



STATE OF NEW YORK DEPARTMENT OF LAW  
INVESTOR PROTECTION BUREAU  
(REAL ESTATE FINANCE SECTION)  
28 Liberty Street, 15<sup>th</sup> Floor  
New York, NY 10005  
1-800-771-7755  
Submit by mail or to IPBBD@ag.ny.gov

**NY FORM CM-2**

**NYS File Number** \_\_\_\_\_ (found on fee receipt for original filing)

## 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.

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

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

3. \_\_\_\_\_ 4. \_\_\_\_\_  
Phone Number. Email Address

5. \_\_\_\_\_ 6. \_\_\_\_\_  
Social Security No. Date of Birth

7. \_\_\_\_\_  
Place of Birth

8. \_\_\_\_\_ 9. \_\_\_\_\_ 10. \_\_\_\_\_ 11. \_\_\_\_\_  
Hair Color Eye Color Weight Height

Attach 2 x 2 photo taken within  
the preceding six months

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.



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: \_\_\_\_\_