

# Sports Financial Advisors Association - Application for Membership

Please complete and mail this application along with your payment to the SFAA	c/o Jonathan Miller, CPA 10645 N Tatum Blvd #200-608 Phoenix, AZ 85028 www.sportsfinancial.org	<b>Annual Membership Dues</b>  Regular -- \$500.00 Student -- \$ 50.00	<b>Pro-Rated Dues Payments</b> Jan - Mar = \$500 Apr - Jun = \$375 Jul - Sept = \$250 Oct - Dec = \$125
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<b>PROFESSIONAL MEMBERSHIP</b>	<b>STUDENT MEMBERSHIP</b>
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<p>Regular membership in the Sports Financial Advisors Association shall include any individual currently in the business of providing advice in the elements of financial planning; they must have verifiable experience in providing financial planning advice; they must be free of conflicts of interest and fiduciary responsibilities; and they must be elected to membership by a majority vote of the Board of Directors.</p> <p>I hereby make application for membership in the Sports Financial Advisors Association, Incorporated (SFAA) a not-for-profit professional association organized and managed in accordance with Section 501-c-(6) of the IRS Code, Bylaws and a Code of Conduct adopted by the members of this association. I have received, read and understand the SFAA Bylaws and Code of Conduct and agree to comply with and be bound by these documents.</p> <p><b>Signature of Applicant</b> _____</p> <p><input type="checkbox"/> I am enclosing payment of \$_____. 00 covering the annual membership fee (U.S. dollars)</p> <p>Check or Money order payable to Sports Financial Advisors Association TEAM MEMBERSHIP – if you have more than 3 interested members – CONTACT US FOR DISCOUNTED RATES.</p>	<p>Name of School: _____</p> <p>Major or Study focus: _____</p> <p>Year of Completion: _____</p> <p>I hereby make application for membership in the Sports Financial Advisors Association, Incorporated (SFAA) a not-for-profit professional association organized and managed in accordance with Section 501-c-(6) of the IRS Code, Bylaws and a Code of Conduct adopted by the members of this association. I have received, read and understand the SFAA Bylaws and Code of Conduct and agree to comply with and be bound by these documents</p> <p>I am enclosing payment of \$_____. 00 the annual student fee</p> <p><b>Signature of Applicant</b> _____</p>
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<b>Information</b> <i>(Please complete this section for SFAA's confidential records.)</i>	<b>References:</b> Please list one reference in the industry (financial) and one reference out of the industry (non financial).
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<p>Name: _____                     <i>First</i>                    <i>Middle</i>                    <i>Last</i></p> <p>Organization/Firm _____</p> <p>Mailing Address _____ _____</p> <p>City, State, Zip _____</p> <p>Occupation _____ Title _____</p> <p>Office Phone _____ Fax _____</p> <p>CELL Phone _____</p> <p>Email _____</p>	<p>Financial Industry Reference: _____ _____ _____ _____</p> <p>Non Financial Industry Reference: _____ _____ _____</p>
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<b>SERVICES OFFERED</b> <i>WHAT financial services do you currently offer professional athletes or professional organizations?</i>	
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<p><input type="checkbox"/> Tax Planning</p> <p><input type="checkbox"/> Investment Advice</p> <p><input type="checkbox"/> Purchase/Sale of Securities</p> <p><input type="checkbox"/> Estate Planning</p> <p><input type="checkbox"/> Financial Planning</p> <p><input type="checkbox"/> Insurance/Annuity Sales</p> <p><input type="checkbox"/> Retirement Planning</p> <p>Other <i>(please list)</i> _____</p>	<p><i>Do you provide service/advice to:</i></p> <p><i>(Please check as appropriate)</i> Professional athletes</p> <p><input type="checkbox"/> Professional leagues</p> <p><input type="checkbox"/> Professional sports teams</p> <p><input type="checkbox"/> Amateur athletic organizations or teams</p> <p><input type="checkbox"/> Local/civic sports and recreation programs</p> <p><input type="checkbox"/> Sports officials</p> <p>Other <i>(please list)</i> _____</p>
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a) Are you a member of any business or professional organization, which directly relates to your occupation or professions?  
 Yes  No **If yes, please list:**

b) Do you have a fidelity bond and/or are you covered by professional liability insurance?  Yes  No

a. Please provide details as to the nature and amount of the bond or insurance

b. Name and address of the surety bonding or insurance company

c) Please list any occupational or professional licenses or other similar credential (including, but not limited to, Attorney at Law, Certified Public Accountant, Chartered Financial Consultant, Chartered Financial Analyst, Certified Investment management Consultant, Registered Financial Consultant, NASD exams, ect.) you have obtained other than college or graduate school degrees, including dates obtained:

For the above questions, please provide the name, address and telephone number for the office that can confirm both the issuance and status of such licenses and credentials:

d) Have you ever been denied an occupational or professional license, franchise or other similar credential for which you applied?  
 Yes  No **If yes, please explain fully:**

e) Do you currently have pending any application for an occupational or professional license, franchise or other similar credential?  
 Yes  No **If yes, please describe and indicate status of each such application:**

f) Have you ever been suspended, reprimanded, censured, or otherwise disciplined or disqualified as a member of any profession, association, or occupation, 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, address and telephone number of the authority imposing the action in question.**

g) 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, address and telephone number of the authority considering it.**

h) Has your right to engage in any profession or occupation ever been restricted, suspended, withdrawn, or terminated?  
 Yes  No **If yes, please explain fully:**

**ATTACH ADDITIONAL SHEETS AS NEEDED**