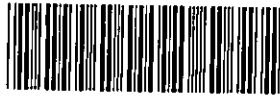


FORM D APR 29 2008



08049307

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

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 Energy Y Fund, 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 (Number and Street, City, State, Zip Code)

(if different from Executive Offices)

Telephone Number (Including Area Code)

Brief Description of Business:

To acquire interests in oil and natural gas properties

Type of Business Organization

☐ corporation☐ limited partnership, already formed☒ other (please specify): **limited liability company**☐ business trust☐ limited partnership, to be formed

Actual or Estimated Date of Incorporation or Organization:

Month
018Year
017☒ 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)

D1E

PROCESSED**MAY 05 2008****GENERAL INSTRUCTIONS****THOMSON REUTERS****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 U.S.C. 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.*Where 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, one 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 the 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.**

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 Energy Corporation

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

947 Linwood Avenue, Ridgewood, NJ 07450Check 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 07450Check 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 07450Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

McSherry, Kathleen

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

947 Linwood Avenue, Ridgewood, NJ 07450Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Tabor, Greg

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

947 Linwood Avenue, Ridgewood, NJ 07450Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Gulino, Daniel

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

947 Linwood Avenue, Ridgewood, NJ 07450Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

Full Name (Last name first, if individual)

Valdes, Mirna

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

947 Linwood Avenue, Ridgewood, NJ 07450Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☒ Executive Officer ☐ Director ☐ General and/or Managing Partner

B. INFORMATION ABOUT OFFERING

- | | | |
|---|-------------------------------------|-------------------------------------|
| | Yes | No |
| 1. Has the issuer sold, or does the issuer intend to sell, to non-accredited investors in this offering? | ☐ | ☒ |
| Answer also in Appendix, Column 2, if filing under ULOE. | | |
| 2. What is the minimum investment that will be accepted from any individual? | \$100,000 | |
| c | Yes | No |
| 3. Does the offering permit joint ownership of a single unit? | ☒ | ☐ |
| 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)

See Attached

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

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

[AL]	[AK]	[AZ]	[AR]	[CA]	[CO]	[CT]	[DE]	[DC]	[FL]	[GA]	[HI]	[ID]
[IL]	[IN]	[IA]	[KS]	[KY]	[LA]	[ME]	[MD]	[MA]	[MI]	[MN]	[MS]	[MO]
[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]

(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)

Dyer, David

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

One Ward Parkway, Suite 345, Kansas City, MO 64112

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)

Beane III, John C.

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

1700 Casey Key Drive, Punta Gorda, FL 33950

Name of Associated Broker or Dealer

Advantage Capital 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)

Feingold, Saul F.

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

22 Elm Street, Worcester, MA 01608

Name of Associated Broker or Dealer

Advantage Capital Corporation

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)

Presley, Brian

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

5161 Acorn Ranch Road, Punta Gorda, FL 33982

Name of Associated Broker or Dealer

Advantage Capital Corporation

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)

Taylor, William

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

69 Stites Lane, North East, MD 21901

Name of Associated Broker or Dealer

Advanced Planning 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)

Eben, Sandra

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

700 Larkspur Landing Circle, Suite 199, Larkspur, CA 94939

Name of Associated Broker or Dealer

AFA 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)

Tydings, Bettye

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

22471 Aspan Street, Suite 203, Lake Forest, CA 92630-1644

Name of Associated Broker or Dealer

AFA 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)

Mueller, Chris A.

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

121 North 9th Street, #301, Boise, ID 83702

Name of Associated Broker or Dealer

AFA 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)

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

2800 North Central Avenue, Suite 2100, Phoenix, AZ 85004

Name of Associated Broker or Dealer

AIG Financial 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)

Bishop, Benjamin C., Jr.

