



STATE OF NEW YORK DEPARTMENT OF LAW
REAL ESTATE FINANCE BUREAU
28 Liberty Street
New York, NY 10005
212-416-8122
1-800-788-9898 TDD (for hearing impaired)

NY FORM M-10

SPONSORS AND SELLING AGENTS BROKER DEALER STATEMENT

All brokers and dealers whose principal business is in the offering, sale or promotion of condominiums, shares of cooperative apartment corporations or commercial cooperative corporations, interests in homeowners associations, timeshare projects, senior residences or any other participation interests in real estate, shall submit Form M-10.

Out-of-state or foreign organizations must attach a certified copy of a Designation for the Service of Process from the Secretary of State. Attach additional sheets if space provided is inadequate. For assistance in completing this form, call the Real Estate Finance Bureau: (212) 416-8903.

Name of Registrant: _____ Telephone No.: _____

Address: _____
Street City State Zip

Other offices, if any _____

1. Registrant is a [] corporation [] general partnership [] limited partnership
[] sole proprietor [] limited liability company
[] other: specify _____

Organized under the laws of _____

2. Registrant is a [] sponsor.
[] selling agent. If a licensed real estate broker, give state license number and expiration date

[] holder of unsold shares of a cooperative corporation.
[] purchaser for investment or resale of unsold shares of a cooperative corporation.
[] seller of interests in a homeowners association.
[] other: specify _____

3. If registrant is a new or substitute sponsor, broker or dealer, has this information been disclosed in an offering plan or amendment? Yes [] No []

<p>Filing fee \$300 (valid for 4 years)</p> <p>Additional fee for each partner, proprietor, principal, member, officer, director, or manager.....\$ 15.00 each</p> <p>Filing fee must accompany this statement. Payment by Attorney's check, company check, certified check, bank check or money order. Personal checks not accepted.</p>	<p>Make check payable to the NYS Department of Law.</p> <p>Send remittance to: Real Estate Finance Bureau NYS Department of Law 28 Liberty Street, 15th Floor New York, NY 10005</p>
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4. Name of cooperative, condominium, homeowners association, senior residence or timeshare which gave rise to this filing.

Address of same _____

5. The offering or selling will take place in:

- New York State only.
- New York and other states: specify _____

6. The offering will be made by:

- officers, directors, members, managers, and employees of registrant.
- selling agent. If so, give name(s) and address(es): _____

7. Has registrant, any officer, director, member, principal, partner, or manager ever:

- A. been suspended or expelled from membership in any securities exchange, association of securities dealers or investment advisers or counsel? Yes No
- B. had a license or registration as a dealer, broker, investment adviser or salesperson denied, suspended or revoked? Yes No
- C. been enjoined or restrained by any court or agency including the NYS Department of Law from:
 - 1. the issuance, sale or offer for sale of securities? Yes No
 - 2. rendering securities advice or counsel? Yes No
 - 3. handling or managing trading accounts? Yes No
 - 4. continuing any practices in connection with securities? Yes No
- D. Entered into an Assurance of Discontinuance with the NYS Department of Law whereby that person agreed not to issue, sell or offer for sale securities, or act as a broker or dealer, directly or indirectly of Yes No
- E. been convicted of any crime? Yes No
- F. used or been known by any other name? If "Yes," give other name(s)..... Yes No
- G. been the subject of any professional disciplinary proceeding? Yes No
- H. Filed for bankruptcy been adjudged a bankrupt or made a general assignment for the benefit of creditors or been an officer, director, member, principal, manager or any entity which was reorganized in bankruptcy, adjudged a bankrupt or made a general assignment for the benefit of creditors? Yes No
- I. had an offering or selling of securities within the last three years or been an officer, director, principal, member, partner or manager of any entity which had sold or offered securities within the last three years? Yes No

If any answer to any of the above (Question 7) is "Yes," attach statement of full particulars, giving date, nature of offense, title and location of agency or court involved, circumstances and final disposition.

8. List names and residence addresses of all securities salespersons (if none, so indicate).

9. Provide the following information for each proprietor, officer, director, member, principal, partner or manager. Attach continuation sheets if more space is needed. **All fields must be completed, or form will be deemed incomplete.**

A. Name: _____ Title: _____
 Home Address: _____ Phone: _____
 Place of Birth: _____ Date of Birth: _____
 Social Security No.: _____
For foreign applicants without a social security number, provide one of the following:
 Individual Taxpayer Identification Number: _____
 Passport Number: _____ (Annex photocopy hereto)
 Other home addresses for past ten years:

Complete employment and and business affiliation record for the past five years. Include periods of self-employment and unemployment. Include all corporations, partnerships, limited liability companies or other entities where person holds or held a substantial equity or controlling interest.

From Mo. Yr.	To Mo. Yr.	Employer or Business Affiliation Name Address	Position Held

B. Name: _____ Title: _____
 Home Address: _____ Phone: _____
 Place of Birth: _____ Date of Birth: _____
 Social Security No.: _____
For foreign applicants without a social security number, provide one of the following:
 Individual Taxpayer Identification Number: _____
 Passport Number: _____ (Annex photocopy hereto)
 Other home addresses for past ten years:

Complete employment and and business affiliation record for the past five years. Include periods of self-employment and unemployment. Include all corporations, partnerships, limited liability companies or other entities where person holds or held a substantial equity or controlling interest.

From Mo. Yr.	To Mo. Yr.	Employer or Business Affiliation Name Address	Position Held

10. The undersigned constitute all proprietors, officers, directors, members, principals, partners or managers of the registrant. Each hereby represents that all statements contained herein are true and correct and understands that any false statement shall constitute a violation of Article 23-A of the General Business Law.

Signatures must be dated, or form will be deemed incomplete.

<u>Signature</u>	<u>Name and Title (Please type or print)</u>	<u>Date</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
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