

# Limited Liability Company Certification

This form must be completed in its entirety and must be signed by *all Officers* of the Limited Liability Company (“LLC”). Please note that LLC accounts may also be required to submit a copy of the Articles or Certificate of Formation or the Operating Agreement to the Introducing Broker Dealer (“IBD”) and/or Axos Clearing LLC (“Axos Clearing”) before acceptance of the account or prior to executing certain transactions or requests.

**STEP 1: ACCOUNT INFORMATION**

<b>Account Title (Title of the LLC to which this certification applies)</b>		<b>Account Number</b>
<b>Number of Officers on the Account</b>	<b>Date of Resolution Adoption Board Meeting</b>	<b>Nature of Business / Industry</b>
<b>Was this LLC organized outside of the United States?</b> <input type="radio"/> Yes <input type="radio"/> No If yes, please attach a copy of the appropriate version of IRS Form W-8 Certificate of Foreign Status that applies to this LLC and the formation documents.		
<b>Tax ID</b>	<b>Governing State Law</b>	<b>Tax Classification</b> <input type="radio"/> C Corporation <input type="radio"/> S Corporation <input type="radio"/> Partnership

**STEP 2: OFFICERS**

All Officers to the LLC must be listed below.

**Check one of the following if there is more than one officer:**

- The Operating Agreement explicitly authorizes each of the following Officers to *act individually without the approval of the other Officers*. The IBD and/or Axos Clearing has the authority to accept orders and other instructions in connection with the LLC account from any one of these Officers, acting alone, and such Officer may execute any documents on behalf of the LLC that the IBD and/or Axos Clearing may require. (Under certain circumstances and in its discretion, the IBD or Axos Clearing may require the written approval of all Officers.)
- The Operating Agreement *does not* authorize the Officers to act individually on behalf of the LLC account.

**ALL OFFICER(S)** (trading and non-trading)

**The following person(s) are duly elected, qualified and acting Officer(s) of the LLC:**

Officer 1 Name	Title	<input type="checkbox"/> Trading Officer
Signature		
Officer 2 Name	Title	<input type="checkbox"/> Trading Officer
Signature		
Officer 3 Name	Title	<input type="checkbox"/> Trading Officer
Signature		

*For additional officers(s), attach an additional Limited Liability Company Certification.*

**SOLE OFFICER CERTIFICATION**

- By checking this box, I affirm that the laws of the state in which the LLC has been formed expressly permit the same person to hold the offices of both President and Secretary of a LLC, and that I presently hold both such offices of the LLC named above. I understand the IBD and/or Axos Clearing will rely upon this certification in accepting documents executed by me as the Sole Officer. I agree to inform the IBD and/or Axos Clearing promptly of any changes to my status as Sole Officer.

Account Number:

**STEP 3: POWERS OF THE LLC**

The undersigned Officer(s) certify that, under the Operating Agreement and/or applicable state or local law, they have the power to enter into transactions for the purchase and sale of securities and other investments, including without limitation, stocks (preferred or common), bonds, mutual funds and certificates of deposit.

**In Addition to the Foregoing Powers, the Undersigned Officers are Specifically Authorized to:**

<input type="radio"/> Yes <input type="radio"/> No	Maintain margin accounts and through such accounts borrow money to withdraw funds on margin, purchase securities on margin and to pledge those securities and all others in the margin account as security for the loan.
<input type="radio"/> Yes <input type="radio"/> No	Borrow money or make any contract the effect of which is to borrow money, and secure such obligations by mortgages or other liens upon any LLC property; borrow, guarantee and/or pledge any LLC assets as collateral, as the case may be, with respect to a loan; guarantee a borrowing of money or to make any contract the effect of which is to guarantee a borrowing, and secure such obligations by mortgages or other liens upon any LLC property.
<input type="radio"/> Yes <input type="radio"/> No	Sell securities that the LLC does not own (short sales) and borrow securities to facilitate this practice.
<input type="radio"/> Yes <input type="radio"/> No	Engage in the purchase of call options.
<input type="radio"/> Yes <input type="radio"/> No	Engage in covered call writing.
<input type="radio"/> Yes <input type="radio"/> No	Engage in the purchase of put options.
<input type="radio"/> Yes <input type="radio"/> No	Engage in the sale of uncovered call and put options and engage in spread, straddle and all other options strategies.
<input type="radio"/> Yes <input type="radio"/> No	Delegate Officer powers, including check writing authority, to third parties, such as investment advisors or other agents, under a Power of Attorney ("POA"), other document, or the Operating Agreement. A copy of the POA, other document, or section of the Operating Agreement showing the delegation of such power in undersigned's capacity as Officer is also required.
<input type="radio"/> Yes <input type="radio"/> No	Establish and maintain an account with a debit card and/or check writing, from which account funds are directly spent, the responsibility for which is entirely that of the Officer(s).
<input type="radio"/> Yes <input type="radio"/> No	Receive on behalf of the LLC or deliver to the LLC or third parties any and all assets including, but not limited to, monies, stocks, bonds, and other securities. To sell, assign and endorse for transfer certificates representing stocks, bonds, and other securities now registered or hereafter registered in the name of the LLC.
<input type="radio"/> Yes <input type="radio"/> No	Transfer any and all assets of the LLC to any of the Officer(s) individually.
<input type="radio"/> Yes <input type="radio"/> No	Execute and sign Form W-9 for a US LLC, or the relevant Form W-8 for a foreign LLC.

**STEP 4: OFFICER(S) INDEMNIFICATION AND SIGNATURES**

The undersigned Officers jointly and severally indemnify and hold harmless the IBD and Axos Clearing, and each of their affiliates, officers, directors, employees, agents, successors or assigns from any liability (including attorney's fees) from and against any claims, judgments, expenses, liabilities or costs of defense or settlement arising out of or related to breach of any representation or warranty made herein, or from effecting any transfer or transactions pursuant to instructions given by any of the Officers listed above, or any actual improper or unsuitable action resulting from instructions given to the IBD or Axos Clearing by any of the Officers. This indemnification is made by us both in our capacities as Officers and in our individual capacities. We certify that the LLC is currently in existence, has not been revoked, modified or amended in any manner that would cause the certifications herein to be incorrect and, we agree to inform the IBD and/or Axos Clearing immediately in writing of any amendment to the Operating Agreement, any change in the composition of the Officers, or any other event which could alter the certifications made above. We acknowledge the IBD's and/or Axos Clearing's right to examine the Operating Agreement or any other governance document and hereby agree to provide the IBD or Axos Clearing with a copy of these documents if so requested. (Where applicable, plural references in this certification shall be deemed singular.)

SIGNATURES		
Officer 1 Signature ✕	Print Name	Date
Officer 2 Signature ✕	Print Name	Date
Officer 3 Signature ✕	Print Name	Date
Broker Signature ✕	Print Name	Date
General Principal Signature ✕	Print Name	Date

Mail completed forms to: Trading Direct, 160 Broadway, East Building Floor 7, New York NY 10038.