



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

**Form CBD**

**COMMODITY BROKER/DEALER  
 STATEMENT**

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

Submit by mail or ro [IPBBD@ag.ny.gov](mailto:IPBBD@ag.ny.gov) along with at least one CI-1 form and a CM-2 for each salesperson.

**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 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 \_\_\_\_\_.
6. 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 \_\_\_
8. 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 \_\_\_
9. 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 \_\_\_
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 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.)

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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.

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**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 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 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