jurisdiction, had your agent registration or license revoked or suspended or been reprimanded, censured or otherwise disciplined as an athlete agent by any state or other governmental jurisdiction?

Yes No

41. If yes, explain fully, including the name of the state or other jurisdiction taking the action, a description of each such action taken against you, the date of the occurrence, and the reasons for such action (include any charges or actions currently pending against you).

<i>Name of State or Jurisdiction</i>	<i>Description of Action Taken</i>	<i>Date of Occurrence</i>
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Reasons for Action Taken

42. List any other relevant occupational or professional licenses or certifications, (e.g., Registered Investment Advisor, Certified Public Accountant, Investment Advisor, Chartered Life Underwriter, etc.) For each, set forth the licensing or certifying authority and the date the license or certification was obtained (include any pending applications, identified as such).

<i>Type of License or Certification</i>	<i>Name of Licensing or Certifying Authority</i>	<i>Date Obtained or Applied For (indicate which)</i>
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<i>Type of License or Certification</i>	<i>Name of Licensing or Certifying Authority</i>	<i>Date Obtained or Applied For (indicate which)</i>
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43. Has any high school, college or other amateur athlete ever been disciplined or adversely affected by a decision concerning his/her eligibility to compete in interscholastic, intercollegiate or other amateur sports competition, as a result of any relationship with or conduct by you?

Yes No

44. If yes, explain fully, including the name of the affected athlete, the name of the authority imposing the discipline or decision concerning the athlete's eligibility, the date of the occurrence, and the reasons for the discipline or decision concerning eligibility.

<i>Name of athlete affected</i>	<i>Name of disciplining or deciding authority</i>	<i>Date of the occurrence</i>
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Reasons for discipline or decision concerning athlete's eligibility

45. Aside from any instances listed above, have you ever been denied admission to, suspended, disqualified from membership in, or reprimanded, censured or otherwise disciplined by any professional organization or governmental or non-government entity authorized to license, certify, or regulate the practice of a profession?

Yes No

46. If yes, explain fully, including the name of the authority imposing the action, a description of each such action, the date of occurrence and the reason(s) for each such action. (Include any charges or actions currently pending against you.)

<i>Name of Organization or Entity</i>	<i>Description of Action Taken</i>	<i>Date of Occurrence</i>
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Reasons for Action Taken

47. Are any charges or complaints pending against you regarding your conduct as an attorney (including as a law school graduate), or as a member of any other profession, or as a holder of any license, certificate or public office?

Yes No

48. If yes, explain fully, including the name of the authority considering the charge or complaint and the nature and date of each charge or complaint.

<i>Name of Authority Considering Charge or Complaint</i>	<i>Nature of Charge or Complaint</i>	<i>Date of Charge or Complaint</i>
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49. Have you ever been denied the right to practice by any governmental jurisdiction, or before any governmental agency, commission, etc., or has your right to practice before any such agency or commission ever been revoked, suspended, withdrawn, or terminated?

Yes No

50. If yes, explain fully, including the name of the authority taking such action, the nature and date of each such action, and the reason(s) for any such actions (included any pending charges).

<i>Name of Authority Taking Action</i>	<i>Description of Action Taken</i>	<i>Date of Occurrence</i>	<i>Reasons for Action Taken</i>
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BUSINESS INFORMATION

51. Please list the name, address, telephone number and description of the business of **each organization** by which you are employed, or for which you work or are affiliated in any capacity (*e.g.*, owner, partner, member of board of directors, officer, independent contractor, consultant, etc.). **Please list first the sports agency** for which you provide Client Maintenance Services or Recruit baseball players, and then any other business entity by which you are employed or for which you work or are affiliated. Please provide your job title and a description of your job responsibilities for each organization listed. If you are self-employed or doing business as a sole proprietor with no separate “doing business as” name, list your own name as the name of your organization. (Use additional pages if necessary).

