

STATE OF NEW YORK DEPARTMENT OF LAW INVESTOR PROTECTION BUREAU 28 Liberty Street, 15th Floor New York, NY 10005 1-800-771-7755 Submit by mail or to IPBBD@ag.ny.gov along with Form CBD or CADV.

N	\mathbf{V}	FC)RN	Л	CI	_ 1
1.7			<i>,</i> , , , , ,	v I	\ / I	- 1

NYS	File	Number	

COMMODITY INFORMATION SHEET (Appendix to Forms CBD and CADV for all principals, officers and directors)

This form must accompany every Form CBD and Form CADV. There is no additional Fee for this form.

Last Name First Name Middle Name 2. Residence Street City State Zip 3. 4.	
Residence Street City State Zip 3. 4.	
Residence Street City State Zip 3. 4.	
Phone Number. Email Address	
5 6 Date of Birth	
•	
7Place of Birth	
8. Have you used or been known by any other name?	YesNo
If "Yes", give other name(s)	
9. Name of Commodity Broker-Dealer or	
Commodity Investment Advisor	
10. Have you or any entity in which you were a principal or in which you were a principal s	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:	1
A. been suspended or expelled from membership in any securities or commoditie	as avchange association of securities
	-
or commodities dealers or investment advisers or commodities trading advisor	
B. had a license or registration as a securities or commodity dealer, broker, inves	stment advisor, salesperson, futures
commission merchant, associated person, insurance agent, New York "BitLice	ense," limited purpose trust charter,
money transmitter, commodity pool operator or commodity trading advisor de	enied, suspended, revoked, cancelled
or refused?	YesNo
C. been under investigation or cited for, entered into a settlement agreement con	acerning or found to have committed
a violation of any local, state, or federal law or regulation regarding virtual cu	arrencies or money transmission?
	Yes No

Ъ.	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
Н	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 t	he subject	of a receivership
	or bankruptcy proceeding; been an officer, director, principal, partner, manager, superv	visor or an	y 10% or more
	equity holder of any entity which was reorganized in bankruptcy, adjudged a bankruptc	cy or made	e a general
	assignment for benefit of creditors?.	Yes	No
J.	had a judgment entered against them or it which is presently unsatisfied? (Not including	ıg judgmer	nt involving
	domestic relations.)	Yes	No
K.	been a party in any litigation or administrative proceeding in which it is alleged that the	ey or it co	mmitted fraud or
	otherwise violated any provision of the Martin Act or any other securities or commodit	ties laws?	
		Yes	No
L.	Used any virtual currency trading platform, broker, investment adviser, or other service	e that is no	ot 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 ex	change of	virtual
	currencies?	Yes	No
N.	Failed to report suspicious financial activity in connection with the firm's dealing in vir	rtual curre	ncies on behalf of
	clients?	Yes	No
O.	Failed to report suspected illegal activity engaged in by the applicant firm (or any asso	ciated pers	son or entity), the
	conduction of which is related, in any way, to the exchange of virtual currency?	Yes	No
11. Is any a	action or proceeding seeking the relief noted in question 10, presently pending?	Yes	No
If the answ offense, the	er to any of questions 10 or 11 is "Yes", attach a statement of the full particulars giving the title and the location of the agency or court involved, the circumstances and the final distributions.	he date, the sposition.	e nature of the
12. List all	professional, business or occupational licenses or registrations which you now hold, have applied for:	e	

From Mo./ Yr.	To Mo./ Yr.	Employer or Business Affilia Name Address	tion Po	osition Hel	ld and Type of Business
which I held ral partner, tr	a substantial edustee or princip		10% or more) or o	of which	
From	То	Business Affiliation	Type of Bus	siness	Affiliation/Position
From Mo./ Yr.	To Mo./ Yr.	Business Affiliation Name Address	Type of Bus	siness	Affiliation/Position
			Type of Bus	siness	Affiliation/Position
			Type of Bus	siness	Affiliation/Position
			Type of Bus	siness	Affiliation/Position
			Type of Bus	siness	Affiliation/Position
Mo./ Yr. I hereby swers and fact	Mo./ Yr.	Name Address am the person who is the subjection are true and that I fully under	et of the foregoing (Commodi	ty Information Sheet, that

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