



STATE OF NEW YORK DEPARTMENT OF LAW
 INVESTOR PROTECTION BUREAU
 28 Liberty Street, 15th Floor
 New York, NY 10005
 1-800-771-7755

NY FORM CM-2

Submit by mail or to IPBBD@ag.ny.gov. All email submissions must be followed by a paper submission and payment.

NYS File Number _____ (found on fee receipt for original filing)

COMMODITY SALESPERSON STATEMENT

If used to report new employment, a Supplemental Commodity Broker-Dealer Statement, NY Form CM-3, must accompany this Form CM- 2, unless employed by a registered commodity broker. In such case, give broker's license number and expiration date in space provided below.

1. _____
 Last Name First Name Middle Name

2. _____
 Residence Street City State Zip

3. _____ 4. _____
 Phone Number. Email Address

5. _____ 6. _____
 Social Security No. Date of Birth

7. _____
 Place of Birth

8. _____ 9. _____ 10. _____ 11. _____
 Hair Color Eye Color Weight Height

Attach 2 x 2 photo taken within
 the preceding six months

12. Have you used or been known by any other name? Yes ___ No ___

If "Yes", give other name(s) _____

13. Have you or any entity in which you were a principal or in which you were a principal shareholder (10% or more) or in which you held a substantial equity or controlling interest or of which you were an officer, director, general partner, trustee, principal, manager or supervisor ever:

- A. been suspended or expelled from membership in any securities or commodities exchange, association of securities or commodities dealers or investment advisers or commodities trading advisors? Yes ___ No ___
- B. had a license or registration as a securities or commodity dealer, broker, investment advisor, salesperson, futures commission merchant, associated person, insurance agent, New York "BitLicense", limited purpose trust charter, money transmitter, commodity pool operator or commodity trading advisor denied, suspended, revoked, cancelled or refused? Yes ___ No ___
- C. been under investigation or cited for, entered into a settlement agreement concerning or found to have committed a violation of any local, state, or federal law or regulation regarding virtual currencies or money transmission? Yes ___ No ___

- 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 ___
14. Is any action or proceeding seeking the relief noted in question 13 presently pending? Yes ___ No ___

If any answer to 13 or 14 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.

Fee for Salesperson Statement. \$25.00

Payment by Attorney's check, company check, certified check, bank check or money order. Personal checks not accepted.

If you submit your filing by email, a copy of the check you've mailed must be submitted with your filing. In addition, a hard copy of your cover email must accompany your check in the mail.

Make check payable to the **NYS Department of Law.**

Send remittance to: Investor Protection Bureau
NYS Department of Law
28 Liberty Street, 15th Floor
New York, New York 10005

15. Name and address of the employer (Commodity Broker-Dealer): _____

Street _____ City _____ State _____ Zip _____

NYS File Number No.: _____ Expiration Date: _____

16. Do you serve as an investment adviser or commodity investment advisor? Yes [] No []

If so, state the name of the service, whether it is full or part time, the duties and the compensation.

17. 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	

18. Complete educational history:

<u>Name of School and Location</u>	<u>Dates (Mo. & Yr.)</u>	<u>Did You Graduate?</u>
High School _____		Yes [<input type="checkbox"/>] No [<input type="checkbox"/>]
College, University or, Technical _____		Yes [<input type="checkbox"/>] No [<input type="checkbox"/>]
Other _____		Yes [<input type="checkbox"/>] No [<input type="checkbox"/>]

I hereby grant permission to the Attorney General to examine without notice any filings made with any government or self-regulatory organization, including the CFTC, SEC and FINRA.

I hereby represent that I am the person who is the subject of the foregoing Commodity Salesperson Statement, 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.

Furthermore, I hereby represent that I am registering with the Attorney General solely for the purpose of selling commodity contracts as defined under GBL § 359-e (14) and that I will not act as a securities salesperson with respect to any securities unless and until I have undertaken and successfully completed a uniform securities agent state law examination as administered by or on behalf of the North American Securities Administrators Association, Inc. by any national securities association or national securities exchange, have provided proof of successful completion of such examination requirement to the Attorney General and have filed a registration statement according to the Attorney General's requirements.

Date: _____ Signature: _____