<i>Name of Organization (sports agency)</i>	<i>Address of Organization</i>	<i>Telephone No.</i>
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<i>Describe Business of Organization</i>	<i>Your Job Title</i>	<i>Your Job Duties & Responsibilities</i>
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<i>Name of Organization</i>	<i>Address of Organization</i>	<i>Telephone No.</i>
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<i>Describe Business of Organization</i>	<i>Your Job Title</i>	<i>Your Job Duties & Responsibilities</i>
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52. Apart from your current employer(s), please list below the names of all your previous employers, their addresses, the positions you held, and dates of employment for all other **full time** employment you have had **in the past 10 years**. (Use additional pages if necessary).

<i>Name of Former Employer</i>	<i>Address of Former Employer</i>	<i>Position(s) You Held</i>	<i>Dates of Employment</i>
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<i>Name of Former Employer</i>	<i>Address of Former Employer</i>	<i>Position(s) You Held</i>	<i>Dates of Employment</i>
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53. If during the past 10 years you were employed on a **part-time** basis by an individual or agency representing professional athletes, or by a law firm or any organization providing financial services to its clients, list below the names of all such employers, their addresses, the positions you held, and dates of employment.

<i>Name of Former Employer</i>	<i>Address of Former Employer</i>	<i>Position(s) You Held</i>	<i>Dates of Employment</i>
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<i>Name of Former Employer</i>	<i>Address of Former Employer</i>	<i>Position(s) You Held</i>	<i>Dates of Employment</i>
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Experience as a Representative of Players

54. Prior to filing this Application, have **you personally** ever served as an agent for or represented **Minor League or other professional** baseball players in negotiation of their **Minor League or other professional** contracts which do NOT require certification by the MLBPA?

Yes No

55. If yes, please state the length of time you have been engaged in representing **Minor League or other professional** players and the approximate number of professional contracts **you personally** have negotiated for them prior to filing this Application.

*Length of time you have represented **Minor League** players*

*Approximate number of **Minor League** contracts you negotiated*

*Length of time you have represented **other professional** players*

*Approximate number of **other professional** contracts you negotiated*

Minor League Clients, Amateur Advisees and Clients in other Sports

56. Please state the number of **Minor League** baseball players, if any, that **you personally** represent as agent or contract negotiator, and that your agency represents, as of the date of this Application:

Number of Minor League players you personally represent

Number of Minor League players your agency represents

57. Please state the number of **amateur** baseball players, if any, that **you personally** are advising, and the number of amateur players that your agency is advising, for purposes of the first year Major League player draft, as of the date of this Application:

Number of amateur players you currently advise

Number of amateur players your agency currently advises

58. Please list any professional sports, other than baseball, if any, in which **you personally** represent any professional athletes, and the approximate number of professional athletes you represent in each sport, as of the date of this Application.

Name of professional sport

Approximate number of pro athletes you represent in that sport

Name of professional sport

Approximate number of pro athletes you represent in that sport

59. Please list any professional sports, other than baseball, if any, in which **your agency** represents any professional athletes, and the approximate number of athletes your agency represents in each sport, as of the date of this Application.

Name of professional sport

Approximate number of pro athletes your agency represents in that sport

Name of professional sport

Approximate number of pro athletes your agency represents in that sport

Services Provided to Players

60. Please indicate the services that **you personally** provide to players. (Place a check to indicate each service **you personally** provide)

	<u>Provided By Me</u>		<u>Provided By Me</u>
Minor League Player Contract Negotiation	<input type="checkbox"/>	Legal Advice or Representation	<input type="checkbox"/>
Foreign League Player Contract Negotiation	<input type="checkbox"/>	Baseball coaching or instruction	<input type="checkbox"/>
Advising potential baseball draftees	<input type="checkbox"/>	Training services/facilities	<input type="checkbox"/>
Baseball Equipment	<input type="checkbox"/>	Counseling services	<input type="checkbox"/>
Appearances/Endorsements	<input type="checkbox"/>	Personal shopping services	<input type="checkbox"/>
Financial Planning or Advice	<input type="checkbox"/>	Booking flights/travel arrangements	<input type="checkbox"/>
Investment Advice	<input type="checkbox"/>	Arranging for housing; transportation	
Asset Management	<input type="checkbox"/>	of vehicles or property	<input type="checkbox"/>
Bill Paying Services	<input type="checkbox"/>	Arranging for tickets to events	<input type="checkbox"/>
Tax Planning or Advice	<input type="checkbox"/>	Other services (describe)	
Tax Return Preparation	<input type="checkbox"/>	_____	<input type="checkbox"/>
Estate Planning	<input type="checkbox"/>	_____	<input type="checkbox"/>

