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**Filing Information**

Schedule A must be completed as part of all initial applications.  
Amendments to Schedule A must be provided on Schedule B.  
Schedule C must be completed by *nonresident funding portals*.  
If this is a withdrawal of a *funding portal's* registration, complete Schedule D.

**Item 1 – Identifying Information**

Exact name, principal business address, mailing address, if different, and contact information of the *funding portal*.

A. Full name of the *funding portal*: CFS, LLC  
B. Name(s) under which business is conducted, if different from Item 1.A.: \_\_\_\_\_  
Website URL (s) under which business is conducted, if different from Item 1.A.: CrowdFundingSTAR.com  
C. IRS Empl. Ident. No.: \_\_\_\_\_  
D. If a name and/or website URL in (1A) or (1B) has changed since the *funding portal's* most recent Form Funding Portal, enter the previous name and/or website URL and specify whether the name change is of the:  *funding portal* name (1A)  business name/website (1B)  
E. *Funding portal's* main street address (Do not use a P.O. Box):  
Address 1: 590 GROVE STREET #1672  
Address 2:  
City: HERNDON

State/Country: VIRGINIA  
Mailing Zip/Postal Code: 20170

**F. Mailing Address (es) (if different) and office locations (if more than one):**

**Mailing Address**

Check here if mailing address is the same as the main address entered in Item 1.E.

Address 1: 590 GROVE STREET #1672

Address 2:

City: HERNDON

State/Country: VIRGINIA

Mailing Zip/Postal Code: 20170

**Other Office Locations**

**G. Contact Information:**

Telephone Number: 571-510-0484

E-mail Address: CFS.LLC.2016@gmail.com

**H. Contact employee information:**

Prefix

First Name: Gang

Middle Name: NMN

Last Name: Shao

Suffix:

Title: Managing Director

Direct Telephone Number:

Direct E-Mail Address:

I. Month *applicant's* fiscal year ends: December

**J. Registrations**

Was the *applicant* previously registered on Form Funding Portal as a *funding portal* or with the Commission in any other capacity?  Yes  No

**K. Foreign registrations:**

(1) Is the *applicant* registrant with a *foreign financial regulatory authority*? Answer "no" even if affiliated with  Yes  No

a business that is registered with a *foreign financial regulatory authority*

If "yes", complete Section K.2 below.

(2) List the name, in English, of each *foreign financial regulatory authority* and country with which the *applicant* is registered. A separate entry must be completed for each *foreign financial regulatory authority* with which the *applicant* is registered.

#### Item 2 – Form of Organization

A. Indicate legal status of *applicant*.

- Corporation
- Sole Proprietorship
- Partnership
- Limited Liability Company
- Other (Please specify)

B. If other than a sole proprietor, indicate date and place applicant obtained its legal status (i.e., state or country where incorporated, where partnership agreement was filed, or where applicant entity was formed):

State/Country of formation:

VIRGINIA

Date of formation:

01-06-2014

#### Item 3 – Successions

A. Is the *applicant* at the time of this filing succeeding to the business of a currently registered *funding portal*? Do not report previous successions already reported on Form Funding Portal. If "yes," complete Section 3.B. below.

- Yes
- No

#### Item 4 – Control Relationships

In this Item, identify every *person* that, directly or indirectly, *controls* the *applicant*, *controls* management or policies of the *applicant*, or that the applicant directly or indirectly *controls*.

Gang Shao

In this Item, identify every *person* that, directly or indirectly, *controls* the *applicant*, *controls*

Zhengming Zhang

management or policies of the *applicant*, or that the applicant directly or indirectly *controls*.

If this is an initial application, the *applicant* also must complete Schedule A. Schedule A asks for information about direct owners and executive officers. If this is an amendment updating information reported on the Schedule A filed with the *applicant's* initial application, the *applicant* must complete Schedule B.

#### **Item 5 – Disclosure Information**

In this Item, provide information about the *applicant's* disciplinary history and the disciplinary history of all *associated persons or control affiliates* of the *applicant* (as applicable). This information is used to decide whether to revoke registration, to place limitations on the *applicant's* activities as a *funding portal*, and to identify potential problem areas on which to focus during examinations. One event may result in the requirement to answer "yes" to more than one of the questions below. Check all answers that apply. Refer to the Explanation of Terms section of Form Funding Portal Instructions for explanation of italicized terms.

If the answer is "yes" to any question in this Item, the applicant must complete the appropriate Disclosure Reporting Page ("DRP") (FP) – Criminal, Regulatory Action, Civil Judicial Action, Bankruptcy/SIPC, Bond, or Judgment/Lien, as applicable.

