

NEW YORK STATE
DEPARTMENT OF LAW
INVESTOR PROTECTION BUREAU
120 Broadway, 23rd Floor
New York, NY 10271-0332
1-800-771-7755 TDD (for hearing impaired) 1-800-788-9898
www.ag.ny.gov

NY FORM RI-1

REGISTRANT INFORMATION FORM

Have you or has any business entity under your (10% or more) or in which you held a substantia which you were an officer, director, general part (a) ever been convicted of any crime (other)	Date of Birth name? control or in which you wer all equity or controlling interests.	e a principal shareholder	State ne Yes [ip Code	
Name of Issuer: Have you ever used or been known by any other If "Yes", please specify Have you or has any business entity under your (10% or more) or in which you held a substantia which you were an officer, director, general part (a) ever been convicted of any crime (other	Date of Birth name? control or in which you wer all equity or controlling interests.	Business Pho e a principal shareholder]	No [
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If "Yes", please specify Have you or has any business entity under your (10% or more) or in which you held a substantia which you were an officer, director, general part (a) ever been convicted of any crime (other	control or in which you wer	e a principal shareholder	Yes []	No []
(10% or more) or in which you held a substantial which you were an officer, director, general part (a) ever been convicted of any crime (other)	al equity or controlling interest					
	mer, trustee or principal.	est (10% or more) or of				
charge presently pending:	er than minor traffic violation	ons) or is any such	Yes []	No [
discontinuance, suspension or restrain a trade, occupation or profession, den any stipulation or consent to desist fro	ing order, revocation of a li ial of an application to obta om any act or practice, any o	cense to practice in or renew same, lisciplinary action	Yes [1	No [1
			Yes []	No [
(d) ever had a judgment entered against ye	ou or have a judgement whi	ch is presently unsatisfied?	Yes []	No [
10% or more) or in which you held a substantial of which you were an officer, director, general part administrative proceeding in which it is allege	I equity or controlling intereartner, trustee or principal, and that you or it committed f	est (10% or more) or a party in any litigation	Yes []	No []
proceeding, title and location of public authority	y, circumstances and final di	sposition. If there				
List all professional, business or occupational l	licenses or registrations whi	ch you now hold, have held, or	have applied	for:		
()	discontinuance, suspension or restrain a trade, occupation or profession, den any stipulation or consent to desist from by any court or administrative agency relief presently pending? (c) ever made an assignment for the beneficial proceeding, reorganize (d) ever had a judgment entered against you will approve or in which you held a substantial of which you were an officer, director, general proceeding in which it is alleged violated any provision of the Martin Act or any of the answer to 7(a) through (d), or 8 is "Yes" seproceeding, title and location of public authority is insufficient space below, complete response in	discontinuance, suspension or restraining order, revocation of a lia a trade, occupation or profession, denial of an application to obta any stipulation or consent to desist from any act or practice, any oby any court or administrative agency, or is any action or proceed relief presently pending? (c) ever made an assignment for the benefit of creditors, been the sub or bankruptcy proceeding, reorganized in bankruptcy, or been adj (d) ever had a judgment entered against you or have a judgment whi Are you or is any business entity under your control or in which you were a (10% or more) or in which you held a substantial equity or controlling intereof which you were an officer, director, general partner, trustee or principal, a for administrative proceeding in which it is alleged that you or it committed for violated any provision of the Martin Act or any other securities law? If the answer to 7(a) through (d), or 8 is "Yes" state full particulars, including proceeding, title and location of public authority, circumstances and final dies insufficient space below, complete response in an attached, sworn statements.	(c) ever made an assignment for the benefit of creditors, been the subject of a receivership or bankruptcy proceeding, reorganized in bankruptcy, or been adjudged a bankrupt? (d) ever had a judgment entered against you or have a judgement which is presently unsatisfied? Are you or is any business entity under your control or in which you were a principal shareholder (10% or more) or in which you held a substantial equity or controlling interest (10% or more) or of which you were an officer, director, general partner, trustee or principal, a party in any litigation or administrative proceeding in which it is alleged that you or it committed fraud or otherwise violated any provision of the Martin Act or any other securities law? If the answer to 7(a) through (d), or 8 is "Yes" state full particulars, including dates, nature of proceeding, title and location of public authority, circumstances and final disposition. If there is insufficient space below, complete response in an attached, sworn statement.	discontinuance, suspension or restraining order, revocation of a license to practice a trade, occupation or profession, denial of an application to obtain or renew same, any stipulation or consent to desist from any act or practice, any disciplinary action by any court or administrative agency, or is any action or proceeding seeking such relief presently pending? (c) ever made an assignment for the benefit of creditors, been the subject of a receivership or bankruptcy proceeding, reorganized in bankruptcy, or been adjudged a bankrupt? Yes [(d) ever had a judgment entered against you or have a judgement which is presently unsatisfied? 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From	То	Name and Address of Employer	Type of Business	Position Held
Mo. Yr.	<u>Mo. Yr.</u>			
The following	ng is a complete record	of my business affiliations for the pas a principal shareholder (10% or more	et five years, including all ent	ities not listed in 11 above,
		I was an officer, director, general par		
From	То	Name and Address of Entity	Type of Business	Position Held
<u>Mo.</u> <u>Yr.</u>	Mo. Yr.	01 <u>— </u>		
<u>1110.</u> <u>111.</u>	111.			
te:	Signature:			
	Signature			
TATE OF	; SS.:			
OUNTY OF)			
and the above	raciatrant information	, being duly sworn, do form. I have read the questions and a	eposes and says that I am the	person described in and wh
d complete.	registrant information	form. Thave read the questions and a	nswers and information supp	ned, and they are true, accu
			(Signa	ture of Affiant)
vorn to before	me this		(3-8	
day of _	, 20	·		
otary signature	e and legible official st	amp)		
			President	or General Partne