61. If neither you nor your sports agency provides services in one or more of the areas listed above, do you assist players in securing such services?

Yes No

62. If yes, provide the name and address of each individual or firm to which you customarily refer players for each such service. (Use additional pages if necessary).

<i>Name of person/firm to whom players are referred</i>	<i>Address of person/firm</i>	<i>Type of services provided</i>
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<i>Name of person/firm to whom players are referred</i>	<i>Address of person/firm</i>	<i>Type of services provided</i>
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63. With respect to the areas in which you or your agency **does not** provide services, do you:

- (1) have an ownership interest in;
 - (2) wholly or partially finance; or
 - (3) directly or indirectly exercise a controlling influence over,
- any firm or organization that does provide such services to players you refer?

Yes No

64. If yes, list the name and address of each such firm or organization, the services it provides, and a detailed explanation of your relationship to and/or involvement with it (including any fee-splitting or other financial relationships).

<i>Name of firm or organization</i>	<i>Address of person/firm</i>	<i>Type of services provided</i>
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Describe your relationship to or involvement with the firm or organization (ownership, finance, control, fee-splitting)

Recruiting Players

65. Do **you personally** Recruit, or intend to Recruit, (as the term “Recruit” is defined in Section 2(D) of the Regulations) amateur or professional baseball players on behalf of any Player Agent (or Applicant for Certification as a Player Agent), or any agency that employs or consists of Player Agents?

Yes No

66. If yes, please provide the name(s) of the Player Agent(s) or Applicant(s), and the name of their sports agency, on whose behalf you Recruit, or intend to Recruit, players. (Use additional pages if necessary)

<i>Name of Player Agent or Applicant on whose behalf you Recruit or intend to Recruit</i>	<i>Name of sports agency on whose behalf you Recruit or intend to Recruit</i>
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<i>Name of Player Agent or Applicant on whose behalf you Recruit or intend to Recruit</i>	<i>Name of sports agency on whose behalf you Recruit or intend to Recruit</i>
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<i>Name of Player Agent or Applicant on whose behalf you Recruit or intend to Recruit</i>	<i>Name of sports agency on whose behalf you Recruit or intend to Recruit</i>
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Foreign Languages

67. What languages other than English do you speak fluently?

Languages you speak fluently

Relationship with Players

68. Please attach to your Application a copy of any business cards, brochures, articles, website pages or other materials you or your sports agency provides or makes available to clients or advisees, or prospective clients or advisees, for Recruiting, promotional or advertising purposes, or that are used to define or describe the services you or your sports agency provides to clients or advisees, and check the box to indicate you have done so.

Copies of business cards, brochures, articles, website pages, promotional materials, etc. are attached.

69. Do **you personally** charge players any fees **payable directly to you** (as opposed to your employer or the agency for which you perform services or Recruit players) for any services that **you personally** provide to players?

Yes No

70. If yes, please list the services that you personally provide players for which you charge them a fee, and describe how the fee for each such service is calculated.

Service(s) you personally provide for which you charge them a fee payable to you *Describe in detail how the fee for each service is calculated*

Managing Players' Finances

71. Do **you personally handle or manage money or pay bills** for any professional players or have access to any professional players' funds or bank accounts?

Yes No

72. If yes, are you bonded?

Yes No

73. If yes, list the surety on the bond, the amount of the bond, and expiration date of current policy.

Name of Surety on Bond *Amount of bond* *Expiration date of current policy*

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

Yes No

75. If yes, describe the circumstances and provide the date of the occurrence that resulted in the payment and date of the payment.

