

- D. been enjoined or restrained by any court or government agency from:
- i. the issuance, sale or offer for sale of securities or commodities? Yes ___No___
 - ii. rendering securities or commodities advice? Yes ___No___
 - iii. handling or managing trading accounts?. Yes ___No___
 - iv. continuing any practices in connection with securities or commodities? Yes ___No___
- E. Is any action or proceeding seeking the relief enumerated in A-D presently pending? Yes ___No___
- F. been convicted of any crime? Yes ___No___
- G. used or been known by any other name? Yes ___No___
- H. been the subject of any professional disciplinary proceeding? Yes ___No___
- I. been adjudged a bankrupt or made a general assignment for benefit or creditors; been the subject of a receivership or bankruptcy proceeding; been an officer, director, principal, partner, manager, supervisor or any 10% or more equity holder of any entity which was reorganized in bankruptcy, adjudged a bankruptcy or made a general assignment for benefit of creditors?. Yes ___No___
- J. had a judgment entered against them or it which is presently unsatisfied? (Not including judgment involving domestic relations.) Yes ___No___
- K. been a party in any litigation or administrative proceeding in which it is alleged that they or it committed fraud or otherwise violated any provision of the Martin Act or any other securities or commodities laws? Yes ___No___
- L. Used any virtual currency trading platform, broker, investment adviser, or other service that is not registered or licensed to conduct virtual currency business activity in the State of New York? Yes ___No___
- M. Failed to pay federal, state, or local taxes in connection with gains realized from the exchange of virtual currencies? Yes ___No___
- N. Failed to report suspicious financial activity in connection with the firm's dealing in virtual currencies on behalf of clients? Yes ___No___
- O. Failed to report suspected illegal activity engaged in by the applicant firm (or any associated person or entity), the conduction of which is related, in any way, to the exchange of virtual currency? Yes ___No___

11. Is any action or proceeding seeking the relief noted in question 10, presently pending? Yes ___No___

If the answer to any of questions 10 or 11 is "Yes", attach a statement of the full particulars giving the date, the nature of the offense, the title and the location of the agency or court involved, the circumstances and the final disposition.

12. List all professional, business or occupational licenses or registrations which you now hold, have held, or have applied for:

13. List complete employment and business affiliation record for the past five years. (Indicate periods of self-employment and unemployment. Include all corporations or other entities where individual holds or held a substantial equity or controlling interest.)

From Mo./ Yr.	To Mo./ Yr.	Employer or Business Affiliation		Position Held and Type of Business
		Name	Address	

14. The following is a complete record of my business affiliations for the past five years, including all entities not listed in 13 above, under my control or in which I was a principal shareholder (10% or more) or in which I held a substantial equity or controlling interest (10% or more) or of which I was an officer, director, general partner, trustee or principal.

From Mo./ Yr.	To Mo./ Yr.	Business Affiliation		Type of Business	Affiliation/Position
		Name	Address		

I hereby represent that I am the person who is the subject of the foregoing Commodity Information Sheet, that all the answers and facts contained therein are true and that I fully understand that any false statement shall constitute a violation of Article 23-A of the General Business Law.

Date: _____ Signature: _____