STATE OF NEW YORK
OFFICE OF THE STATE COMPTROLLER

COLLATERAL LOAN BROKER'S REGISTRATION STATEMENT

Date: __________________________ Fee: $5.00

Make Check Payable to
“Comptroller, State of New York”

Article 5, Section 53 of the General Business Law provides - After September First, Nineteen Hundred Sixty, no person, corporation, firm or association shall carry on the business of a collateral loan broker within the State of New York unless and until such collateral loan broker shall have caused to be filed in the Office of the State Comptroller upon forms prescribed by him/her, a statement duly verified as hereinafter provided to be known as “Collateral Loan Broker’s Registration Statement”.

1. (Print Full Name) __________________________ (Trade Name) __________________________

2. (Street Address of Principal Office) __________________________ (P.O. Address) __________________________

3. __________________________ (Address of Licensed Premises)

4. __________________________ (Business Phone Number)

5. __________________________ (Name and Location of Licensing Body)

6. Date collateral loan broker’s license was issued __________________________

7. Collateral loan broker’s license no. __________________________

8. State whether any other business will be carried on in said premises:
   Yes ☐ No ☐

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Collateral Loan Broker’s Registration Statement  August 2015
9. If “yes”, give details ____________________________________________________________


10. Check type of organization:

   Individual □    Partnership □    Corporation □

11. If individual: Answer Number 14.

12. If partnership: Answer Number 14.

13. If corporation: Answer Number 15.

14. The following is to be filled in **only by Individual or Partnership Registrant**:

a) The names and addresses of all Individuals or Partners:

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<th>Name</th>
<th>Title</th>
<th>Residence</th>
<th>Business Address</th>
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The undersigned, each for him/herself, certifies that s/he is the Registrant above named; that s/he knows the contents of the above registration and the statements contained therein and the same are true of his/her own knowledge; that the Registrant will comply with the Rules and Regulations of the State Comptroller pertaining to collateral loan brokers that are now in force or that may in the future be promulgated.

__________________________________________  ______________________________
(Date)                                      (Signature of Individual or Each Partner)
15. The following questions are to be answered **only by a Corporation Registrant**:

   a. Name of Corporation ________________________________

   b. Was Corporation organized in New York State? Yes ☐ No ☐
      (a) If yes, date Incorporated _______________
      (b) If no, State in which incorporated _______________, and was a Certificate of Authority to do business in New York State obtained?
         Yes ☐ No ☐
      (c) If yes, date of Certificate _______________

   c. State principal place of business ____________________________
      (Address, City and State)

   d. The names and addresses of all officers of Corporation:

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   **THIS CERTIFICATE TO BE SIGNED AND DATED BY A CORPORATION**

   ____________________________ certifies that s/he is the ___________ of the above named Corporation; that s/he knows the contents of the above registration and the statements and answers therein; that the same are true of his/her own knowledge; that s/he has been authorized, by order of the Board of Directors of said Corporation to make the statements and answers as contained in this registration; that the registrant will comply with the Rules and Regulations of the State Comptroller pertaining to collateral loan brokers that are now in force or that may in the future be promulgated.

   ____________________________ (Date) ____________________________ (Signature of Authorized Officer)

   Send the completed registration statement and check to:

   Director of Financial Administration
   Registration for Collateral Loan Broker
   Office of the State Comptroller
   110 State Street, 13th Floor
   Albany, NY 12236