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

50 North Laura Street, Suite 3625, Jacksonville, FL 32202

Name of Associated Broker or Dealer

Allen C. Ewing & 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)

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

2300 Windy Ridge Parkway, Suite 1100, Atlanta, GA 30339

Name of Associated Broker or Dealer

American General 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)

Brialmont, Victoria

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

144 Evergrene Parkway, Palm Beach Gardens, FL 33410

Name of Associated Broker or Dealer

American Portfolio Financial Services

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)

5900 "O" Street, Lincoln, NE 68510

Name of Associated Broker or Dealer

Ameritas Investment 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)

Pyne, Jonathan

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

708 N. 1st Street, Suite 238, Minneapolis, MN 55401

Name of Associated Broker or Dealer

Berthel Fisher & Co. Financial 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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Full name (Last name first, if individual)

Azodi, Johanguir (John)

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

6051 N. Chestnut Avenue, Suite B, Gladstone, MO 64119

Name of Associated Broker or Dealer

Berthel Fisher & Co. Financial 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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Full name (Last name first, if individual)

Krenz, Stephen D.

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

Berthel Fisher, 443 Union Place – Suite 101, Excelsior, MN 55331

Name of Associated Broker or Dealer
Berthel Fisher & Co. Financial Services

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

(Check "All States" or check individual States)

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Full name (Last name first, if individual)
Wood, George

Business or Residence Address (Number and Street, City, State, Zip Code)
3006 Loveland Cove, Austin, TX 78746

Name of Associated Broker or Dealer
Berthel Fisher & Co. Financial Services

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

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Full name (Last name first, if individual)
Potts, John

Business or Residence Address (Number and Street, City, State, Zip Code)
Signature Planning Inc., 18352 Dallas Parkway, Suite 136-388, Dallas, TX 75287

Name of Associated Broker or Dealer
Berthel Fisher & Co. Financial Services

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

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Full name (Last name first, if individual)
Larson, Gina Marie

Business or Residence Address (Number and Street, City, State, Zip Code)
Signature Planning Inc., 18352 Dallas Parkway, Suite 136-388, Dallas, TX 75287

Name of Associated Broker or Dealer
Berthel Fisher & Co. Financial Services

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

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Full name (Last name first, if individual)

Bringham, William

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

191 Waukegan Road #101, Northfield, IL 60093

Name of Associated Broker or Dealer

Edwin C. Blintz Investments Inc.

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

(Check "All States" or check individual States)

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Full name (Last name first, if individual)

Matt, David

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

57340 Curtis Street, Washington, MI 48094

Name of Associated Broker or Dealer

BrokerXpress LLC

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

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Full name (Last name first, if individual)

Zhukov, Boris A.

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

5400 Glenwood Avenue, Suite 301, Raleigh, NC 27612

Name of Associated Broker or Dealer

Capital Financial Services Inc.

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

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Full name (Last name first, if individual)

Batten, James A.

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

1471 Shoreline Drive, Suite 106, Boise, ID 83702

Name of Associated Broker or Dealer

Capital Financial Services Inc.

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)

333 City Blvd. West, Suite 2010, Orange, CA 92868

Name of Associated Broker or Dealer

Centaurus Financial Inc.

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

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Full name (Last name first, if individual)

Harris, David

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

222 Mamaroneck Avenue, White Plains, NY 10605

Name of Associated Broker or Dealer

Chester Harris & Company

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

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Full name (Last name first, if individual)

Michitsch, Heidi

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

115 East 87th Street, Apt. 39E, New York, NY 10128

Name of Associated Broker or Dealer

Clark Dodge & Company

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

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Full name (Last name first, if individual)

Bowman, John William

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

c/o Investmark Financial Services, Fairfield Corporation Centre, 75 Kings Highway Cutoff-5th Floor, Fairfield, CT 06824

Name of Associated Broker or Dealer

Commonwealth Financial Network

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

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Full name (Last name first, if individual)

Liberty, Richard

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

c/o Liberty Investment Advisors, Liberty Acres, 23 No. Raymond Road, Gray, ME 04039

Name of Associated Broker or Dealer

Commonwealth Financial Network

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

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Full name (Last name first, if individual)

Pease, Richard

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

c/o Investmark, 4911 Silver Fern Drive, Sarasota, FL 34241

Name of Associated Broker or Dealer

Commonwealth Financial Network

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

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Full name (Last name first, if individual)

Boeck, George

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

c/o Washington Asset Management, 10657 NE Second Street, Bellevue, WA 98004

Name of Associated Broker or Dealer

Concord Equity Group

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)
725 Town & Country Road, Suite 530, Orange, CA 92868

Name of Associated Broker or Dealer
Crown Capital Securities L.P.

