

STATE OF NEW YORK DEPARTMENT OF LAW REAL ESTATE FINANCE BUREAU

NY FORM M-10

28 Liberty Street New York, NY 10005 212-416-8122 1-800-788-9898 TDD (for hearing impaired)

SPONSORS AND SELLING AGENTS BROKER DEALER STATEMENT

All brokers and dealers whose principal business is in the offering, sale or promotion of condominiums, shares of cooperative apartment corporations or commercial cooperative corporations, interests in homeowners associations, timeshare projects, senior residences or any other participation interests in real estate, shall submit Form M-10.

Out-of-state or foreign organizations must attach a certified copy of a Designation for the Service of Process from the Secretary of State. Attach additional sheets if space provided is inadequate. For assistance in completing this form, call the Real Estate Finance Bureau: (212) 416-8122.

Name of Registrant:			Telephone No.:		
Address:	Street			<u> </u>	7.
Other offices, if a	ny	City		State	Zip
1. Registrant is a	[] corporation[] sole proprietor[] other: specify	[] general page [] limited lia	artnership ability company	_] limited partnership
Organized und	er the laws of				
2. Registrant is a	[] sponsor. [] selling agent. If a lice	ensed real estate b	oroker, give state lic	cense nun	nber and expiration date
	 holder of unsold share purchaser for investme seller of interests in a other: specify 	ent or resale of un homeowners asso	nsold shares of a co ociation.	_	_
	a new or substitute sponsor, Yes [] No []	broker or dealer,	has this informatio	on been di	sclosed in an offering plan or
Filing fee	\$300 (va	alid for 4 years)	Make check paya	ble to the	NYS Department of Law.
Additional fee for each partner, proprietor, principal, member, officer, director, or manager\$ 15.00 each		Send remittance to: Real Estate Finance Bureau NYS Department of Law			
Filing fee must accompany this statement. Payment by Attorney's check, company check, certified check, bank check or money order. Personal checks not accepted.			28 Liberty Street, New York, NY 1	•	r

Address of same				
The offering or selling will take place in:				
[] New York State only.[] New York and other states: specify				
The offering will be made by:				
[] officers, directors, members, managers, and employees of registrant. [] selling agent. If so, give name(s) and address(es):				
Has registrant, any officer, director, member, principal, partner, or manager ever:				
A. been suspended or expelled from membership in any securities exchange, association of securities dealers or investment advisers or counsel?	Yes []	No []
B. had a license or registration as a dealer, broker, investment adviser or salesperson denied, suspended or revoked?	Yes []	No []
C. been enjoined or restrained by any court or agency including the NYS Department	of Law fr	om:		
1. the issuance, sale or offer for sale of securities?	Yes []	No []
2. rendering securities advice or counsel?	Yes [No [_
3. handling or managing trading accounts?4. continuing any practices in connection with securities?	Yes [No [_
	Yes [J	No [J
D. Entered into an Assurance of Discontinuance with the NYS Department of Law whereby that person agreed not to issue, sell or offer for sale securities, or act as a broker or dealer, directly or indirectly of	Yes []	No []
E. been convicted of any crime?	Yes []	No []
F. used or been known by any other name? If "Yes," give other name(s)	Yes []	No []
G. been the subject of any professional disciplinary proceeding?	Yes []	No []
H. Filed for bankruptcy [] been adjudged a bankrupt or made a general assignment for creditors or been an officer, director, member, principal, manager or any entity which reorganized in bankruptcy, adjudged a bankrupt or made a general assignment for the benefit of creditors?				1
I. had an offering or selling of securities within the last three years or been an officer,	168 [J	No [J
director, principal, member, partner or manager of any entity which had sold or offered securities within the last three years?	Yes []	No []
any answer to any of the above (Question 7) is "Yes," attach statement of full particula	rs, giving	g da	te, natı	ıre
f offense, title and location of agency or court involved, circumstances and final dispositi	on.			
List names and residence addresses of all securities salespersons (if none, so indicate).				

Title: Phone: Date of Birth: Curity number, provide one of the following: (Annex photocopy hereto) ears: (Annex photocopy hereto) ears: record for the past five years. Include period ability companies or other entities where per	Is of self-employment and unemployment.
Date of Birth: curity number, provide one of the following: Number: (Annex photocopy hereto) ears: record for the past five years. Include period	ls of self-employment and unemployment.
curity number, provide one of the following: Jumber:(Annex photocopy hereto) ears: record for the past five years. Include period	s of self-employment and unemployment.
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ears: record for the past five years. Include period	
record for the past five years. Include period	
ployer or Business Affiliation Address	Position Held
Title:	
Phone:	
Date of Birth:	
curity number, provide one of the following:	
Jumber:	
ears:	
- ·	Position Held
	Title: Phone: Date of Birth: Phone: Date of Birth: Phone: Date of Birth: Curity number, provide one of the following: Number: (Annex photocopy hereto) Pears: (Annex photocopy hereto) Pears: Phone: (Annex photocopy hereto) Pears: (Annex photocopy hereto) Pears: Phone: Ph

shall constitute a violation of A	statements contained herein are true and correct and understands rticle 23-A of the General Business Law. form will be deemed incomplete.	that any false states		
<u>Signature</u>	Name and Title (Please type or print)	<u>Date</u>		
				