

FORM D

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

FORM D

NOTICE OF SALE OF SECURITIES PURSUANT TO
REGULATION D,
SECTION 4(6), AND/OR
UNIFORM LIMITED OFFERING EXEMPTION



02056895

1199919

OMB APPROVAL

OMB NUMBER: 3235-0076
Expires: November 30, 2001
Estimated average burden
hours per response..... 16.00

SEC USE ONLY

Prefix Serial
DATE RECEIVED

Name of Offering (☐ check if this is an amendment and name has changed, and indicate change.)

Membership Interests

Filing Under (Check box(es) that apply): ☐ Rule 504 ☐ Rule 505 ☒ Rule 506 ☐ Section 4(6) ☐ ULOE
Type of Filing: ☒ New Filing ☐ Amendment

A. BASIC IDENTIFICATION DATA

1. Enter the information requested about the issuer

Name of Issuer (☐ check if this is an amendment and name has changed, and indicate change.)

Ridgewood Institutional II-B LLC

Address of Executive Offices (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Telephone Number (Including Area Code)

201-447-9000

Address of Principal Business Operations (if different from Executive Offices) (Number and Street, City, State, Zip Code)

Telephone Number (Including Area Code)

Brief Description of Business: to make venture capital investments

Type of Business Organization

☐ corporation ☐ limited partnership, already formed
☐ business trust ☐ limited partnership, to be formed

■ other (please specify): limited liability company

Month Year

Actual or Estimated Date of Incorporation or Organization 09 02 ■ Actual ☐ Estimated

Jurisdiction of Incorporation or Organization: (Enter two-letter U.S. Postal Service abbreviation for State:

CN for Canada; FN for other foreign jurisdiction) D E

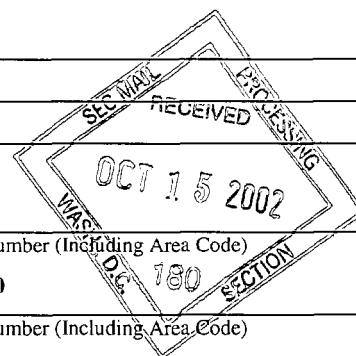
GENERAL INSTRUCTIONS

Federal:

Who Must File: All issuers making an offering of securities in reliance on an exemption under Regulation D or Section 4(6), 17 CFR 230.501 et seq. or 15 USC 77d(6).*When To File:* A notice must be filed no later than 15 days after the first sale of securities in the offering. A notice is deemed filed with the U.S. Securities and Exchange Commission (SEC) on the earlier of the date it is received by the SEC at the address given below or, if received at that address after the date on which it is due, on the date it was mailed by United States registered or certified mail to that address.*When to File:* U.S. Securities and Exchange Commission, 450 Fifth Street, N.W., Washington, D.C. 20549.*Copies Required:* Five (5) copies of this notice must be filed with the SEC, five of which must be manually signed. Any copies not manually signed must be photocopies of the manually signed copy or bear typed or printed signatures.*Information Required:* A new filing must contain all information requested. Amendments need only report the name of the issuer and offering, any changes thereto, the information requested in Part C, and any material changes from the information previously supplied in Parts A and B. Part E and the Appendix need not be filed with the SEC.*Filing Fee:* There is no federal filing fee.*State:* This notice shall be used to indicate reliance on the Uniform Limited Offering Exemption (ULOE) for sales of securities in those states that have adopted ULOE and that have adopted this form. Issuers relying on ULOE must file a separate notice with the Securities Administrator in each state where sales are to be, or have been made. If a state requires a payment of a fee as a precondition to the claim for the exemption, a fee in the proper amount shall accompany this form. This notice shall be filed in the appropriate states in accordance with state law. The Appendix to the notice constitutes a part of this notice and must be completed.

ATTENTION

Failure to file notice in the appropriate states will not result in a loss of the federal exemption. Conversely, failure to file the appropriate federal notice will not result in a loss of an available state exemption unless such exemption is predicated on the filing of a federal notice.



PROCESSED

OCT 24 2002

THOMSON
FINANCIAL

A. BASIC IDENTIFICATION DATA

2. Enter the information requested for the following:

- Each promoter of the issuer, if the issuer has been organized within the past five years;
- Each beneficial owner having the power to vote or dispose, or direct the vote or disposition of, 10% or more of a class of equity securities of the issuer;
- Each executive officer and director of corporate issuers and of corporate general and managing partners of partnership issuers; and
- Each general and managing partner of partnership issuers.