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

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Full name (Last name first, if individual)
Cadwell, John H. (NB-01)

Business or Residence Address (Number and Street, City, State, Zip Code)
881 Dover Drive, Suite 11, Newport Beach, CA 92663

Name of Associated Broker or Dealer
Cullum & Burks Securities Inc.

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

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

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Full name (Last name first, if individual)
Reid, Clifford Kipp

Business or Residence Address (Number and Street, City, State, Zip Code)
5810 Cedar Path, San Antonio, TX 78249

Name of Associated Broker or Dealer
Cullum & Burks 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)
Pugh, William

Business or Residence Address (Number and Street, City, State, Zip Code)
925 S. Federal Highway, Suite 600, Boca Raton, FL 33432

Name of Associated Broker or Dealer
Dawson James 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)

Ruth, Sam

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

925 S. Federal Highway, 6th Floor, Boca Raton, FL 33432

Name of Associated Broker or Dealer

Dawson James 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)

Corbett, Anthony S.

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

150 East 52nd Street, 3rd Floor, New York, NY 10022

Name of Associated Broker or Dealer

Dominick & Dominick, LLC

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)

Dudley, Roderick

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

150 East 52nd Street, 3rd Floor, New York, NY 10022

Name of Associated Broker or Dealer

Dominick & Dominick, LLC

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

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☐ All States

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Full name (Last name first, if individual)

Bowlin, Roger W.

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

7500 212th Street SW, Suite 101, Edmonds, WA 98026

Name of Associated Broker or Dealer
E Planning 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)
Gleisner, Jan

Business or Residence Address (Number and Street, City, State, Zip Code)
6111 African Holly Trail, San Diego, CA 92130

Name of Associated Broker or Dealer
E Planning Securities

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

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Full name (Last name first, if individual)
Mitchell, John

Business or Residence Address (Number and Street, City, State, Zip Code)
2240 Hidden Hills Lane, Lincoln, CA 95648

Name of Associated Broker or Dealer
E Planning 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)
Dennis, Kirk

Business or Residence Address (Number and Street, City, State, Zip Code)
1834 Main Street, Baker City, OR 97814

Name of Associated Broker or Dealer
Financial West Group

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)
Masover, Joan

Business or Residence Address (Number and Street, City, State, Zip Code)
c/o Iowa Progressive Asset Management, 505 North 4th Street, Suite 200, Fairfield, IA 52556

Name of Associated Broker or Dealer
Financial West 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)
Ray, Dennis C

Business or Residence Address (Number and Street, City, State, Zip Code)
6320 Canoga Avenue, Suite 1500, Woodland Hills, CA 91367

Name of Associated Broker or Dealer
Financial West 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)
Swanson, Robert

Business or Residence Address (Number and Street, City, State, Zip Code)
2555 Townsgate Road, Suite 300, Westlake Village, CA 91361

Name of Associated Broker or Dealer
Financial West Group

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

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

Business or Residence Address (Number and Street, City, State, Zip Code)
14275 Midway Road, Suite 220, Addison, TX 75001

Name of Associated Broker or Dealer
First Independent Financial Services

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)
2300 Windy Ridge Parkway, Suite 1100, Atlanta, GA 30339

Name of Associated Broker or Dealer
FSC 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)
Reynolds, Franklin

Business or Residence Address (Number and Street, City, State, Zip Code)
435 S. Ridgewood Ave., Suite 201, Daytona Beach, FL 32114

Name of Associated Broker or Dealer
G.A. Repple & Company

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)
Belliston, Brett J.

