



NATIONAL BASKETBALL PLAYERS ASSOCIATION

Dear Prospective Agent:

Thank you for your recent letter inquiring about information on becoming a certified agent with the National Basketball Players Association. Please complete the enclosed application and return it to our offices to the attention my assistant Lupercia Ten. All applicants must submit a copy of your highest diploma received or a copy of a 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.)**

Every agent is required to pay annual dues in the amount of \$1,500.00. Dues are applied on a per season (**July 1<sup>st</sup>- June 30<sup>th</sup>**) basis. **These monies, in the form of a check or money order, are due and payable upon remittance of your application.** If you are applying after January 1<sup>st</sup>, the dues amount will be \$750.00 for the remainder of the season. You will be required to pay next year's dues on or before July 1<sup>st</sup> of each and every year thereafter.

If you have any questions regarding the enclosed application 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 "Robert Gadson".

Robert Gadson  
Director of Security/ Agent Administration

# APPLICATION FOR CERTIFICATION AS AN NBPA PLAYER AGENT

I, \_\_\_\_\_, SSN \_\_\_\_\_  
(Full name)

\_\_\_\_\_  
(Business address and affiliation, if any)

\_\_\_\_\_  
(Zip Code)

\_\_\_\_\_  
(Telephone)

\_\_\_\_\_  
(Fax)

hereby apply for certification as an NBPA Player Agent pursuant to the NBPA Regulations Governing Player Agents as adopted effective March 7, 1986.

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.

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

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 (as defined in paragraph 2 herein) which I enter into with a player on or after March 7, 1986 (including any modification, extension or renewal of an agreement that was in effect prior to March 7, 1986) shall conform to the Standard Player Agent Contract.

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.

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 Player Agents shall constitute a contract between the NBPA and myself.

**ALL QUESTIONS MUST BE ANSWERED COMPLETELY**

**1. General**

a. Have you ever been known by any other name or surname?

\_\_\_\_\_ If yes, state all names used and when used:  
(yes or no)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

If a married woman, please give maiden name:

\_\_\_\_\_

b. Date of birth \_\_\_/\_\_\_/\_\_\_      c. Birthplace \_\_\_\_\_

d. Name of spouse: \_\_\_\_\_

e. Spouse's Employer and address: \_\_\_\_\_

\_\_\_\_\_

f. Does spouse have any business relationship with the National Basketball Association or its clubs? If yes, specify in detail: \_\_\_\_\_

\_\_\_\_\_

**2. Education**

a. Law or other graduate school attended:

\_\_\_\_\_ (School) \_\_\_\_\_ (City & State)

Dates of Attendance: From \_\_\_\_\_ to \_\_\_\_\_  
(month & year) (month & year)

Degree \_\_\_\_\_ Date awarded \_\_\_\_\_

b. Colleges or Universities attended:

\_\_\_\_\_  
(name) (city & state) (dates attended) (degree)

\_\_\_\_\_  
(name) (city & state) (dates attended) (degree)

\_\_\_\_\_  
(name) (city & state) (dates attended) (degree)

c. High School attended:

\_\_\_\_\_  
(name) (city & state) (date degree received)

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.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Current Occupation/Employment

a. I am currently: (check one)

employed by:

\_\_\_\_\_  
(name of employer) (address) ( ) (telephone)

\_\_\_\_\_  
(dates of employment)

\_\_\_\_\_  
(nature 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:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**4. Lawyers and Law Graduates**

a. Have you been admitted to the Bar in any jurisdiction?

\_\_\_\_\_ (yes or 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 or 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? \_\_\_\_\_ If yes, please describe (yes or no)

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 or no)

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

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

\_\_\_\_\_ (yes or no)

If yes, please explain fully:

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**5. All Applicants**

a. Are you a member of any business or professional organization which directly relates to your occupation or profession? \_\_\_\_\_ If yes, please list:  
(yes or no)

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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:

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

(yes or no)

If yes, please explain fully:

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d. Do you have currently pending any application for an occupational or professional license, franchise or other similar credentials? \_\_\_\_\_ If yes, please

(yes or no)

describe and indicate status of each such application:

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e. Have you ever been suspended, reprimanded, censured, or otherwise disciplined or disqualified as a member of any profession, or as a holder of any public office?