#### **Criminal Disclosure**

**If the answer is "yes" to any question below, complete a Criminal DRP.**

**A.** In the past ten years, has the *applicant* or any *associated person*:

(1) been convicted of any *felony*, or pled guilty or nolo contendere ("no contest") to any charge of a *felony*, in a domestic, foreign, or military court?  Yes  No

**The response to the following question may be limited to charges that are currently pending:**

(2) been charged with any *felony*?  Yes  No

**B.** In the past ten years, has the *applicant* or any *associated person*:

(1) been convicted of any *misdemeanor*, or pled guilty or nolo contendere ("no contest"), in a domestic, foreign, or military court to any charge of a *misdemeanor* in a case involving: investment-related business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?  Yes  No

**The response to the following question may be limited to charges that are currently pending:**

(2) been charged with a *misdemeanor* listed in Item 5-B(1)?  Yes  No

#### **Regulatory Action Disclosure**

**If the answer is "yes" to any question below, complete a Regulatory Action DRP.**

**C.** Has the SEC or the Commodities Futures Trading Commission ("CFTC") ever:

(1) found the *applicant* or any *associated person* to have made a false statement or omission?  Yes  No

(2) found the *applicant* or any *associated person* to have been involved in a violation of any SEC or CFTC regulations or statutes?  Yes  No

(3) found the *applicant* or any *associated person* to have been a cause of the denial, suspension, revocation, or restriction of the authorization of an *investment-related* business to operate?  Yes  No

(4) entered an *order* against the applicant or any *associated person* in connection with *investment-related* activity?  Yes  No

- (5) imposed a civil money penalty on the *applicant* or any *associated person*, or ordered the *applicant* or any *associated person* to cease and desist from any activity?  Yes  No
- D.** Has any other federal regulatory agency, any state regulatory agency, or any *foreign financial regulatory authority*:
- (1) ever *found* the *applicant* or any *associated person* to have made a false statement or omission, or been dishonest, unfair, or unethical?  Yes  No
- (2) ever *found* the *applicant* or any *associated person* to have been involved in a violation of *investment-related* regulations or statutes?  Yes  No
- (3) ever *found* the *applicant* or any *associated person* to have been the cause of a denial, suspension, revocation, or restriction of the authorization of an *investment-related* business to operate?  Yes  No
- (4) in the past ten years entered an order against the *applicant* or any *associated person* in connection with an *investment-related* activity?  Yes  No
- (5) ever denied, suspended, or revoked the registration or license of the *applicant* or that of any *associated person*, or otherwise prevented the *applicant* or any *associated person* of the *applicant*, by *order*, from associating with an *investment-related* business or restricted the activities of the *applicant* or any *associated person*?  Yes  No
- E.** Has any *self-regulatory organization* or commodities exchange ever:
- (1) *found* the *applicant* or any *associated person* to have made a false statement or omission?  Yes  No
- (2) *found* the *applicant* or any *associated person* to have been involved in a violation of its rules (other than a violation designated as a *minor rule violation* under a plan approved by the *SEC*)?  Yes  No
- (3) *found* the *applicant* or any *associated person* to have been the cause of a denial, suspension, revocation or restriction of the authorization of an *investment-related* business to operate?  Yes  No
- (4) disciplined the *applicant* or any *associated person* by expelling or suspending the *applicant* or the *associated person* from membership, barring or suspending the *applicant* or the *associated person* from association with other members, or by otherwise restricting the activities of the *applicant* or the *associated person*?  Yes  No
- F.** Has the *applicant* or any *associated person* ever had an authorization to act as an attorney, accountant, or federal contractor revoked or suspended?  Yes  No
- G.** Is the *applicant* or any *associated person* currently the subject of any regulatory proceeding that could result in a "yes" answer to any part of Item 5-C, 5-D, or 5-E?  Yes  No

**Civil Judicial Disclosure**

If the answer is "yes" to a question below, complete a Civil Judicial Action DRP.

**H.** Has any domestic or foreign court:



funding portal has  
with issuers.

## EXECUTION

The *funding portal* consents that service of any civil action brought by or notice of any proceeding before the Securities and Exchange Commission or any *self-regulatory organization* in connection with the *funding portal's* investment-related business may be given by registered or certified mail to the *funding portal's* contact person at the main address, or mailing address, if different, given in Items 1.E, 1.F. and 1.H.. If the applicant is a *nonresident funding portal*, it must complete Schedule C to designate a U.S. agent for service of process.

The undersigned represents and warrants that he/she has executed this form on behalf of, and is duly authorized to bind, the *funding portal*. The undersigned and the *funding portal* represent that the information and statements contained herein and other information filed herewith, all of which are made a part hereof, are current, true and complete. The undersigned and the *funding portal* further represent that, if this is an amendment, to the extent that any information previously submitted is not amended, such information is currently accurate and complete.