Describe circumstances *Date of occurrence* *Date of payment*

76. Does **any person or firm associated with you handle or manage money or pay bills** for any professional players or have access to any professional players' funds or bank accounts?

Yes No

77. If yes, is such person or firm bonded?

Yes No

78. If yes, list the surety on the bond, the amount of the bond, and expiration date of current policy.

Name of Surety on Bond *Amount of bond* *Expiration date of current policy*

79. Has any surety or any bond on which such person or firm was covered been required to pay any money on behalf of such person or firm?

Yes No

80. If yes, describe the circumstances and provide the date of the occurrence that resulted in the payment and date of the payment.

Describe circumstances *Date of occurrence* *Date of payment*

Payments from Sources other than Player

81. Do you personally, your agency, or any affiliated organization or person, receive any fees, commissions, rebates or other compensation **from any person or firm, other than directly from a player client**, as a result of:

- (a) the player purchasing any securities or funds (stocks, bonds, mutual funds, etc.) Yes No
- (b) the player investing in any investment vehicles, (partnerships, businesses, corporations, venture capital programs, etc.) Yes No
- (c) the player purchasing any form of insurance (disability, life, casualty, etc.) Yes No
- (d) the player making any endorsements, appearances or other licensing arrangements? Yes No

82. If you answered yes to any part of the question above, please provide a detailed description of such compensation you, your agency or any affiliated organization receives **from persons or firms other than the player**, including the name of the recipient, the name of the source of payment and the nature of the compensation (*e.g.*, commissions for sale of securities or insurance, etc.)

<i>Recipient of compensation from source other than player</i>	<i>Source of payment</i>	<i>Nature of the compensation</i>
<i>Recipient of compensation from source other than player</i>	<i>Source of payment</i>	<i>Nature of the compensation</i>

83. Are such payments of compensation **from sources other than the player** disclosed to the player?
 Yes No

84. If yes, how are such payments disclosed to the player?

Describe how payments from sources other than the player are disclosed to the player

Litigation, Arbitration and other Claims

85. Have you or the organization with which you were associated at the time ever been a defendant in a suit or other legal proceeding, including a bankruptcy proceeding, in which you or the organization with which you were associated at the time were alleged to have engaged in fraud, misrepresentation, embezzlement, misappropriation of funds, conversion, breach of fiduciary duty, forgery or malpractice or similar misconduct?

- Yes No

86. If yes, describe fully, including the complete caption of the case, the court or agency where the case was filed, the nature of the allegations against you or the organization with which you were associated at the time, the resolution of the case and the relevant dates.

<i>Caption of the case</i>	<i>Jurisdiction involved</i>	<i>Date case was filed</i>	<i>Date case was resolved</i>
<i>Nature of allegations against you or your organization</i>	<i>Resolution of the case</i>		

87. Have you or the organization with which you were associated at the time ever been a party to a grievance or arbitration under the MLBPA Regulations Governing Player Agents, in which you or the organization with which you were associated at the time were alleged to have engaged in fraud, misrepresentation, embezzlement, misappropriation of funds, conversion, breach of fiduciary duty, forgery or malpractice?

Yes No

88. If yes, describe fully, including the complete caption of the case, the nature of the allegations against you or the organization with which you were associated at the time, the resolution of the case and the relevant dates.

<i>Caption of the case</i>	<i>Date case was filed</i>	<i>Date case was resolved</i>
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<i>Nature of allegations against you or your organization</i>	<i>Resolution of the case</i>
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89. List all judgments and arbitration awards, if any, entered against you or the organization with which you were associated at the time by any court or arbitration tribunal. Include all pending judgments now on appeal, but excluding divorce, child custody, or domestic relations matters. For all judgments and arbitration awards, pending or otherwise, list the caption of the case, the court or arbitration tribunal involved, the date of the judgment or arbitration award and whether or not any such judgments or awards are currently unsatisfied.

