



Membership Application
1 November 2021



The Exchange of Ideas™



Application for Membership

MAKING KNOWINGLY INCORRECT OR MISLEADING STATEMENTS, AND/OR KNOWINGLY NOT DISCLOSING REQUESTED INFORMATION, IS SUBJECT TO REVOCATION AND CONFISCATION OF MEMBERSHIP(S) WITHOUT REIMBURSEMENT AND MAY ALSO BE SUBJECT TO REGULATORY SANCTIONS AND CRIMINAL PROSECUTION.

RealBOT LLC, dba RealDemand Board of Trade ("RealBOT™" or the "Exchange") a wholly owned subsidiary of Demand Derivatives Corp. ("DDC"), is offering memberships on the Exchange ("Memberships").

There are three distinct classes of Membership: Designated Market Makers ("DMMs"), Designated Futures Commission Merchant ("DFCMs"), and Direct Access Participants ("DAPs"). Regardless which Membership class is selected, participants desiring privileges of Membership must complete an application, be accepted by the Exchange, and meet all requirements of the particular Membership class.

All potential Members must complete a Membership Application Form

Note that names (names only) of approved Members may be published and used by DDC for marketing, public relations, capital-raising, and regulatory purposes. All Membership details are subject to CFTC approval. Applicants shall agree to take no recourse against the Exchange in the event the application is rejected (except as provided in Section 8c of the Commodity Exchange Act), set forth all financial arrangements made in connection with the proposed purchase or transfer of the membership, and agree to abide by the applicable rules and regulations of the Exchange and all amendments thereto.

Definitions

For purposes of the Questionnaire section of this Application:

1. The term "**Applicant**" means an individual, group of individuals, or entity. If Applicant is an entity, all pertinent questions in the application form shall pertain to all super-affiliated companies of that Applicant, such as a holding company or parent company, and all officers, managing members, and directors of such Applicant or super-affiliated company;
2. The term "**Domestic**" refers to the United States and its territories and possessions;
3. The term "**Foreign**" refers to all non-U.S. countries, territories, or possessions.

**ALL APPLICANTS ARE SUBJECT TO, AND AUTHORIZE DEMAND
DERIVATIVES CORP. TO OBTAIN, INDEPENDENT BACKGROUND CHECKS.**

Statement by Individual or Authorized Representative

I am the Applicant I am the authorized representative of the Applicant applying for membership to the Exchange and warrant the truthfulness of my answers to all questions on this application and to any other questions that may be asked by the staff of the Exchange or the Exchange's Membership Committee. I agree to maintain the accuracy and completeness of the information contained in this application throughout the application process, until I am approved for membership, and as long as the membership is held, and I will provide updated information as necessary.

This application and all supporting documentation must be TYPEWRITTEN in English.

A non-refundable \$100 application fee must accompany this application.

PART I

(This section to be completed for individual memberships only)

For an individual to receive the benefits of membership, such individual (or lessee) must be sponsored by a Designated Market Facilitator.

First Name

Last Name

SSN/TaxID

Personal Email

Mobile Phone

Date of Birth

Address

City

State

Postal Code

Country

Release

The following page is a release that must be signed and authorizes Demand Derivatives Corp. and/or RealBOT LLC, their staff and affiliated companies, to request background information on the individual applicant.

AUTHORIZATION AND RELEASE FOR INDIVIDUALS

Demand Derivatives Corp. and its subsidiary RealBOT LLC (the "Exchange") is conducting due diligence on ("I," "Me," or "Applicant").

I hereby expressly authorize the Exchange, its representatives, employees, and agents to obtain information about me from current and former employers, licensing authorities, law enforcement agencies, criminal records providers, address history vendors, professional accreditation or certification organizations, organizations providing electronic access to state and federal court proceedings, transcripts and records, and educational institutions (collectively the "Parties") and to verify the accuracy of all information provided by Me.

I hereby authorize and direct any commodity and/or security exchange of which I am or have been a member, to release to the Exchange all information concerning disciplinary action taken against Me, or a firm in which I am or was a principal.