Date: 03-02-2016

Full Legal Name of Funding Portal: CFS, LLC

By: (Signature) Gang Shao

Title: Managing Director

## FORM FUNDING PORTAL SCHEDULE A

### Direct Owners and Executive Officers

1. **Complete Schedule A only if submitting an initial application.** Schedule A asks for information about the applicant's direct owners and executive officers. Use Schedule B to amend this information.

**Guidance:** To determine direct ownership and executive officer status, see instruction 2 below.

2. **Direct Owners and Executive Officers.** List below the names of:
  - a. each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, Chief Compliance Officer, director and any other individuals with similar status or functions;
  - b. **if applicant is organized as a corporation**, each shareholder that is a direct owner of 5% or more of a class of the *applicant's* voting securities, unless *applicant* is a public reporting company (a company subject to Section 13 or 15(d) of the Exchange Act);  
**Direct owners include** any *person* that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of 5% or more of a class of the *applicant's* voting securities. For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.
  - c. **if the applicant is organized as a partnership**, all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or more of the *applicant's* capital.
  - d. **in the case of a trust**, (i) a *person* that directly owns 5% or more of a class of the *applicant's* voting securities, or that has the right to receive upon dissolution, or has contributed, 5% or more of the *applicant's* capital, (ii) the trust and (iii) each trustee; and
  - e. **if the applicant is organized as a limited liability company ("LLC")**, (i) those members that have the right to receive upon dissolution, or have contributed, 5% or more of the applicant's capital, and (ii) if managed by elected managers, all elected managers.
3. **In the DE/FE/NP column** below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "NP" if the owner or executive officer is a natural person.
4. **Complete the Title or Status column** by entering board/management titles; status as partner, trustee, sole proprietor, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
5. **Ownership codes are:**
  - o NA – less than 5%
  - o A – 5% but less than 10%
  - o B – 10% but less than 25%
  - o C – 25% but less than 50%
  - o D – 50% but less than 75%
  - o E – 75% or more
  - o G – Other (general partner, trustee, or elected member)
6. **Control Person:**
  - a. **In the Control Person column**, enter "Yes" if the *person* has *control* as defined in the Glossary of Terms to Form Funding Portal, and enter "No" if the *person* does not have *control*. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are "control persons".
  - b. **In the PR column**, enter "PR" if the owner is a public reporting company under Section 13 or 15(d) of the Exchange Act.

Complete each  
of the following:

FULL LEGAL NAME: Shao, Gang  
(Natural Persons: Last Name, First Name, Middle Name)

Domestic Entity/Foreign Entity (entity organized, incorporated, or domiciled in a foreign country)/Natural Person:

- DE (Domestic Entity)
- FE (Foreign Entity)
- NP (Natural Person)

Title or Status

Date Title or Status Acquired (MM/YYYY)

Ownership Code  NA-less than 5%  A-5% but less than 10%  B-10% but less than 25%  
 C-25% but less than 50%  D-50% but less than 75%  E-75% or more  
 G - Other (general partner, trustee, or elected member)

Control Person  Yes  No

PR  PR

CRD No

Social Security Number

Date of Birth

IRS Tax No.

IRS Employer ID No.

**Complete each of the following:**

FULL LEGAL NAME

(Natural Persons: Last Name, First Name, Middle Name)

Domestic Entity/Foreign Entity (entity organized, incorporated, or domiciled in a foreign country)/Natural Person:

- DE (Domestic Entity)
- FE (Foreign Entity)
- NP (Natural Person)

Title or Status

Date Title or Status Acquired (MM/YYYY)

Ownership Code  NA-less than 5%  A-5% but less than 10%  B-10% but less than 25%  
 C-25% but less than 50%  D-50% but less than 75%  E-75% or more  
 G - Other (general partner, trustee, or elected member)

Control Person  Yes  No

PR  PR

CRD No

Social Security Number

Date of Birth

IRS Tax No.

IRS Employer ID No.

**Complete each of the following:**

FULL LEGAL NAME

(Natural Persons: Last Name, First Name, Middle Name)

Domestic Entity/Foreign Entity (entity organized, incorporated, or domiciled in a foreign country)/Natural Person:

- DE (Domestic Entity)
- FE (Foreign Entity)
- NP (Natural Person)

Title or Status

Stockholder

Date Title or Status Acquired (MM/YYYY)

01/2014

Ownership Code

- NA-less than 5%
- C-25% but less than 50%
- G - Other (general partner, trustee, or elected member)
- A-5% but less than 10%
- D-50% but less than 75%
- B-10% but less than 25%
- E-75% or more

Control Person

- Yes
- No

PR

- PR

CRD No

Social Security Number

Date of Birth

IRS Tax No.

IRS Employer ID No.