



NEW YORK STATE DEPARTMENT OF LAW  
 INVESTOR PROTECTION BUREAU  
 28 Liberty Street, 15<sup>th</sup> Floor  
 New York, NY 10005  
 1-800-771-7755  
**COMMODITY INVESTMENT ADVISOR  
 STATEMENT**  
 (Section 359-e (14) General Business Law)  
 Submit by mail or o IPBBD@ag.ny.gov

**Form CADV**

**Type of filing:**

- New/Original**
- Renewal**

File Number \_\_\_\_\_ (Found on fee receipt for original filing)

Commodity Investment Advisor Name (the applicant) \_\_\_\_\_

Trade or publication names used by Advisor: \_\_\_\_\_

Website Address: \_\_\_\_\_

Principal Place of Business \_\_\_\_\_  
City
State
Zip

1. The applicant has been at its principal place of business for \_\_\_\_\_ years and  does  does not share this space with any other entity. (If space shared, indicate with whom on separate sheet). The telephone number at this location is \_\_\_\_\_ which number  is  is not shared with any other entity. (If shared, state details on separate sheet).
2. The applicant  does  does not maintain other offices or facilities. If it does, state where.
3. Is the applicant engaged in any business or profession, directly or indirectly, other than that of a commodity investment advisor?
  - A. Describe the nature of each such other business and state what the principal business of the applicant is on a separate sheet.
4. The applicant is a  corporation;  partnership;  sole proprietorship; organized under the laws of \_\_\_\_\_ on \_\_\_\_\_ (date).
5. Has the applicant acquired, merged, or otherwise succeeded to the business of another commodity investment advisor within the last five years? Yes \_\_\_ No \_\_\_.
  - A. If yes, provide details including the sources of all registrant's capital (including amounts from each source).
6. Has the applicant, within the last five years, discontinued business, changed its name or merged with another company? If yes, provide details. Yes \_\_\_ No \_\_\_
7. The applicant licensed or registered to do business as a commodity investment advisor in the following states:  
 \_\_\_\_\_
8. Has the applicant been a New York commodity broker-dealer, provide the registration number (C ##-##-##) \_\_\_\_\_
9. Is the applicant (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 investment advice activities including advice related to virtual currencies? Yes \_\_\_ No \_\_\_
  - A. If yes, provide registration number \_\_\_\_\_.
  - B. If yes, does the applicant use the title of "Investment Counsel" under Section 208 (c) of the Federal Investment

Advisers Act of 1940.

10. Is the applicant (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 \_\_\_\_\_
11. Is applicant now licensed as a money transmitter in any state? Yes \_\_\_No\_\_\_  
 A. If yes, list of states \_\_\_\_\_
12. 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 \_\_\_\_\_.
13. Has the applicant sold securities or commodities to the public within the last five years? Yes \_\_\_No\_\_\_
14. Has the applicant furnished investment advice for compensation in the last five years? Yes \_\_\_No\_\_\_
15. 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 currencies? Yes \_\_\_No\_\_\_
16. Has applicant firm (or any associated person or entity) dealt in commodities including virtual currencies in the past five years on behalf of any clients who reside or do business in the State of New York? Yes \_\_\_No\_\_\_
17. 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\_\_\_
18. Has the applicant firm (and any associated person or entity) dealt in virtual currencies in the past five years on behalf of any client are over the age of 65? Yes \_\_\_No\_\_\_
19. Does the applicant firm maintain an anti-money laundering program that complies with all relevant laws, statutes and regulations? Yes \_\_\_No\_\_\_
20. Has the applicant, any officer, director, principal, partner, manager, supervisor, 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\_\_\_

21. If any answer to any item under question 20 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.

22. 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**

23. List name, residence and nature of employment of all representatives employed to sell commodity investment advice in New York State.

FOR EACH PERSON LISTED IN 23. YOU MUST ALSO SUBMIT A COMMODITY INFORMATION SHEET - **FORM CI-1**

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

24. List the types of commodities about which the applicant provides advice? ( numismatic coins, precious metals, bullion, precious metals leverage contracts, virtual currencies, etc.)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

25. 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.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

26. As of the date of this statement, the applicant has approximately \_\_\_\_\_ clients located in New York State.

27. A. Does the applicant make specific recommendations or assign ratings on securities or commodities? Yes \_\_\_ No \_\_\_

B. Does the applicant give advice to clients as to the investment of funds on the basis of analysis of the individual needs of

the clients? Yes \_\_\_No\_\_\_

C. Does the applicant issue periodic publications on a subscription basis? Yes \_\_\_No\_\_\_

D. Does applicant issue special reports or analysis? Yes \_\_\_No\_\_\_

E. What are the general methods of commodities analysis by the applicant? Indicate the importance of each.

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F. What are the principal sources of information for the applicant's research? Indicate the importance of each.

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G. To what extent and how does the applicant verify or test the accuracy of externally provided information and data?

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H. How many advisory services does the applicant subscribe to (on either a paid or exchange basis)?

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I. Does applicant publish and maintain a list of recommended or rated commodities? Yes \_\_\_No\_\_\_

If yes:

i. What is the approximate size of such list? \_\_\_\_\_.

ii. How frequently does applicant add to, delete from, or review such recommended or rated list?  
\_\_\_\_\_.

iii. What is the maximum length of time a recommendation or rating can be so listed without a comprehensive, mandatory review? \_\_\_\_\_

J. Set forth a schedule of the applicant's fees and charges; attach a sample form of contract, if any.

28. Does applicant or any person named herein have discretionary authority to make any of the following determinations without obtaining the consent of the client before the transaction is effected?

a. Whether the transaction is to be one of purchase or sale Yes \_\_\_No\_\_\_

b. Which commodity is to be bought or sold Yes \_\_\_No\_\_\_

c. The total amount of the commodity to be bought or sold Yes \_\_\_No\_\_\_

29. Does applicant or any person named herein have custody or possession, or authority to obtain custody or possession of:
- a. Commodities or commodity contracts of any clients Yes \_\_\_No\_\_\_
- b. Funds of any client Yes \_\_\_No\_\_\_
30. Does applicant's business consist of or include any type of investment advisory service not described above? Yes \_\_\_No\_\_\_
- a. If Yes, on a separate sheet describe in detail any other type of investment advisory service performed and the basis of recommendations made.
31. Does applicant:
- a. as principal, sell commodities to or buy commodities from any clients to whom it has recommended such purchase or sale? Yes \_\_\_No\_\_\_
- b. as a broker (agent) for any person other than the client, sell commodities to or buy commodities from any client to whom it has recommended such purchase or sale? Yes \_\_\_No\_\_\_
- c. recommend the purchase or sale of any commodities sold by any company wherein the applicant or any person named herein has an ownership position in the company greater than 1%, or receives direct or indirect compensation or other benefits contingent upon the recommendation of a particular commodity? Yes \_\_\_No\_\_\_
32. Does applicant have agreements or understandings either written or oral, with any broker, dealer or commodity broker-dealer, which would require a client to transfer their account(s) to that broker, dealer or commodity broker-dealer,? Yes \_\_\_No\_\_\_
- a. If yes, identify the broker-dealer and set forth the agreements
33. The applicant's fiscal year ends on \_\_\_\_\_.

**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

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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 CADV form within 30 days of expiration.

Fee for Commodity Investment Advisor 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 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 Real  
Estate Finance Section 28  
Liberty Street, 15<sup>th</sup> Floor New  
York, New York 10005