I hereby authorize each of the Parties described above to release any and all information that the Exchange, its representatives, employees, or agents may request, and hereby release and discharge the Exchange, its representatives, employees, and agents, and all persons providing such information from all claims and liabilities of any nature in connection with the lawful business use of such information.

I further acknowledge and agree that a photocopy of this Authorization and Release may be considered as valid as the original.

Applicant:

Signature

Print Name

Date

Part III

(This section to be completed for entity membership only)

Entity Key Information

Official Name

dba Name

Gov/Tax Number

DSRO Name and Membership Number

Company Physical Address (no PO Boxes allowed)

Address 1

Address 2

City State Postal Code

Country

Main Phone General Email

Mailing/Billing address (if different, PO Boxes allowed)

Address 1

Address 2

City State Postal Code

Country

Officer/Representative Contact Information

Please complete the following for the three highest-ranking officers in the company (e.g., CEO, president, general counsel, or similar).

Note: The authorized representative must be an officer of the Company (with the authority to take immediate emergency action if needed), and should be listed first.

Representative/Officer 1

First Name		Last Name
Title		
SSN/TaxID		
Business Email		Personal Email
Mobile Phone		Date of Birth
Address		
City	State	Postal Code
Country		

Officer 2

First Name		Last Name
Title		
SSN/TaxID		
Business Email		Personal Email
Mobile Phone		Date of Birth
Address		
City	State	Postal Code
Country		

Officer 3

First Name		Last Name
Title		
SSN/TaxID		

Business Email

Personal Email

Mobile Phone

Date of Birth

Address

City

State

Postal Code

Country

Company Release

The following page is a release that must be signed and allows Demand Derivatives Corp. and/or RealBOT LLC, their staff and affiliated companies, to request background information on the entity Applicant and its three officers/representatives.

AUTHORIZATION AND RELEASE FOR ENTITIES

Demand Derivatives Corp. and its subsidiary RealBOT LLC (the "Exchange") is conducting due diligence on _____ (the "Applicant").

I, _____ whose title is _____ am authorized to represent the Applicant and its key officers and directors ("I," "Me," or "Authorized Representative"). The key officers and directors include Me and the following ("Key Individuals"):

As the Authorized Representative, I hereby expressly authorize the Exchange, its representatives, employees, and agents to contact and obtain information about the Member and Key Individuals (as applicable) from current and former employers, licensing authorities, law enforcement agencies, criminal records providers, address history vendors, professional accreditation or certification organizations, organizations providing electronic access to state and federal court proceedings, transcripts and records, and educational institutions (collectively the "Parties") and to verify the accuracy of all information provided by Me.

I hereby authorize and direct any commodity and/or security exchange of which the Applicant and Key Individuals are or have been a member, to release to the Exchange all information concerning disciplinary action taken against the Applicant or Key Individuals.

I hereby authorize each of the Parties described above to release any and all information that the Exchange, its representatives, employees, or agents may request, and hereby release and discharge the Exchange, its representatives, employees, and agents, and all persons providing such information from all claims and liabilities of any nature in connection with the lawful business use of such information.

I further acknowledge and agree that a photocopy of this Authorization and Release may be considered as valid as the original.

Authorized Representative:

Signature

Date

Part IV

(This section to be completed for all memberships)

Membership History

List any futures or securities exchanges (Foreign or Domestic), of which the Applicant is, or has ever been, a member.