\_\_\_\_\_ If yes, please describe each such action, the date(s) of occur-

(yes or no)

rence, and the name and address of the authority imposing the action in question:

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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 or no)

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

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g. Has your right to engage in any profession or occupation ever been disqualified, suspended, withdrawn, or terminated? \_\_\_\_\_ If yes, please explain fully: (yes or no)

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**6. All Applicants**

a. Have you ever been convicted of or plead guilty to a criminal charge, other than minor traffic violations (\$100 fine or less)? \_\_\_\_\_ If yes, please indicate (yes or no)

nature of offense, date of conviction, criminal authority involved, and punishment assessed:

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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? \_\_\_\_\_ If yes, please describe fully and (yes or no)

indicate results of the civil proceeding(s) in question:

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c. Have you ever been sued by any player (NBA or otherwise) for any reason? \_\_\_\_\_  
(yes or no)  
If yes, please describe fully and indicate the results of the civil action in question:

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d. Have you ever been adjudicated insane or legally incompetent by any court? \_\_\_\_\_  
(yes or no)  
If yes, please provide details:

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e. Were you ever suspended or expelled from any college, university, or law school?  
\_\_\_\_\_  
(yes or no)  
If yes, please explain fully:

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f. Has any surety or any bond on which you were covered been required to pay any  
money on your behalf? \_\_\_\_\_  
(yes or no)  
If yes, please describe circumstances:

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g. Are there any unsatisfied judgments of continuing effect against you (other than alimony or child support)? \_\_\_\_\_

(yes or no)

If yes, provide full details:

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**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):

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**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 and the NBA club(s) involved:

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b. (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:

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c. Do you manage, invest or in any manner handle funds for NBA players? \_\_\_\_\_ (yes or no)

If yes, are you bonded? \_\_\_\_\_ (yes or no)

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

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d. If yes, are you currently registered under the Investment Advisor's Act, 15 U.S.C. Section 80b-3 et seq.? If not, explain why.:

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9. List the names of any General Managers or other management officials of any team that you presently are representing or have represented in the past in individual contract negotiations with their respective teams:

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10. For each firm or organization with which you are presently affiliated, list each office (including address and telephone number) at which the business of representing professional athletes is customarily conducted. (Designate principal office.)

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

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12. 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.

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13. List each person, not named in number 12 above who: (a) has a significant ownership interest in your firm or organization; (b) 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 (c) directly or indirectly exercises or has the power to exercise a controlling influence over the management of your firm or organization.

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Describe the ownership interest, amount of financing, and/or basis of controlling influence for each person listed. If the firm or organization listed in this response is a partnership, list each partner; if a corporation, list each officer and member of the Board of Directors.

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14. Describe fully the nature of the business of each of your firm(s) or organization(s).

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

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16. 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.

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17. What services does your firm provide to Players? (Place a check next to each service provided.)

Contract Negotiation \_\_\_\_\_

Estate Planning \_\_\_\_\_

Grievance-Arbitration \_\_\_\_\_

Tax Planning \_\_\_\_\_

Financial Planning \_\_\_\_\_

Appearances/  
Endorsements \_\_\_\_\_

Investment Counseling \_\_\_\_\_

Other Services  
(Explain) \_\_\_\_\_

18. If you do not provide services in one or more of the listed areas, do you assist the player in securing such services? \_\_\_\_\_ If so, describe what you do in this regard (include name and address of each individual/firm to which you customarily refer players for each such service)

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19. With respect to the areas in which you do not provide services, do you: (a) have an ownership interest in; (b) wholly or partially finance; or (c) directly or indirectly exercise a controlling influence over any firm or organization that does provide such services? \_\_\_\_\_

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16. 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.