Check Box(es) that Apply: ☒ Promoter ☒ Beneficial Owner ☐ Executive Officer ☐ Director ☒ Managing Member

Full Name (Last name first, if individual)

Ridgewood Capital Management LLC

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Check Box(es) that Apply: ☒ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Swanson, Robert E.

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Gold, Robert L.

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Olin, Mary Louise

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Majek, Warren

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Golden, Leslie

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Sperling, Jorge

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Sherwin, Elton

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

(Use blank sheet, or copy and use additional copies of this sheet, as necessary.)

B. INFORMATION ABOUT OFFERING

1. Has the issuer sold, or does the issuer intend to sell, to non-accredited investors in this offering?..... Yes ☐ No ☒
Answer also in Appendix, Column 2, if filing under ULOE.
2. What is the minimum investment that will be accepted from any individual?..... \$ 75,000
Yes ☐ No ☐
3. Does the offering permit joint ownership of a single unit?..... ☒ Yes ☐ No
4. Enter the information requested for each person who has been or will be paid or given, directly or indirectly, any commission or similar remuneration for solicitation of purchasers in connection with sales of securities in the offering. If a person to be listed is an associated person or agent of a broker or dealer registered with the SEC and/or with a state or states, list the name of the broker or dealer. If more than five (5) persons to be listed are associated persons of such a broker or dealer, you may set forth the information for that broker or dealer only.

Full Name (Last name first, if individual)

Melanson, Ronald

Business or Residence Address (Number and Street, City, State, Zip Code)

1237 Rainbow Dr., Big Fork, MT 59911

Name of Associated Broker or Dealer

Alliance Affiliated Equities Corporation

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☒ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Dyer, David

Business or Residence Address (Number and Street, City, State, Zip Code)

P.O. Box 4025, Kokomo, IN 46904

Name of Associated Broker or Dealer

Alliance Affiliated Equities Corp.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

McCance, William H.

Business or Residence Address (Number and Street, City, State, Zip Code)

264 North Main St., Natick, MA 01760

Name of Associated Broker or Dealer

Advisory Group Equity Services

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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(Use blank sheet, or copy and use additional copies of this sheet, as necessary.)

B. INFORMATION ABOUT OFFERING

Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

One University Office Park, 29 Sawyer Road, Waltham, MA 02154

Name of Associated Broker or Dealer

Commonwealth Financial Network

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Swanson, Robert

Business or Residence Address (Number and Street, City, State, Zip Code)

947 Linwood Avenue, Ridgewood, NJ 07450

Name of Associated Broker or Dealer

Ridgewood Securities Corp.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full name (Last name first, if individual)

Olsson, Stephen C.

Business or Residence Address (Number and Street, City, State, Zip Code)

264 North Main St., Natick, MA 01760

Name of Associated Broker or Dealer

Advisory Group Equity Services

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

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Full Name (Last name first, if individual)

Orr, Brian

Business or Residence Address (Number and Street, City, State, Zip Code)

Two Gateway Center, Pittsburg, PA 15222

Name of Associated Broker or Dealer

Arthurs, Lestrangle & Company Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Van Mourick, Mark

Business or Residence Address (Number and Street, City, State, Zip Code)

30131 Town Center Drive, Laguna Niguel, CA 92677

Name of Associated Broker or Dealer

Gramercy Securities, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

Mediate III, Anthony

Business or Residence Address (Number and Street, City, State, Zip Code)

900 South Ave., Staten Island, NY 10314

Name of Associated Broker or Dealer

Cantone Research Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

Scribner, Rod

Business or Residence Address (Number and Street, City, State, Zip Code)

P.O. Box 1059, Charleston, RI 02813

Name of Associated Broker or Dealer

Gramercy Securities Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

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Full Name (Last name first, if individual)

Donovan, Michael

Business or Residence Address (Number and Street, City, State, Zip Code)

P.O. Box 1359, Syracuse, NY 13201

Name of Associated Broker or Dealer

M. Robert Burton Associates, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

Blitz, Ed

Business or Residence Address (Number and Street, City, State, Zip Code)

3330 Old Glenview Road, Wilmette, IL 60091

Name of Associated Broker or Dealer

Blitz (Edwin C.) Investments

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Guttman, Barney C.

Business or Residence Address (Number and Street, City, State, Zip Code)

1022 Frick Building, Pittsburg, PA 15219

Name of Associated Broker or Dealer

Walnut Street Securities

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

11140 Rockville Pike, Rockville, MD 20852

Name of Associated Broker or Dealer

H. Beck, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☒ All States

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Full Name (Last name first, if individual)

Wedvick, Allen T.

