



STATE OF NEW YORK

DEPARTMENT OF LAW

REAL ESTATE FINANCE BUREAU

M E M O R A N D U M

**Re: Passport Numbers or ITIN in Lieu of
Social Security Numbers for Foreign
Principals**

Date: January 22, 2014

The Department of Law (DOL) has seen an increase in the number of Broker-Dealer registrations involving foreign principals. In many cases, the principals do not have social security numbers to provide on the M-10 Broker-Dealer Registration Statement (M-10) or M-3 Supplemental Broker-Dealer Statement (M-3).

In order to permit such principals to register, the DOL will accept either an Individual Taxpayer Identification Number (ITIN) or a passport number from the country of origin of the principal. If the principal uses a passport number, a photocopy of the passport must be included with the M-10 or M-3.

Revised M-10 and M-3 forms are now available on the DOL website at:
<http://www.ag.ny.gov/real-estate-finance-bureau/forms>