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17. What services does your firm provide to Players? (Place a check next to each service provided.)

Contract Negotiation _____	Estate Planning _____
Grievance-Arbitration _____	Tax Planning _____
Financial Planning _____	Appearances/ Endorsements _____
Investment Counseling _____	Other Services (Explain) _____

18. If you do not provide services in one or more of the listed areas, do you assist the player in securing such services? \_\_\_\_\_ If so, describe what you do in this regard (include name and address of each individual/firm to which you customarily refer players for each such service)

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19. With respect to the areas in which you do not provide services, do you: (a) have an ownership interest in; (b) wholly or partially finance; or (c) directly or indirectly exercise a controlling influence over any firm or organization that does provide such services? \_\_\_\_\_

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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 it (including financial relationships).

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20. 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 or encourages players to use your services?

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Do you provide any compensation or other consideration to such individual, firm or organization?

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If so, explain fully, including the name and address of each such person, firm or organization.

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21. Are your customary fees for financial planning, investment counseling, estate planning, tax planning, legal advice, and/or appearances/endorsements (if you are any affiliated companies listed in number 19 provide such services) based on a percentage of the Player's salary you negotiate, his total income, an hourly fee, or some other arrangement.

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Specify your customary fees in each such area, and indicate the relationship, if any, of such fees to the fees you charge for player contract negotiations and related services.

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22. Do you bill the player for your expenses in connection with the services referred to in number 21 above? \_\_\_\_\_ If so, on what basis do you bill (e.g. itemized out-of-pocket, daily rate or other basis)?

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Do you allocate proportionate expenses among various player clients? \_\_\_\_\_  
If so, describe method of allocation.

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

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24. When is the player expected to pay your fees for such services?

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25. Do you handle and/or manage money for your player clients? \_\_\_\_\_

Are you bonded? \_\_\_\_\_

If so, list surety, amount of bond and expiration date of current policy.

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26. Has any surety or any bond on which you were covered been required to pay any money on your behalf? \_\_\_\_\_ If so, describe the circumstances and dates.

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27. (a) Do you refer players to any person, firm or organization for any services of the type listed above in number 17? \_\_\_\_\_ If so, state the name, address, and nature of your financial relationship with any such person, firm or organization;

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(b) Are any fee-splitting or referral fees involved in such arrangements? \_\_\_\_\_  
If so, provide details;

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(c) If the services involved for such a referral include financial management or investment counseling, are the individuals or organizations involved bonded? \_\_\_\_\_

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28. Do you or any affiliated organizations or persons listed in numbers 13 or 18 above receive any fees, commissions, rebates or other compensation other than as paid directly by a player client as a result of: (a) the player purchasing any securities or funds (stocks, bonds, mutual funds, etc.) \_\_\_\_\_  
(b) the player investing in any investment vehicles (partnerships, businesses, corporation, venture capital programs, etc.)? \_\_\_\_\_  
(c) the player purchasing any form of insurance (disability, life, casualty, etc.)? \_\_\_\_\_

or (d) the player making any endorsements, appearances or other licensing arrangements? \_\_\_\_\_

If so, do you receive any other compensation as a result of your representation of the player?

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Are these additional forms of compensation fully disclosed to the player? \_\_\_\_\_  
In writing? \_\_\_\_\_ Are these additional forms of compensation deducted from the fees you charge as set forth in number 21?

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# ACKNOWLEDGMENT

CITY OF: \_\_\_\_\_

STATE OF: \_\_\_\_\_

I, \_\_\_\_\_, being first duly sworn, say that I have read the foregoing questions and have personally answered the same fully and honestly and the answers to said questions are true to my knowledge.

\_\_\_\_\_  
Signature of Applicant

Subscribed and sworn to

before me this \_\_\_\_\_ day

of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public