Business or Residence Address (Number and Street, City, State, Zip Code)

1050 Northgate Drive Suite 130, San Rafael, CA 94303

Name of Associated Broker or Dealer

Archer Alexander Securities

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Mediate, Jason

Business or Residence Address (Number and Street, City, State, Zip Code)

900 South Avenue, Staten Island, NY 10314

Name of Associated Broker or Dealer

Cantone Research Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Kittlaus, L. Karl

Business or Residence Address (Number and Street, City, State, Zip Code)

3180 North Lake Shore Drive, Chicago, IL 60657

Name of Associated Broker or Dealer

Pavek Investments Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Finn, George

Business or Residence Address (Number and Street, City, State, Zip Code)

172 Derby St., Hingham, MA 02043

Name of Associated Broker or Dealer

Coastal Equities, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Fuqua, Tom

Business or Residence Address (Number and Street, City, State, Zip Code)

151 Surf Way, Monterey, CA 93940

Name of Associated Broker or Dealer

EDI Financial, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

4261 Park Road, Ann Arbor, MI 48103

Name of Associated Broker or Dealer

Sigma Financial Corporation

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☒ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Borowski, Gregg

Business or Residence Address (Number and Street, City, State, Zip Code)

120 Main Street, Park Ridge, IL 60068

Name of Associated Broker or Dealer

Pavek Investments Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Shafe, Charles

Business or Residence Address (Number and Street, City, State, Zip Code)

531 Versailles Drive, Maitland, FL 32751

Name of Associated Broker or Dealer

TransAm Securities, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☒ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Kohlmeier, Phillip

Business or Residence Address (Number and Street, City, State, Zip Code)

3478 Buskirk Avenue, Pleasant Hill, CA 94523

Name of Associated Broker or Dealer

Walnut Street Securities

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☒ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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(Use blank sheet, or copy and use additional copies of this sheet, as necessary.)

Full Name (Last name first, if individual)

Polakoff, Vic

Business or Residence Address (Number and Street, City, State, Zip Code)

766 Shrewsbury Avenue, Tinton Falls, NJ 07724

Name of Associated Broker or Dealer

Cantone Research, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Davis, Larry

Business or Residence Address (Number and Street, City, State, Zip Code)

11300 Rodney Parham Rd., Little Rock, AR 72212

Name of Associated Broker or Dealer

Calton & Associates, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☒ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Bjork, David

Business or Residence Address (Number and Street, City, State, Zip Code)

3801 Lockport St., Bismarck, ND 58501

Name of Associated Broker or Dealer

American Investment Services, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Cannon, Thomas Q.

Business or Residence Address (Number and Street, City, State, Zip Code)

1965 East 5600 South, Salt Lake City, UT 84121

Name of Associated Broker or Dealer

American Investment Services, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Weigel, Jeremy J.

Business or Residence Address (Number and Street, City, State, Zip Code)

3801 Lockport St., Bismarck, ND 58501

Name of Associated Broker or Dealer

American Investment Services, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

Steerman, Carl

Business or Residence Address (Number and Street, City, State, Zip Code)

838 So. Main St., West Bend, WI 53095

Name of Associated Broker or Dealer

First Midwest Securities Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Field, Robert

Business or Residence Address (Number and Street, City, State, Zip Code)

800 E. NW Highway, Palentine, IL 60067

Name of Associated Broker or Dealer

Lone Grove Trading Co.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Seeherman, Marc

Business or Residence Address (Number and Street, City, State, Zip Code)

32 West 40th Street, New York, NY 10018

Name of Associated Broker or Dealer

Alliance Affiliated Equities Corp.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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(Use blank sheet, or copy and use additional copies of this sheet, as necessary.)