Exchange1

Exchange Name

Exchange City

Exchange Category

Start Date

End Date

Clearing Member Firm

Reason for Selling/Leaving

Comments

Exchange3

Exchange Name

Exchange City

Exchange Category

Start Date

End Date

Clearing Member Firm

Reason for Selling/Leaving

Comments

Exchange2

Exchange Name

Exchange City

Exchange Category

Start Date

End Date

Clearing Member Firm

Reason for Selling/Leaving

Comments

Exchange4

Exchange Name

Exchange City

Exchange Category

Start Date

End Date

Clearing Member Firm

Reason for Selling/Leaving

Comments

Legal and Regulatory Questionnaire

When to Answer "Yes"

Please answer "Yes" to the following questions even if: adjudication of guilt was withheld or there was no conviction; there was a conditional discharge or post-conviction dismissal after successful completion of a sentence; a state certificate of relief from disabilities or similar document was issued relieving the holder of forfeitures, disabilities, or bars resulting from a conviction; the record was expunged or sealed; or a pardon was granted.

If the answer is "Yes" to any of the following questions, a separate typewritten statement must be attached giving complete details, as to dates, parties, circumstances, and disposition. Copies of official court documents, police reports, and regulatory notices must be included.

Questions

1. Has Applicant ever pled guilty or nolo contendere ("no contest") to or been convicted or found guilty of any felony (high crime) in any Domestic, Foreign, or military court?
Yes No
2. Has Applicant ever pled guilty to or been convicted or found guilty of any misdemeanor (petit crime) in any Domestic, Foreign, or military court that involves: embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, illegal gambling, mail fraud, racketeering, racketeering influence, or misappropriation of funds, securities or property; or willful failure to file a tax return, supply tax related information, or pay tax; or provided fraudulent statements, documents, or tax returns to taxing authorities; or any transaction in or advice concerning a tradable financial instrument?
Yes No
3. Has any case been brought by a Domestic or Foreign governmental body, against Applicant, seeking a permanent or temporary injunction against such Applicant engaging in or continuing any activity involving: any transaction in or advice concerning equity, debt obligations, futures, options on futures, options on equity, options on physical assets, over-the-counter instruments, or leverage transactions; or embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling or misappropriation of funds, securities, or property?
Yes No
4. Has any case been brought by a Domestic or Foreign governmental body alleging that Applicant: has violated any provision of any investment-related statute or regulation; or has violated any statute, rule, regulation or order that involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling or misappropriation of funds, securities or property; or has willfully aided,

abetted, counseled, commanded, induced, or procured such violation by any other person?

Yes No

5. Has Applicant ever been debarred, reprimanded, or sanctioned by any Domestic or Foreign governmental agency?

Yes No

6. Has Applicant ever been the subject of any order, complaint, or finding of a violation of any rule or regulation issued by a Domestic or Foreign regulatory authority or self-regulatory organization that prevented or restricted or would have prevented or restricted the Applicant's ability to engage in any business or activity or resulted or could have resulted in a fine issued against such Applicant?

Yes No

7. Has Applicant been refused admission to (including the denial, withdrawal, revocation or termination of an application for membership or registration), rejected, expelled, suspended, or fined, censured, or otherwise disciplined by the Commodity Futures Trading Commission (CFTC), the Securities Exchange Commission (SEC), the Financial Industry Regulatory Authority (FINRA), the National Futures Association (NFA), or similar Foreign regulatory body?

Yes No

8. Is Applicant currently under investigation by any regulatory agency, exchange, or association?

Yes No

9. Has Applicant ever been disqualified from trading?

Yes No

10. Has Applicant been requested to relinquish trading privileges?

Yes No

11. Has Applicant been a party to any lawsuit, litigation, legal proceeding, or arbitration, whether settled, resolved, brought to judgment, or dismissed that has not been addressed by the foregoing (please omit minor offenses, credit-related disputes, bankruptcies, contract disputes, probate, and personal property disputes)?

Yes No

12. Has Applicant been subject to a disciplinary action or termination for cause by an employer that is under financial industry regulation?

Yes No

13. Has Applicant ever been accused, investigated, and/or convicted for violations of the Anti-Money Laundering statutes?

Yes No

14. Has Applicant been a party to any action, or is there a charge threatened (of which Applicant is aware) against Applicant, that has not been addressed by the foregoing?