<i>Caption of the case</i>	<i>Court/Tribunal</i>	<i>Date of judgment or award</i>	<i>Has the judgment or award been satisfied?</i>
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90. Aside from the matters listed above, have you or the organization with which you were associated at the time ever been sued by any athlete or had a claim filed against you in arbitration by any athlete for any reason?

Yes No

91. If yes, describe fully the nature and result of such litigation in which you or the organization with which you were associated at the time were sued by an athlete, including all arbitration proceedings (whether or not pursuant to these Regulations). Designate any proceedings that are still pending.

<i>Caption of the case</i>	<i>Nature of the claims against you or your organization</i>	<i>Result of the case</i>
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<i>Caption of the case</i>	<i>Nature of the claims against you or your organization</i>	<i>Result of the case</i>
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92. Have you or the organization with which you were associated at the time ever sued any athlete or filed a claim in arbitration against any athlete for any reason?

Yes No

93. If yes, describe fully the nature and result of any litigation in which you or the organization with which you were associated at the time sued an athlete, including all arbitration proceedings (whether or not pursuant to these Regulations). Designate any proceedings that are still pending.

<i>Caption of the case</i>	<i>Court or Tribunal</i>	<i>Nature of your claims against athlete</i>	<i>Result of the case</i>
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<i>Caption of the case</i>	<i>Court or Tribunal</i>	<i>Nature of your claims against athlete</i>	<i>Result of the case</i>
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94. Apart from being sued by any athlete, have you or the organization with which you were associated at the time ever been charged or accused by any athlete of any financial impropriety (including but not limited to misappropriation or mismanagement of funds, or overcharging for services performed) which resulted in your making, or the organization with which you were associated at the time making, any payment of money or anything of value to the athlete or resulted in your reaching any formal or informal settlement whereby the athlete received money or some other thing of value (e.g., reimbursement of monies invested, reimbursement of a fee paid or reduced fees for future services)?

Yes No

95. If yes, describe in detail, including the name(s) of the athlete(s) involved, relevant dates, the nature of the dispute and the resolution.

<i>Name of athlete</i>	<i>Date of the dispute</i>	<i>Nature of the dispute</i>	<i>Resolution of the dispute</i>
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<i>Name of athlete</i>	<i>Date of the dispute</i>	<i>Nature of the dispute</i>	<i>Resolution of the dispute</i>
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96. Has any athlete ever been sued by any other party with respect to any financial transaction or investment in which you or the organization with which you were associated at the time were a promoter, general partner, principal or in which you or the organization with which you were associated at the time (a) had a profit participation in the investment other than as an individual investor or (b) received a fee from the investment or its principals because of the athlete's participation?

Yes No

97. If yes, explain fully, including the name of the athlete sued, the name of the party bringing the suit, the nature of the transaction or investment involved, the relevant dates and the nature of your or the organization's involvement.

<i>Name(s) of athlete(s) sued</i>	<i>Name of party suing</i>	<i>Nature of transaction/investment</i>
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<i>Date suit filed or resolved</i>	<i>Nature of your or your organization's involvement</i>
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98. Has any athlete ever invested in any undertakings in which you or the organization with which you were associated at the time were involved as the promoter, general partner, principal or in which you or the organization with which you were associated at the time (a) had a profit participation in the investment other than as an individual investor or (b) received a fee from the investment?

Yes No

99. If yes, explain fully, including the names of the athlete, the nature of the investment, the relevant dates and the nature of your or your organization's involvement.

<i>Name of athlete</i>	<i>Nature of investment</i>
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<i>Date of athlete's investment</i>	<i>Nature of your or your organization's involvement</i>
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100. Has the IRS or any other governmental authority taken any action against you or the organization with which you were associated at the time, or any athlete you or your organization have represented or currently represent, in circumstances where: (1) you gave tax advice to the athlete; or (2) the athlete participated in a financial transaction in which you or your organization were a promoter, a general partner, principal or in which you (a) had a profit participation in the investment or (b) received a fee from the investment?