Full Name (Last name first, if individual)
Wlosek, Ken

Business or Residence Address (Number and Street, City, State, Zip Code)
300 "C" Lake St., Ramsey, NJ 07446

Name of Associated Broker or Dealer
Seward Groves Richard & Wells

States in which Person Listed Has Solicited or Intends to Solicit Purchasers
(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☒ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)
Cochran, Robert

Business or Residence Address (Number and Street, City, State, Zip Code)
4063 Birch Street, Newport Beach, CA 92660

Name of Associated Broker or Dealer
Alliance Affiliated Equities Corp.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers
(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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☐ [MT]	☐ [NE]	☒ [NV]	☐ [NH]	☐ [NJ]	☐ [NM]	☐ [NY]	☐ [NC]	☐ [ND]	☐ [OH]	☐ [OK]	☐ [OR]	☐ [PA]
☐ [RI]	☐ [SC]	☐ [SD]	☐ [TN]	☒ [TX]	☐ [UT]	☐ [VT]	☐ [VA]	☐ [WA]	☐ [WV]	☐ [WI]	☐ [WY]	☐ [PR]

Full name (Last name first, if individual)
Romero, Karl

Business or Residence Address (Number and Street, City, State, Zip Code)
P.O. Box 2037, Tustin, CA 92781

Name of Associated Broker or Dealer
Linsco Private Ledger Corp.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers
(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)
Ahanchian, Amir

Business or Residence Address (Number and Street, City, State, Zip Code)
5325 Katy Freeway, Ste. One, Houston, TX 77007

Name of Associated Broker or Dealer
Oxford Financial Group

States in which Person Listed Has Solicited or Intends to Solicit Purchasers
(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Donaldson, Bill

Business or Residence Address (Number and Street, City, State, Zip Code)

1370 North Brea Blvd. Fullerton, CA 92635

Name of Associated Broker or Dealer

Brookstreet Securities Corporation

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Vee, Jon

Business or Residence Address (Number and Street, City, State, Zip Code)

150 East 42nd St., New York, NY 10017

Name of Associated Broker or Dealer

Gruntal & Company

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Childs, Russell K.

Business or Residence Address (Number and Street, City, State, Zip Code)

18935 I-45 North, Spring, TX 77388

Name of Associated Broker or Dealer

IMS Securities

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Little, Paul G.

Business or Residence Address (Number and Street, City, State, Zip Code)

2605 Thomas Dr., Panama City Beach, FL 32408

Name of Associated Broker or Dealer

Medallion Investment Services, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

2355 Northside Drive, San Diego, CA 92108

Name of Associated Broker or Dealer

Sentra Securities Corporation

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☒ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Garvin, Stephen K.

Business or Residence Address (Number and Street, City, State, Zip Code)

6301 Gaston Avenue, Dallas, TX 75214

Name of Associated Broker or Dealer

Southwest Securities, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

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Full name (Last name first, if individual)

Stadelmayer, Harry

Business or Residence Address (Number and Street, City, State, Zip Code)

2180 5R 434 West Sanlando Center, Longwood, FL 32779

Name of Associated Broker or Dealer

TransAm Securities, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☒ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

1460 Renaissance Drive, Park Ridge, IL 60068

Name of Associated Broker or Dealer

Triad Advisors, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States) ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

D'Agosta, Robert

Business or Residence Address (Number and Street, City, State, Zip Code)

3773 Corporate Parkway, Center Valley, PA 18034

Name of Associated Broker or Dealer

Mony Securities Corporation

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Kaplow, Bart

Business or Residence Address (Number and Street, City, State, Zip Code)

437 Chestnut Street, Philadelphia, PA 19106

Name of Associated Broker or Dealer

Capital Strategies, Ltd.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☒ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)

Kelly, James

Business or Residence Address (Number and Street, City, State, Zip Code)

190 South LaSalle St., Chicago, IL 60603

Name of Associated Broker or Dealer

Peregrine Financials & Securities, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

1355 Noel Rd., Dallas, TX 75240

Name of Associated Broker or Dealer

Rushmore Securities Corporation

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

☒ [AL]	☐ [AK]	☒ [AZ]	☐ [AR]	☒ [CA]	☐ [CO]	☐ [CT]	☒ [DE]	☐ [DC]	☒ [FL]	☒ [GA]	☐ [HI]	☐ [ID]
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Full Name (Last name first, if individual)

Walker, Steven

Business or Residence Address (Number and Street, City, State, Zip Code)

190 S. LaSalle St., Chicago, IL 60603

Name of Associated Broker or Dealer

Peregrine Financials & Securities, Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full Name (Last name first, if individual)

Shaneson, Adam

Business or Residence Address (Number and Street, City, State, Zip Code)

475 East Market St., Long Beach, NY 11561

Name of Associated Broker or Dealer

Princeton Equity Services Inc.

