

This form is not to be used by salespersons of NASD member firms.

**STATE OF NEW YORK DEPARTMENT OF LAW
REAL ESTATE FINANCE BUREAU
SUPPLEMENTAL SALESPERSON STATEMENT**

The Supplemental Broker-Dealer Statement must accompany this report of new employment unless **employed by a licensed broker, in which case give broker's license number and expiration date in space provided below.**

Last Name First Name Middle Name Social Security No.

Residence Street Address City State Zip

A Securities Salesperson shall, not later than 30 days after occurrence, complete this statement to report:

1. CHANGE OR TERMINATION OF EMPLOYMENT. If dual registration, so indicate.

 Date Reason for
 Terminated: Termination: _____

Name (Former Employer) _____

Address _____

New Employer _____ Date Commenced _____

Address _____

License.No. _____ Expiration Date _____

2. CHANGE IN NAME OR ADDRESS. Date of change: _____

From: _____ To: _____

3. Each occasion when a priorsalesperson is convicted of any criminal offense involving securities or commodities or of any felony whatsoever, or is restricted by any court or governmental agency from engaging in any practice involving securities or commodities. Specify the nature of the offense, dates, circumstances and final disposition.

4. [] CANCEL MY SALESPERSON REGISTRATION.

NOTE: No fee is required to cancel registration. However, re-employment as a salesperson of securities after cancellation will require a new registration and payment of the \$100 filing fee.

I hereby represent that I am the person who executed the foregoing Supplemental 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.

Date: _____

Signature

A \$30.00 fee must accompany this statement. Personal checks are not accepted. Company checks or money orders only are acceptable and are to be made payable to the NYS Department of Law. Remit to: NYS Department of Law, Real Estate Finance Bureau, 28 Liberty Street, 15th Floor, New York, NY 10005.