



STATE OF NEW YORK DEPARTMENT OF LAW  
 INVESTMENT PROTECTION BUREAU  
 (REAL ESTATE FINANCE SECTION)  
 120 Broadway, 23<sup>rd</sup> Floor  
 New York, NY 10271-0332  
 1-800-771-7755 TTD (for hearing impaired) 1-800-788-9898  
 www.ag.ny.gov

**NY FORM M-2**

\*NYS File Number \_\_\_\_\_

**SALESPERSON STATEMENT**

If used to report new employment, a Supplemental Broker-Dealer Statement, N.Y. Form M-3, must accompany this Form M-2, unless employed by a licensed broker. In such case, give broker's license number and expiration date in space provided below.

1. \_\_\_\_\_  
 Last Name First Name Middle Name

2. \_\_\_\_\_  
 Residence Street City State Zip

3. \_\_\_\_\_ 4. \_\_\_\_\_  
 Social Security No. Date of Birth

5. \_\_\_\_\_  
 Place of Birth

6. \_\_\_\_\_ 7. \_\_\_\_\_ 8. \_\_\_\_\_ 9. \_\_\_\_\_  
 Hair Color Eye Color Weight Height

Attach 2 x 2 photo taken within the preceding six months

10. Have you used or been known by any other name?..... Yes [ ] No [ ]  
 If "Yes", give other name(s).....
11. Have you ever been convicted of any criminal offense involving securities or commodities, or of any felony whatsoever?..... Yes [ ] No [ ]
12. Have you ever been enjoined or restrained by any court or governmental agency from:
- a. the sale or offer for sale of securities or commodities?..... Yes [ ] No [ ]
  - b. continuing any practices in connection therewith?..... Yes [ ] No [ ]
  - c. rendering securities or commodities advice?..... Yes [ ] No [ ]
  - d. handling or managing trading accounts?..... Yes [ ] No [ ]
13. Has any license or registration to act as an investment adviser or to sell securities or commodities as a dealer, broker, salesperson, futures commission merchant, associated person, commodity pool operator, or commodity trading advisor, ever been revoked, canceled or refused?..... Yes [ ] No [ ]
14. Have you ever been suspended or expelled from any stock or commodities exchanges, or association of securities' dealers, brokers, salespersons, investment advisers, or counsel?..... Yes [ ] No [ ]

If the answer to 11, 12, 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.

Fee for Salesperson Statement..... \$150.00  Payment by Attorney's check, company check, certified check, bank check or money order. Personal checks not accepted.	Make check payable to the <b>NYS Department of Law.</b>  Send remittance to: Investment Protection Bureau NYS Department of Law Real Estate Finance Section 120 Broadway, 23 <sup>rd</sup> Floor New York, New York 10271
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\*NYS File Number found on fee receipt for original filing.

15. Name and address of the employer (Broker-Dealer): \_\_\_\_\_

Street \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

License No.: \_\_\_\_\_ Expiration Date: \_\_\_\_\_

16. Do you serve as an investment adviser?..... Yes [ ] No [ ]

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

\_\_\_\_\_  
\_\_\_\_\_

17. Complete employment record for the past five years, including periods of self-employment and unemployment beginning with the most recent.

<u>Employer</u>	<u>Dates (Mo. &amp; Yr.)</u>	<u>Position Held</u>

18. Complete educational history:

<u>Name of School and Location</u>	<u>Dates (Mo. &amp; Yr.)</u>	<u>Did You Graduate?</u>
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 the New York Stock Exchange, American Stock Exchange or NASD.

I hereby represent that I am the person who executed the foregoing 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 condominiums, shares of cooperative apartment corporations or commercial cooperative corporations, interests in homeowners associations or interests in timeshare projects; and that I will not act as a securities salesperson with respect to any securities other than those described above, 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. (NASAA) by any national securities association or national securities exchange and have provided proof of successful completion of such examination requirement to the Attorney General.

Date: \_\_\_\_\_ Signature \_\_\_\_\_