



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

Form CBD

**COMMODITY BROKER/DEALER
STATEMENT**

(Section 359-e (14) General Business Law)

Submit by mail or to IPBBD@ag.ny.gov along with at least one CI-1 form and a CM-2 for each salesperson.
All email submissions must be followed by a paper submission and payment.

Type of filing:

New/Original

Renewal

File Number _____ (Found on fee receipt for original filing)

Commodity Broker-Dealer Name _____

Website Address: _____

Principal Office Address _____

City _____ State _____ Zip _____

Telephone No. _____

Branch offices in New York State: Name and Address _____

1. Is applicant now licensed, or otherwise qualified to transact securities or commodities business in any state?
Yes ___ No ___
A. If yes, list of states _____
- B. If applicant has been a New York commodity broker-dealer, provide the registration number (C ###-##-###) _____
2. Is the applicant firm (and any associated person or entity) registered with any of the Securities and Exchange Commission, Commodity Futures Trading Commission, or National Futures Association in connection with securities or commodities activities including virtual or “crypto” currencies?
Yes ___ No ___
A. If yes, provide registration number _____.
3. Is the applicant firm (and any associated person or entity) licensed to engage in virtual currency business activity in New York by the New York Department of Financial Services?
Yes ___ No ___
A. If yes, provide license number _____
4. Is applicant now licensed as a money transmitter in any state?
Yes ___ No ___
A. If yes, list of states _____
5. Is the applicant (and any associated person or entity) registered as a money services business by the Financial Crimes Enforcement Network?
Yes ___ No ___
A. If yes, provide registration number _____.
5. Has the applicant sold securities or commodities to the public within the last five years? Yes ___ No ___
7. Has the applicant furnished investment advice for compensation in the last five years? Yes ___ No ___
3. Does the applicant (or any associated person or entity) deal in (including but not limited to buy, sell, hold, trade, or advise with respect to) virtual or “crypto” currencies?
Yes ___ No ___
2. Has applicant firm (or any associated person or entity) dealt in commodities including virtual or “crypto” currencies in the past five years on behalf of any clients who reside or do business in the State of New York? Yes ___ No ___
10. Has applicant firm (and any associated person or entity) conducted or been engaged in over the counter transactions in

- connection with virtual currencies in the past five years? Yes ___ No ___
11. Has the applicant firm (and any associated person or entity) dealt in virtual or “crypto” currencies in the past five years on behalf of any client are over the age of 65? Yes ___ No ___
12. Does the applicant firm maintain an anti-money laundering program that complies with all relevant laws, statutes and regulations? Yes ___ No ___
13. Has the applicant, any officer, director, principal, partner, manager, supervisor, 10% or more equity holder of such applicant, or any entity under any such entity or person’s direct or indirect control, 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 of 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. If any answer to any item under question 13 is in the affirmative, attach detailed statement explaining such affirmative answer(s). Your response should include the agency or court involved, nature of any violation, name and SSN/EIN of person/entity named, address of person/entity named, description of status or outcome, date of any charges, status or outcome.

15. Has actual control of registrant changed during past five years? Yes ___ No ___
A. If yes, attach a detailed explanation of the sources of all registrant's capital (including amounts from each source).

16. For each officer, director, principal, partner, manager or supervisor, please provide the information requested. If additional space is necessary, please attach additional pages.

A. Name: _____ Phone: _____
Title: _____ Date of Birth: _____
Birth Place: _____
Residence: _____ Social Security #: (last 4) _____
Prior home addresses for past five years:

B. Name: _____ Phone: _____
Title: _____ Date of Birth: _____
Birth Place: _____
Residence: _____ Social Security #: (last 4) _____
Prior home addresses for past five years:

C. Name: _____ Phone: _____
Title: _____ Date of Birth: _____
Birth Place: _____
Residence: _____ Social Security #: (last 4) _____
Prior home addresses for past five years:

FOR EACH OFFICER, DIRECTOR, PRINCIPAL, PARTNER, MANAGER OR SUPERVISOR, YOU MUST ALSO COMPLETE A FORM COMMODITY INFORMATION SHEET - **FORM CI-1**

17. List name, residence and nature of employment of all commodity salespersons employed to sell in New York State.

Name	Address	Nature of Employment
_____	_____	_____
_____	_____	_____
_____	_____	_____

FOR EACH COMMODITY SALESPERSON YOU MUST ALSO SUBMIT A COMMODITY SALESPERSON STATEMENT - FORM CM-2

18. List the types of commodities the applicant sells? (numismatic coins, precious metals, bullion, precious metals leverage contracts, virtual currencies, etc.)

19. List, any and all services used to engage in the dealing of virtual currencies (including but not limited to trading platforms, "exchanges," wallet providers, decentralized platforms, etc.), if none answer N/A.

Each of the undersigned, constituting all officers, directors, partners, and controlling principals of the registrant, does hereby state and represent that all statements contained herein are true and correct and each understands that any false statement shall constitute a violation of Article 23-A of the General Business Law. Power of Attorney is not acceptable. Please type or print. Attach additional paper if necessary.

Signature

Name and Title

Date

All changes or amendments to this form must be submitted on NY form CM-3 with a \$10 fee. Registration will expire one year from filing. To renew your registration, you must submit a renewal CBD form within 30 days of expiration.

Fee for Commodity Broker-Dealer Statement\$100.00

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 filing 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