

NY Form CBD
(Revised 5/18)

** File No. _____
(for renewals only)

STATE OF NEW YORK
Office of the Attorney General
INVESTOR PROTECTION BUREAU
COMMODITY BROKER-DEALER STATEMENT

(Section 359-e(14) Gen. Bus. Law)

Firm Name _____ Principal Office _____
Telephone No. _____ Street Address City State Zip

The registrant does does not maintain other offices or facilities.
If it does, state where. _____

1. Is registrant now licensed, or otherwise qualified to transact securities or commodity sbusiness in any other state? Yes No
If "YES" attach list of states.

2. Has registrant, any officer, director, principal, partner, manager, supervisor, 10% or more equity holder or any entity in which such individual was a principal ever:

A. been suspended or expelled from membership in any securities or commodities exchange, association of securities or commodities dealers or investment or commodities trading advisors or counsel? Yes No

B. had a license or registration as a securities or commodity dealer, broker, investment advisor, salesperson, futures commission merchant, associated person, commodity pooloperator or commodity trading advisor denied, suspended, revoked, cancelled or refused? Yes No

C. been enjoined or restrained by any court or government agency from:

- 1. the issuance, sale or offer for sale of securities or commodities?Yes No
- 2. rendering securities or commodities advice or counsel? .. Yes No
- 3. handling or managing trading accounts?.....Yes No
- 4. continuing any practices in connection with securities or commodities?. Yes No

** Found on the fee receipt you received for your original filing.

Found Fee Enclosed as Follows:
Commodity Broker-Dealer
Statement.....\$100.00

Please indicate to whom you wish
the fee receipt sent.
() Attorney () Firm

Personal checks not accepted.
Attorney's check, bank check,
check, money order and only, payable
to the NYS Office of the Attorney
General.

Send remittance to:
Investor Protection Bureau
NYS Office of the Attorney General
28 Liberty Street, 15th Floor

New York, NY 10005

D. Is any action or proceeding seeking the relief enumerated in A-C presently pending?.....
Yes [] No []

E. been convicted of any crime?..... Yes [] No []

F. used or been known by any other name?..... Yes [] No []

G. been the subject of any professional disciplinary proceeding?..... Yes [] No []

H. 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 holder of any entity which was reorganized in bankruptcy, adjudged a bankruptcy or made a general assignment for benefit of creditors?..... Yes [] No []

I. had a judgment entered against them or it which is presently unsatisfied? (Not including judgment involving domestic relations.)..... Yes [] No []

J. 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 []

K. if any answer to any of the above "YES", attach statement of full particulars.

3. Does registrant furnish investment advice for compensation?..... Yes [] No []

4. Has registrant sold securities or commodities to the public within the last three years?..... Yes [] No []

5. Registrant has been a commodity broker-dealer since _____.

6. If actual control of registrant has changed during past 5 years give in detail the sources of all registrant's capital:

| Amount | Source |
|--------|--------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

7. Give the location of each business in which registrant has engaged during the preceding five years.

| From Mo./Yr | To Mo./Yr. | Business Location and Nature |
|----------------|---------------|------------------------------|
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |

8. What type of commodities do you sell? (for instance, numismatic coins, precious metals, bullion, precious metals leverage contracts, etc.

9. List below all managers and supervisors in the employ of registrant. For each person listed attach a copy of Form CI-1.

10. List below the name and position of each officer, director, principal, partner, or any 10% or more equity holder. For each person listed attach a copy of form CI-1.

11. List name, residence and nature of employment of all commodity salespersons employed to sell in N.Y. State. These people must file or have on file a N.Y. Form CM-2 (Commodity Salesperson Statement).

Name Address Nature of Employment

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

DATED: _____ **Signature:** _____

STATE OF)
 : SS.:
COUNTY)

_____, being duly sworn, deposes and says that I am the _____ (Title) of Registrant and I signed the above form. I have read the questions and answers and information supplied, and they are true, accurate and complete

(Signature of Affiant/Chief Executive Officer of Registrant)

Sworn to before me this _____ day of _____, 19 _____

(Notary signature and legible official stamp)
(spe)