NEW YORK STATE DEPARTMENT OF LAW INVESTOR PROTECTION BUREAU 28 Liberty Street, 15th Floor New York, NY 10005 1-800-771-7755 www.ag.ny.gov

NYS File Number/CRD Number____________(NYS File Number found on fee receipt for original filing)

SUPPLEMENT TO N.Y. FORMS CBD and CADV (Section 359-e (14) General Business Law) ALL CHANGES OCCURRING WITHIN 30 DAYS CAN BE FILED ON ONE CM-3 FORM (WITH ATTACHMENTS IF NEEDED) FOR \$10 FEE.

Typ	pe of Supplement	CBD	CADV	
Cor	mmodity Broker-Dealer or			
Cor	nmodity Investment Advisor Firm 1	Name		
	-			
		City	State	Zip Code
Tel	ephone No.		Email	
1.	CHANGE OF COMMOD	ITY SALESPERSON.		
	Name	Address	lemental Salesperson Stmt.(CM-4) a	as appropriate for each new employee. Date of Hire
	B. SALESPERSON(S) TI Name	SSN#		Date and Reason for Termination
2.	From:		BRANCH OFFICE ADDRESS	<u>.</u>
 3. 4. 	Attach a copy of the ju TERMINATION OR WIT	idgment, order, etc. HDRAWAL OF DEALERS	directors, principals or salespersons y services or of any felony, or is rest ies investment advisory services or c HIP AS OF	
	Please indicate where the fee rec [] Attorney [] Firm Attorney <u>or</u> Firm Name Street A	eipt should besent:	Fee for Supplement to CBD of Make check payable to the N	or CADV Statement\$ 10.00 YS Department of Law. , company check, certified check, bank



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						
comm	nodities dealers or investment advisers or commodities trading advisors?	Yes	No				
В.	B. had a license or registration as a securities or commodity dealer, broker, investment advisor, salesperson, futures commissio						
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 con-	mmitted a	violation				
of an	y 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				
Н	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						
relati	ons.)	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 <u>___No___</u>

	L.	Used any virtual currency trading platform, broker, investment adviser, or other service that is not registered or licensed to		
	condu	ct 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
	0.	Failed to report suspected illegal activity engaged in by the applicant firm (or any associated person or entit	ity), the c	conduction
	of whi	ich is related, in any way, to the exchange of virtual currency?	Yes	No
	Are there any outstanding judgments (not including judgments of domestic relations) against the issuer or any of principal or partner thereof ?			
	Has a	any other information listed on your most recently filed form CBD or CADV changed?	Yes	_No
the a	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: _____

7.

8.

If

Individual proprietor, partner, or principal officer of corporation, trust or association.

IPB CM-3 - (rev. 2/21) Page 3 of 3