

NY Form CM-3 ** File No. _____

(Rev. 5/18)

STATE OF NEW YORK
Office of the Attorney General
INVESTOR PROTECTION BUREAU
SUPPLEMENTAL COMMODITY STATEMENT
SUPPLEMENT TO N.Y. FORMS CBD, CADV

All changes occurring within 30 days can be filed on a single CM-3 (with attachments if necessary) and one fee.

Firm Name _____ Principal Office _____

Street Address _____

Telephone _____

City State Zip _____

A COMMODITY BROKER-DEALER OR COMMODITY INVESTMENT ADVISOR SHALL, NOT LATER THAN 30 DAYS AFTER OCCURRENCE, COMPLETE THIS STATEMENT TO REPORT:

1. CHANGE OF COMMODITY SALESPERSONS:

A. New commodity salespersons employed. A Commodity Salesperson Statement (CM-2) or Supplemental Commodity Salesperson Statement (CM-4) for each new employee must accompany this form.

| Date | Name | Address |
|-------|-------|---------|
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |

B. Commodity Salespersons terminated:

| Date | Name | Address | Reason for Termination |
|-------|-------|---------|------------------------|
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |

2. CHANGE IN FIRM NAME, ADDRESS, OR N.Y.S. BRANCH OFFICE.

Date _____ From: _____

To: _____

3. Each occasion when registrant or any of its officers, directors, principals, partners, managers, supervisors, salespersons, 10% or more equity holders or any entity in which said individual is a principal is 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; has a license or registration as a securities or commodity dealer, broker, investment advisor, salesperson, futures commission merchant, associated person, commodity pool operator or commodity trading advisor denied, suspended, revoked, cancelled or refused; is enjoined or restrained by any court or government agency from: the issuance, sale or offer for sale of securities or commodities, rendering securities or commodities

advice or counsel, handling or managing trading accounts, continuing any practices in connection with securities or commodities; is convicted of any crime; uses or is known by any other name; is the subject or any professional disciplinary proceeding; is adjudged a bankrupt or makes a general assignment for benefit of creditors; is the subject of a receivership or bankruptcy proceeding; is an officer, director, principal, partner, manager, supervisor or any 10% or more equity holder of any entity which is reorganized in bankruptcy, adjudged a bankrupt or makes a general assignment for benefit of creditors; has a judgment entered against them or it which is presently unsatisfied (not including judgments involving domestic relations); is 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? Supply full details and documentation about the occurrence of any of the above.

4. **TERMINATION OR WITHDRAWAL OF REGISTRATION** as of _____ date.

Reason: _____

5. **CHANGES IN OR TERMINATION OF OFFICERS, DIRECTORS, PRINCIPALS, PARTNERS, SUPERVISORS, MANAGERS OR ANY 10% OR MORE EQUITY HOLDER.**

Use attachments if necessary.

Name: _____

Date of Change: _____

Nature of Change: _____

Reason for Change: _____

6. **FOR EACH NEW OFFICER, DIRECTOR, PRINCIPAL, PARTNER, SUPERVISOR, MANAGER OR ANY 10% OR MORE EQUITY HOLDER ATTACH A COPY OF FORM CI-1.**

7. **Has new officer, director, principal, partner, supervisor, manager. 10% or more equity holder of the registrant 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 pool operator or commodity trading advisor denied, suspended, revoked, cancelled or refused?** Yes [] No []

C. **been enjoined or restrained by an 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 []

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 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 bankrupt or made a general assignment for benefit of creditors?..... Yes [] No []
- I. ever had a judgment entered against them or it which is presently unsatisfied? (Not including judgments 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 is "YES", attach statement of full particulars.

A \$10.00 fee must accompany this statement. Personal checks not accepted. Attorney's check, bank check, certified check, money order only payable to the N.Y.S. Office of the Attorney General. Attach additional sheets where space provided is inadequate. You may submit a photocopy of this form. It will be returned with your fee receipt for your records.

Send remittance to: Investor Protection Bureau, NYS Office of the Attorney General, 28 Liberty Street, 15th Floor, New York, NY 10005.

DATED: _____ Signature: _____

STATE OF)
: S.:
COUNTY OF)

_____, 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)

V.N.