

In this Item, we ask for information about your disciplinary history, and we ask you to acknowledge the rights of The Futurist Institute. We use this information to determine whether to grant your application for registration as a **Certified Futurist™** that has the right to use the **Futurist and Long Term Analyst™** and **FLTA™** designations.

Do any of the events below involve you?

A. In the past ten years, have you:

- (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?

Yes No

- (2) been charged with any felony?

Yes No

B. In the past ten years, have you:

- (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a misdemeanor involving: investments or an investment-related business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?

Yes No

- (2) been charged with a misdemeanor listed in Item B.(1)?

Yes No

C. Has the SEC or the Commodity Futures Trading Commission (CFTC) ever:

- (1) found you to have made a false statement or omission?

Yes No

- (2) found you to have been involved in a violation of SEC or CFTC regulations or statutes?

Yes No

- (3) found you to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?

Yes No

- (4) entered an order against you in connection with investment-related activity?

Yes No

(5) imposed a civil money penalty on you, or ordered you to cease and desist from any activity?

Yes No

D. Has any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority:

(1) ever found you to have made a false statement or omission, or been dishonest, unfair, or unethical?

Yes No

(2) ever found you to have been involved in a violation of investment-related regulations or statutes?

Yes No

(3) ever found you to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?

Yes No

(4) in the past ten years, entered an order against you in connection with an investment-related activity?

Yes No

(5) ever denied, suspended, or revoked your registration or license, or otherwise prevented you or any advisory affiliate, by order, from associating with an investment-related business or restricted your or any advisory affiliate's activity?

Yes No

E. Has any self-regulatory organization or commodities exchange ever:

(1) found you to have made a false statement or omission?

Yes No

(2) found you to have been involved in a violation of its rules.

Yes No

(3) found you to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?

Yes No

(4) disciplined you by expelling or suspending you from membership, barring or suspending you from association with other members, or otherwise restricting your activities?

Yes No

F. Has an authorization to act as an attorney, accountant, or federal contractor granted to you ever been revoked or suspended?

Yes No

G. Are you now the subject of any regulatory proceeding that could result in a "yes" answer to any part of Item C., D., or E.?

Yes No

H. (1) Has any domestic or foreign court:

(a) in the past ten years, enjoined you in connection with any investment-related activity?

Yes No

(b) ever found that you were involved in a violation of investment-related statutes or regulations?

Yes No

(c) ever dismissed, pursuant to a settlement agreement, an investment-related civil action brought against you by a state or foreign financial regulatory authority?

Yes No

(2) Are you now the subject of any civil proceeding that could result in a "yes" answer to any part of Item H.(1)?

Yes No

I. By signing this agreement, you acknowledge and agree that answering yes to any questions in sections A through H may prevent you from being awarded the right to use the designations **Certified Futurist™** and **Futurist and Long Term Analyst™** and **FLTA™**.

K. By signing this agreement, you acknowledge and agree that The Futurist Institute has the sole authority to award the right to use the designations **Certified Futurist™** and **Futurist and Long Term Analyst™** and **FLTA™**.

- J. By signing this agreement, you agree to update The Futurist Institute if:
- (a) You should be charged with a misdemeanor or felony, other than a minor traffic violation (e.g. speeding, parking).
 - (b) You should be convicted of a misdemeanor or felony, other than a minor traffic violation (e.g. speeding, parking).
- K. By signing this agreement, you acknowledge and agree that at any time and for any reason, The Futurist Institute can revoke your right to use the designations **Certified Futurist™** and **Futurist and Long Term Analyst™** and **FLTA™**.

**** DIGITAL SIGNATURE**** **DD MONTH YYYY**