

# Sole Proprietor Certification

If you are the sole proprietor of an entity that is applying for a brokerage account, please complete this form and submit it with your Account Application and Agreement.

**STEP 1: ACCOUNT INFORMATION**

<b>Account Title (Title of the Entity to which this certification applies)</b>		<b>Account Number</b>
<b>Name of Sole Proprietor</b>	<b>Social Security Number</b>	<b>Nature of Business / Industry</b>
<b>Address</b>		
<b>City</b>	<b>State</b>	<b>Zip Code</b>

**STEP 2: CERTIFICATION**

By signing below, I certify that I am the sole proprietor of the business entity indicated above and I act as President, Vice President, Secretary and Treasurer of this entity. No other person, partnership or corporation has any ownership interest therein. I own all securities, assets and other property in the aforementioned entity name.

I agree to indemnify and hold harmless the Introducing Broker Dealer (“IBD”) and Axos Clearing LLC (“Axos Clearing”), and each of their affiliates, officers, directors, employees, agents, successors or assigns from and against any and all claims, demands, costs, losses, damages, actions, suits and legal proceedings however caused, against them arising out of or related to the actions incurred by complying with my instructions.

<b>SIGNATURE</b>		
Sole Proprietor’s Signature <b>x</b>	Print Name	Date
Broker Signature <b>x</b>	Print Name	Date
General Principal Signature <b>x</b>	Print Name	Date

Mail completed form(s) to: Trading Direct, 160 Broadway, Rear Bldg Floor 9, New York NY 10038.