

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

NY FORM CM-3

NYS File Number/CRD Number_____

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

SUPPLEMENT TO N.Y. FORMS CBD and CADV

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

ALL CHANGES OCCURRING WITHIN 30 DAYS CAN BE FILED ON ONE CM-3 FORM (WITH ATTACHMENTS IF NEEDED) FOR \$10 FEE.

Type	e of Supplement CBD		CADV			
Com	modity Broker-Dealer or					
Com	modity Investment Advisor Firm Name					
Princ	cipal Office Address					
	City		State	Zip Code		
-	phone No.		Email			
1.	CHANGE OF COMMODITY SALESPER					
_	A. NEW SALESPERSON(S) EMPLOYE Note: include a Salesperson Statement (CN Name	M-2) or Suppler Address	•	Date of Hire		
_		SSN#		Date and Reason for Termination		
2.	CHANGE IN:FIRM NAME orADDRESS orBRANCH OFFICE ADDRESS. CHANGE DATE From:					
	To:					
 4. 	For each occasion when registrant or any of involving securities or commodities invest agency from engaging in any practice involved. Attach a copy of the judgment, order, or TERMINATION OR WITHDRAWAL OR	etc.				
	Reason:					
Pl [Make check payable to the	D or CADV Statement\$ 10.00 NYS Department of Law.		
	ttorney or Firm Name Street Address		Payment by Attorney's che check or money order. Per Send remittance to: Investor Protection Bure NYS Department of Law 28 Liberty Street, 15th Flo	au v		
	ity State	Zip	New York, New York 10			

J.	eacl corj Dat	h new officer, director, principal or partner. In the case of a corporate partner, information must be provocate general partner. If additional space is needed, attach additional pages. Terminating officers should be of Change, Social Security Number and Nature of Change items only. Social security numbers and restrictly confidential.	vided for all offi ld complete Nar	icers of me.						
Nan	ne:									
Add	ress:									
Prio	r home	addresses for the past 5 years:								
Tele	phone:	Social Security #:	Social Security #:							
Date	e of Bir	th: Place of Birth:	Place of Birth:							
Date	of Ch	ange: Nature of Change:	Nature of Change:							
б.		the applicant, any officer, director, principal, partner, manager, supervisor, 10% or more equity holder ty under any such entity or person's direct or indirect control, ever: been suspended or expelled from membership in any securities or commodities exchange, association	•	•						
	com	amodities dealers or investment advisers or commodities trading advisors?	Yes	No						
	B.	B. had a license or registration as a securities or commodity dealer, broker, investment advisor, salesperson, futures commission								
		chant, associated person, insurance agent, New York "BitLicense," limited purpose trust charter, mone	•	•						
	•	l operator or commodity trading advisor denied, suspended, revoked, cancelled or refused?		No						
	C.	been under investigation or cited for, entered into a settlement agreement concerning or found to have								
	D.	ny local, state, or federal law or regulation regarding virtual currencies or money transmission?	res	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?	Vac	No						
		ii. rendering securities or commodities advice?		No No						
		iii. handling or managing trading accounts?.		No						
		iv. continuing any practices in connection with securities or commodities?		No						
	E.	Is any action or proceeding seeking the relief enumerated in A-D presently pending?		No						
	F.	been convicted of any crime?		No						
	G.	used or been known by any other name?		No						
	Н	been the subject of any professional disciplinary proceeding?		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 h									
	enti	ty which was reorganized in bankruptcy, adjudged a bankruptcy or made a general assignment for bene	fit of creditors?							
			Yes	No						
	J.	had a judgment entered against them or it which is presently unsatisfied? (Not including judgment i	nvolving domes	stic						
	rela	tions.)	Yes	No						
	K.	been a party in any litigation or administrative proceeding in which it is alleged that they or it common	nitted fraud or o	therwise						
	viol	ated 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	irrency trading platform, broker, investment adviser, or other service that is not registered or licensea.				
	conduc	ct 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 cu	rrencies?	ı			
			Yes	No			
	N.	Failed to report suspicious financial activity in connection with the firm's dealing in virtual currencies or					
			Yes	No			
	O.	Failed to report suspected illegal activity engaged in by the applicant firm (or any associated person or entit	ty), the c	onduction			
	of whi	ch is related, in any way, to the exchange of virtual currency?	Yes	No			
7. 8.	princi	nere any outstanding judgments (not including judgments of domestic relations) against the issuer or any o ipal or partner thereof? any other information listed on your most recently filed form CBD or CADV changed?	Yes	irector, No _No_			
		to any of the above (questions 6, 7 or 8) is "Yes", attach statement of full particulars.	103	110			
		and represent that all statements contained herein are true, I understand that any false statements shall cons a of the General Business Law.	titute a vi	olation			
Date: _		Signature:					
		Individual proprietor, partner, or principal officer of corporation, trust of	or associa	tion.			