

**STATE OF NEW YORK DEPARTMENT OF LAW
REAL ESTATE FINANCE BUREAU
SUPPLEMENTAL BROKER DEALER STATEMENT**

Firm Name _____ Principal Office _____ Street Address _____
Phone No. _____ City _____ State _____ Zip _____

A securities broker or dealer shall, not later than 30 days after occurrence, complete this statement. All changes occurring within 30 days can be filed on one M-3 (with attachments if necessary). Attach additional sheets if space provided is inadequate. You may submit a photocopy of the form to be return with your fee receipt as an acknowledgment of registration.

1. Change of securities salesperson. (Not for FINRA member firms who must file a U-4 with the Central Registration Depository.)

A. NEW SALESPERSONS EMPLOYED. A Salesperson Statement (Form M-2) or Supplemental Salesperson Statement (Form M-4) for each new employee must accompany this form.

Date	Name	Address
_____	_____	_____
_____	_____	_____

B. SALESPERSONS TERMINATED.

Date	Name	Address	Reason for Termination
_____	_____	_____	_____
_____	_____	_____	_____

2. CHANGE IN FIRM NAME OR ADDRESS OR BRANCH OFFICE. Date _____
From: _____
To: _____

3. TERMINATION OR WITHDRAWAL OF DEALERSHIP AS OF _____ DATE.
Reason: _____

4. Change in officers, directors or other principals. The information set forth below must be provided for each officer, director, principal or partner. For a corporate partner, information must be provided for all officers of the corporate general partner. If the change is termination of an officer, only the first three lines need to be completed.

Name: _____
Date of Change: _____ Nature of Change: _____
Home Address: _____
Phone No.: _____ Social Security No.: _____
For foreign applicants without a social security number, provide one of the following:
Individual Taxpayer Identification Number: _____
Passport Number: _____ (Annex photocopy hereto)
Date of Birth: _____ Place of Birth: _____

Prior home address for past five years:

MAKE SURE THE FORM IS COMPLETED AND SIGNED ON REVERSE SIDE.

5. Has any officer, director, principal, partner or salesperson ever:
- A. been suspended or expelled from membership in any securities or commodities exchange, association of securities or commodities dealers or investment advisors?.... Yes [] No []
 - B. had a license or registration as a dealer, broker, investment advisor or salesperson, futures commission merchant, associated person, commodity pool operator, or commodity trading advisor denied, suspended or revoked?..... Yes [] No []
 - C. been enjoined or restrained by any court or agency from:
 - 1. the issuance, sale or offer for sale of securities or commodities?..... Yes [] No []
 - 2. rendering securities or commodities advice?..... Yes [] No []
 - 3. handling or managing trading account?..... Yes [] No []
 - 4. continuing any practices in connection with securities or commodities?..... Yes [] No []
 - D. been convicted of any crime (other than minor traffic violation)?..... Yes [] No []
 - E. used or been known by any other name?..... Yes [] No []
 - F. been the subject of any professional disciplinary proceeding?..... Yes [] No []
 - G. been adjudged a bankrupt or made a general assignment for benefit of creditors; or been an officer, director or principal of any entity which was reorganized in bankruptcy, adjudged a bankrupt or made a general assignment for benefit of creditors?..... Yes [] No []
 - H. had an offering of securities within the last three years or been an officer, director, principal or partner of any entity which had an offering of securities within the last three years?..... Yes [] No []

If the answer to any of the above is "yes," explain and attach a copy of the judgement, order, etc. if one exists.

6. Are there any outstanding judgements (not including judgements involving domestic relations) against the issuer or any officer, director, principal or partner thereof?
If yes, explain..... Yes [] No []

I hereby represent that all statements contained herein are true and that I fully understand that any false statements constitutes a violation of Article 23-A of the General Business Law.

Dated _____ Signature _____
(Individual proprietor, partner, or principal officer of corporation, trust or association.)

A fee of \$30 must accompany this form. Submit a money order or company, bank or attorney's check payable to the N.Y.S. Department of Law. Remit to: N.Y.S. Department of Law, Real Estate Finance Bureau, 28 Liberty Street, New York, NY 10005.