Yes No

15. Has Applicant ever owned or controlled, or done business as, any other entity, or been known by any other name?

Yes No

Financial Information

Because all positions at the Exchange are fully collateralized, there is no need to submit financial information. However, financial information may be required for individuals sponsored by a DFCM.

Conditions of Membership

It shall be an offense against the Exchange to make a gross misstatement of a material fact on the Application or verbally to any staff member of the Exchange, Clearing House, or Demand Derivatives staff or on an application for membership.

I understand that **MAKING KNOWINGLY INCORRECT OR MISLEADING STATEMENTS, AND/OR KNOWINGLY NOT DISCLOSING REQUESTED INFORMATION, IS SUBJECT TO REVOCATION AND CONFISCATION OF MEMBERSHIP(S) WITHOUT REIMBURSEMENT AND MAY ALSO BE SUBJECT TO REGULATORY SANCTIONS AND CRIMINAL PROSECUTION.**

I do hereby agree that, if I am approved as a member of the Exchange, I will observe and be bound by the Bylaws, Rules, and Regulations of the Exchange, and all amendments thereto.

I understand that Exchange may conduct, or cause to be conducted, an investigation into the Applicant's character, general reputation, and personal characteristics and that the Exchange may retain a consumer reporting agency for that purpose. I hereby authorize the Exchange to conduct an initial investigation and, while maintaining a Membership, potentially periodic investigations as to the credit, character, conduct, and general reputation.

I hereby authorize and direct any commodity and/or security exchange and/or self-regulatory organization of which I am or have been a member, to release to the Exchange all information concerning disciplinary action taken against me, or a firm in which I am or was a principal, and any other background information in the possession of such exchange or organization.

I authorize and request any and all of my former employers and any other persons to furnish to the Exchange any information they may have concerning my character, ability, business activities, and reputation, financial background, and creditworthiness, together with, in the case of former employers, a history of any employment by them and the reasons for termination thereof; and I hereby release each such employer, partner, vendor, person, or similar entity from any and all liability of whatsoever nature for furnishing such information to the Exchange.

Applicants applying for membership hereby consent to the Exchange for use by Demand Derivatives and its affiliates of proprietary data or other personal information regarding the applicant/member received by Demand Derivatives and its affiliates from time to time through the conduct of their businesses, including any data submitted to them to fulfill regulatory obligations, for commercial, business, and marketing purposes. Without the prior consent of the applicant/member, Demand Derivatives and its affiliates will not reveal to non-affiliated third parties on a non-aggregated, non-anonymized basis any of the following information that is obtained from the applicant/member to fulfill regulatory obligations: (i) personally identifiable information, (ii) detailed transaction data, (iii) position data, (iv) investigative materials, or (v) financial source documents, except (a) as necessary to fulfill its regulatory obligations, (b) as required or requested by regulatory authority, or (c) pursuant to a valid court order, subpoena, or equivalent legal instrument.

Demand Derivatives will not recognize or administer any security agreement with respect to the ownership of this membership.

Furthermore, by signing this application, I confirm that I represent all entities and individuals encompassed in the definition of the term "Applicant" above and am not aware of any prohibition against membership by any regulator (U.S. or otherwise) to which such entities or individuals are subject. In order to be eligible for membership, all Applicants represent that their request for Membership is lawfully made in accordance with the laws of the jurisdiction in which they are located.

The Applicant, as representing all entities and individuals as defined above agrees to take no recourse against Demand Derivatives, its affiliates, any of its directors, advisers, officers, committee members, employees, vendors, partners, or contractors by way of any and all manner of actions, suits, controversies, judgments, executions, claims, or demands, in law or in equity, if the undersigned is not approved to be a member, except as may be permitted under Section 8c of the Commodity Exchange Act.

I, _____ as an individual _____ as the Authorized Representative of the Company, affirm that I have read and understand the contents of the foregoing statement and that all of the information contained hereinbefore is true, accurate, and complete.

Signature of Applicant

Date

Notary Signature

Subscribed and sworn before me this _____ day of _____ 20__.

Notary stamp or seal



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