Yes No

101. If yes, describe fully (include any pending complaint).

<i>Nature and date of government action taken</i>	<i>Action taken against whom?</i>	<i>Nature of your or your organization's involvement</i>
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102. If you are an attorney, accountant or other professional, has any athlete you represented ever filed any formal complaint about your representation or professional services?

Yes No Not Applicable

103. If yes, describe fully (include any currently pending complaint).

<i>Nature of complaint</i>	<i>Date of complaint</i>	<i>Name of player filing complaint</i>	<i>Resolution of the complaint or "still pending"</i>
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Gifts and Loans involving Players

104. In the **two years** immediately preceding the date of this Application, have you or the organization with which you were associated at the time made any loan or given any gift to any amateur or professional baseball player, or to any of his relatives or associates, the value of which exceeded five hundred dollars (\$500.00) for any single loan or gift?

Yes No

105. If yes, for each such loan or gift exceeding \$500.00 that was made or given in the **two years** immediately preceding the date of this Application, describe each such gift or loan in detail, including the name(s) of the recipient(s), the reason for the gift or loan, the amount and date of the gift or loan. (Use additional pages if necessary).

<i>Name of recipient of gift or loan in last two years</i>	<i>Reason for gift or loan</i>	<i>Amount of gift or loan</i>	<i>Date of gift or loan</i>
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<i>Name of recipient of gift or loan in last two years</i>	<i>Reason for gift or loan</i>	<i>Amount of gift or loan</i>	<i>Date of gift or loan</i>
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<i>Name of recipient of gift or loan in last two years</i>	<i>Reason for gift or loan</i>	<i>Amount of gift or loan</i>	<i>Date of gift or loan</i>
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106. Prior to the date of this Application, have you or the organization with which you were associated at the time ever **received** a loan from a professional baseball player of more than five hundred dollars (\$500.00)?

Yes No

107. If yes, describe in detail, including the name of the player involved, and the purpose, amount and date of each such loan.

<i>Name of player making the loan</i>	<i>Purpose of loan</i>	<i>Amount of loan</i>	<i>Date of loan</i>
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MISCELLANEOUS

108. Have you ever been convicted of or pled guilty or no contest (*nolo contendere*) to a criminal charge, other than minor traffic violations?

Yes No

109. If yes, state the nature of the offense, date of conviction, court or criminal authority involved and sentence or other disposition of case.

Nature of offense *Date of conviction* *Court or criminal authority* *Sentence or other disposition of case*

110. Have you ever been adjudicated insane or legally incompetent by any court?

Yes No

111. If yes, provide details, including nature of the adjudication, name of the court and date.

Nature of adjudication *Date of adjudication* *Adjudicating court*

CERTIFICATION BY APPLICANT

By my signature below, I hereby certify that I have read the MLBPA’s Regulations Governing Player Agents, of which this Application is a part, and I understand and agree that, as long as I remain an Applicant for Limited Certification as a Player Agent, or, if Limited Certification is granted, as long as I remain a certified Player Agent, I will comply with and be bound by those Regulations and any subsequent amendments to the Regulations that may be adopted by the MLBPA, and that my failure to comply in any material respect with any provision of the Regulations shall constitute grounds for denial, revocation, limitation or suspension of my certification, or other disciplinary action by the MLBPA, and that I have read the foregoing Application, have personally answered the questions in it, and the answers to those questions are true to the best of my knowledge, information and belief.

Signature of Applicant

Date

When you have answered every question in this Application, e-mail this completed form back to AGENT.REG@MLBPA.ORG, then print it out, sign the Certification by Applicant and mail the original, signed Application with the \$500.00 Application fee to the MLBPA at the address on page one of the Instructions. Do not forget to include any other required documents (such as Designation of Recruiter or Client Maintenance Service Provider form(s), copies of Recruiting and promotional materials, etc.) Be sure to keep a copy of the completed and signed Application for your files.

Use these pages to complete your responses where necessary. Be sure to reference the number of the particular question being answered.

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