



5. CHANGES IN OFFICERS, DIRECTORS OR OTHER PRINCIPALS. The information set forth below should be provided for each new officer, director, principal or partner. In the case of a corporate partner, information must be provided for all officers of corporate general partner. If additional space is needed, attach additional pages. Terminating officers should complete Name, Date of Change, Social Security Number and Nature of Change items only. *Social security numbers and residential information are strictly confidential.*

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Prior home addresses for the past 5 years: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Telephone: \_\_\_\_\_ Social Security #: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Place of Birth: \_\_\_\_\_

Date of Change: \_\_\_\_\_ Nature of Change: \_\_\_\_\_

6. Has the applicant, any officer, director, principal, partner, manager, supervisor, 10% or more equity holder of such applicant, or any entity under any such entity or person's direct or indirect control, 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\_\_\_
7. Are there any outstanding judgments (not including judgments of domestic relations) against the issuer or any officer, director, principal or partner thereof? Yes \_\_\_No\_\_\_
8. Has any other information listed on your most recently filed form CBD or CADV changed? Yes \_\_\_No\_\_\_

**If the answer to any of the above (questions 6, 7 or 8) is "Yes", attach statement of full particulars.**

I hereby affirm and represent that all statements contained herein are true, I understand that any false statements shall constitute a violation of Article 23-A of the General Business Law.

Date: \_\_\_\_\_ Signature: \_\_\_\_\_  
Individual proprietor, partner, or principal officer of corporation, trust or association.