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

(Check "All States" or check individual States)..... ☐ All States

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Full name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

Name of Associated Broker or Dealer

States in which Person Listed Has Solicited or Intends to Solicit Purchasers

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Full Name (Last name first, if individual)

Business or Residence Address (Number and Street, City, State, Zip Code)

Name of Associated Broker or Dealer

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☐ [RI]	☐ [SC]	☐ [SD]	☐ [TN]	☐ [TX]	☐ [UT]	☐ [VT]	☐ [VA]	☐ [WA]	☐ [WV]	☐ [WI]	☐ [WY]	☐ [PR]

(Use blank sheet, or copy and use additional copies of this sheet, as necessary.)

1. Enter the aggregate offering price of securities included in this offering and the total amount already sold. Enter "0" if answer is "none" or "zero." If the transaction is an exchange offering, check this box ☐ and indicate in the columns below the amounts of the securities offered for exchange and already exchanged.

Total

Amount Already
Sold

§

§

§

§

\$ _____ 00

\$ 0

2. Enter the number of accredited and non-accredited investors who have purchased securities in this offering and the aggregate dollar amounts of their purchases. For offerings under Rule 504, indicate the number of persons who have purchased securities and the aggregate dollar amount of their purchases on the total lines. Enter "0" if answer is "none" or "zero."

Total (for filings under Rule 504 only)

Aggregate
Dollar Amount
of Purchases

\$ 0

©

Answer also in Appendix, Column 4, if filing under ULOE

3. If this filing is for an offering under Rule 504 or 505, enter the information requested for all securities sold by the issuer, to date, in offerings of the types indicated, in the twelve (12) months prior to the first sale of securities in this offering. Classify securities by type listed in Part C – Question 1.

[illegible]Dollar Amount
Sold

§ _____

§

§

£

4. a. Furnish a statement of all expenses in connection with the issuance and distribution of the securities in this offering. Exclude amounts relating solely to organization expenses of the issuer. The information may be given as subject to future contingencies. If the amount of an expenditure is not known, furnish an estimate and check the box to the left of the estimate.

Total

§

\$ 30,000

\$ 25,000

\$ 5,000

\$ 0

\$ 504,000

\$ 489,000

\$ 1,053,000

C. OFFERING PRICE, NUMBER OF INVESTORS, EXPENSES AND USE OF PROCEEDS

b. Enter the difference between the aggregate offering price given in response to Part C – Question 1 and total expenses furnished in response to Part C – Question 4.a. This difference is the "adjusted gross proceeds to the issuer."

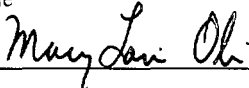
\$ 7,947,000

5. Indicate below the amount of the adjusted gross proceeds to the issuer used or proposed to be used for each of the purposes shown. If the amount for any purpose is not known, furnish an estimate and check the box to the left of the estimate. The total of the payments listed must equal the adjusted gross proceeds to the issuer set forth in response to Part C – Question 4.b above.

		Payments to Officers, Directors, & Affiliates		Payments To Others
Salaries and fees	■	\$ <u>410,000</u>	■	\$ <u>75,000</u>
Purchase of real estate	□	\$ _____	□	\$ _____
Purchase, rental or leasing and installation of machinery and equipment	□	\$ _____	□	\$ _____
Construction or leasing of plant buildings and facilities	□	\$ _____	□	\$ _____
Acquisition of other business (including the value of securities involved in this offering that may be used in exchange for the assets or securities of another issuer pursuant to a merger)	□	\$ _____	□	\$ _____
Repayment of indebtedness	□	\$ _____	□	\$ _____
Working capital	□	\$ _____	□	\$ _____
Other (specify): projects, project development and operations	□	\$ _____	■	\$ <u>7,462,000</u>
.....	■	\$ _____	□	\$ _____
Column Totals	■	\$ <u>410,000</u>	■	\$ <u>7,537,000</u>
Total Payments Listed (column totals added)			■	\$ <u>7,947,000</u>

D. FEDERAL SIGNATURE

The issuer has duly caused this notice to be signed by the undersigned duly authorized person. If this notice is filed under Rule 505, the following signature constitutes an undertaking by the issuer to furnish to the U.S. Securities and Exchange Commission, upon written request of its staff, the information furnished by the issuer to any non-accredited investor pursuant to paragraph (b)(2) of Rule 502.

Issuer (Print or Type) Ridgewood Institutional II-B LLC	Signature 	Date August 26, 2002
Name of Signer (Print or Type) Mary Louise Olin	Title of Signer (Print or Type) Vice President of the Managing Member	

ATTENTION

Intentional misstatements or omissions of fact constitute federal criminal violations. (See 18 U.S.C. 1001.)