

## SOLE PROPRIETORSHIP CERTIFICATION

Account Name \_\_\_\_\_

Account # \_\_\_\_\_

I certify that I am currently doing business as \_\_\_\_\_,

which is a sole proprietorship located at \_\_\_\_\_.

I also certify that my principal occupation is \_\_\_\_\_. I further certify that no other person or entity has any beneficial interest in the above-referenced sole proprietorship and that I am the sole legal and beneficial owner of all rights, title and interest of said proprietorship.

I understand and agree to immediately notify HedgeStreet, Inc. should any of the foregoing representations change or prove untrue.

I understand and agree to be bound by all of the terms and conditions on HedgeStreet, including, but not limited to, the HedgeStreet Rules, Membership Agreement and Terms of Use.

I shall indemnify and hold harmless HedgeStreet, Inc. and its officers, directors, shareholders, employees, and agents from and against all claims, demands, proceedings, suits, actions and all losses (direct, indirect, consequential or otherwise), paid in settlement, incurred or suffered by HedgeStreet, Inc. in connection with any claim arising out of or in connection with (i) the representations I made herein, (ii) my account at HedgeStreet, Inc., or (iii) HedgeStreet, Inc. acting in accordance with my instructions. This indemnity shall survive the termination of my account at HedgeStreet, Inc.

I certify that no false or misleading statements have been made in connection with this Certification or at any period throughout the HedgeStreet Membership Application process, including in any and all other documents submitted to HedgeStreet and communications between the undersigned and HedgeStreet in connection with establishing the Account.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date of Birth

\_\_\_\_\_  
Social Security Number

Account Name \_\_\_\_\_

Account # \_\_\_\_\_

**SOLE PROPRIETOR DISCIPLINARY INFORMATION & DISCLOSURES**

Remember to answer all of the following questions truthfully. HedgeStreet verifies the accuracy of your information with various regulatory bodies. Responding to one or more of these questions with a “YES” answer does not automatically prevent you from acting as an authorized trader for any entity member. However, as a designated contract market regulated by the CFTC, HedgeStreet is required to maintain certain “fitness standards” for all Members as defined in both the Commodity Exchange Act and the HedgeStreet Rules.

If you answer “Yes” to any of these questions, please provide a statement following each question giving complete details, including dates, parties, circumstances, and disposition. Please enclose copies of any relevant documentation relating to the circumstances surrounding the events in question in order to avoid potential delays in processing this membership application. (Examples include court records, administrative decisions, enforcement actions, orders, etc.)

Please answer the following questions regarding yourself or any entity for which you were a principal. If you need clarification regarding any or these questions, please e-mail [complianceinquiry@hedgestreet.com](mailto:complianceinquiry@hedgestreet.com).

- 1. Have you had trading privileges suspended by, been denied access to, or been denied membership in, any commodity or security exchange or association? Y\_\_\_\_ N\_\_\_\_

EXPLANATION \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

- 2. Have you been convicted of, pled guilty to, or entered a plea of no contest or plea agreement to, any **felony** in any domestic, foreign, or military court? Y\_\_\_\_ N\_\_\_\_

EXPLANATION \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

- 3. Have you been convicted of, pled guilty to, or entered a plea of no contest or plea agreement to, a **misdemeanor** in any domestic, foreign, or military court which involves:

- Embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering, or misappropriation of funds, securities, or property? Y\_\_\_\_ N\_\_\_\_

- Any transaction in or advice concerning futures, options on futures, leverage transactions, or securities? Y\_\_\_\_ N\_\_\_\_

EXPLANATION: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Account Name \_\_\_\_\_

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4. Have you been subject to, or associated with a firm that was subject to, regulatory proceedings before any governmental or regulatory body?

Y\_\_\_\_ N\_\_\_\_

EXPLANATION: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Are you currently party to any actions, or is there a charge pending, the resolution of which could result in a **Yes** answer to questions 1 through 4 listed above?

Y\_\_\_\_ N\_\_\_\_

EXPLANATION: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**I do hereby declare under penalty of perjury that I have truthfully answered all of the aforementioned questions and am authorized to engage in Contract Transactions on behalf of the Sole Proprietorship. I will abide by the HedgeStreet Rules, Terms of Use, Membership Agreement and all other terms and conditions relating to membership on HedgeStreet.**

\_\_\_\_\_  
Name of Authorized Trader (Print)

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date of Birth

\_\_\_\_\_  
Social Security Number

***Please Send All Documentation To:***

***HedgeStreet, Inc.***

***311 South Wacker Drive, Suite 2675***

***Chicago, IL 60606***