**COMMODITY SALESPERSON STATEMENT**

If used to report new employment, a Supplemental Commodity Broker-Dealer Statement, NY Form CM-3, must accompany this Form CM-2, unless employed by a registered commodity broker. In such case, give broker’s license number and expiration date in space provided below.

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<tr>
<td>1.</td>
<td>Last Name</td>
<td>First Name</td>
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<tr>
<td>2.</td>
<td>Residence Street</td>
<td>City</td>
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<td>3.</td>
<td>Phone Number</td>
<td>Email Address</td>
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<tr>
<td>4.</td>
<td>Social Security No.</td>
<td>Date of Birth</td>
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<td>5.</td>
<td>Place of Birth</td>
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12. Have you used or been known by any other name? Yes ____ No____

If “Yes”, give other name(s) ________________________________

13. Have you or any entity in which you were a principal or in which you were a principal 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:

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 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____
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. Is any action or proceeding seeking the relief noted in question 13 presently pending? Yes ____ No____

If any answer to 13 or 14 is “Yes”, attach a statement of the full particulars giving the date, the nature of the offense, the title and the location of the agency or court involved, the circumstances and the final disposition.
22. Name and address of the employer (Commodity Broker-Dealer): ________________________________

Name of Company: ___________________________ Street ___________________________
City ___________________________ State __________ Zip __________

NYS File Number No.: ___________________________ Expiration Date: __________

23. Do you serve as an investment adviser or commodity investment advisor? Yes ____ No ____

If so, state the name of the service, whether it is full or part time, the duties and the compensation.

24. 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 controlling interest.)

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<tr>
<th>From Mo./Yr.</th>
<th>To Mo./Yr.</th>
<th>Employer or Business Affiliation Name</th>
<th>Address</th>
<th>Position Held and Type of Business</th>
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25. Complete educational history:

Name of School and Location Dates (Mo. & Yr.) Did You Graduate?

Fee for Salesperson Statement..........................$25.00

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, 15th Floor
New York, New York 10005
High School ___________________________ Yes ____ No ____
College, University or, Technical ___________________________ Yes ____ No ____
Other ___________________________ Yes____No____

I hereby grant permission to the Attorney General to examine without notice any filings made with any government or self-regulatory organization, including the CFTC, SEC and FINRA.

I hereby represent that I am the person who is the subject of the foregoing Commodity Salesperson Statement, that all the answers and facts contained therein are true and that I fully understand that any false statement shall constitute a violation of Article 23-A of the General Business Law.

Furthermore, I hereby represent that I am registering with the Attorney General solely for the purpose of selling commodity contracts as defined under GBL § 359-e (14) and that I will not act as a securities salesperson with respect to any securities unless and until I have undertaken and successfully completed a uniform securities agent state law examination as administered by or on behalf of the North American Securities Administrators Association, Inc. by any national securities association or national securities exchange, have provided proof of successful completion of such examination requirement to the Attorney General and have filed a registration statement according to the Attorney General’s requirements.

Date: ___________________________ Signature: ___________________________