Business or Residence Address (Number and Street, City, State, Zip Code)
c/o Knox Capital Group, 13961 S. Minuteman Drive, Suite 300, Draper, UT 84020

Name of Associated Broker or Dealer
Geneos Wealth Management

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)
Barnes, Brodie

Business or Residence Address (Number and Street, City, State, Zip Code)
c/o Knox Capital Group, 13961 S. Minuteman Drive, Suite 300, Draper, UT 84020

Name of Associated Broker or Dealer
Geneos Wealth Management

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)

Dippel, Garry

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

1300 N. 10th Street, Suite 250, McAllen, TX 78501

Name of Associated Broker or Dealer

Geneos Wealth Management

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)

Kearsley, David

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

225 North 5th Street, #515, Grand Junction, CO 81501

Name of Associated Broker or Dealer

Geneos Wealth Management

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)

Krepps, Jr., C. Andrew

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

589 Bethlehem Pike, Suite 100, Montgomeryville, PA 18936

Name of Associated Broker or Dealer

Geneos Wealth Management

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)

Smith, Jerry L.

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

P.O. Box 1188, Salado, Texas 76571

Name of Associated Broker or Dealer

Geneos Wealth Management

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)

Duckworth, Kara L.

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

c/o D & M Capital Management Inc., 3189 Pullman Street, Costa Mesa, CA 92626

Name of Associated Broker or Dealer

Girard 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)

Weldon, Raymond C.

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

3696 N. Federal Hwy, #301, Ft. Lauderdale, FL 33308

Name of Associated Broker or Dealer

Girard 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)

Hrycyk, Stephanie

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

3000 S.W. 27th Avenue, Amarillo, TX 79109

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

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

Cerchio, David

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

1 Industrial Way, Building C, 2nd Floor, Eatontown, NJ 07724

Name of Associated Broker or Dealer

Gunn Allen Financial

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)

Wyatt, Kirtis

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

13900 CR 42, Mancos, CO 81328

Name of Associated Broker or Dealer

Gunn Allen Financial

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

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Full name (Last name first, if individual)

Long, Greg

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

2295 S. Hiawasse Road, #304, Orlando, FL 32835

Name of Associated Broker or Dealer

Gunn Allen Financial

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

(Check "All States" or check individual States)

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Full name (Last name first, if individual)

Court, Brian

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

415 E. Main Street, 3rd Floor, Port Jefferson, NY 11777

Name of Associated Broker or Dealer

Gunn Allen Financial

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)

Maisner, Lawrence

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

24901 Northwesatern highway, Suite 710, Southfield, MI 48075

Name of Associated Broker or Dealer

Hantz Financial 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)

Elerick, Sean

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

154 West Main Street, St. Clairsville, OH

Name of Associated Broker or Dealer

Huntington Investment Company

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)

Kline, Alexander

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

Centre City Tower, 650 Smithfield Street, Suite 1000, Pittsburg, PA 15222

Name of Associated Broker or Dealer

Huntington Investment Company

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)

West 8 Tower, 10205 Westheimer, Suite 500, Houston, TX 77042

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

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

Miller, Joe

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

12636 high Bluff Drive, Suite 100, San Diego, CA 92130

Name of Associated Broker or Dealer
Independent Financial Group

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)
230 Broadway, Lynnfield, MA 01940

Name of Associated Broker or Dealer
Investors Capital 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)

Business or Residence Address (Number and Street, City, State, Zip Code)
570 Carillon Parkway, St. Petersburg, FL 33716

Name of Associated Broker or Dealer
InterSecurities, 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)

Fox, James C.

Business or Residence Address (Number and Street, City, State, Zip Code)
118 S. Pacific Street, #31, Oceanside, CA 92054

Name of Associated Broker or Dealer
James Fox 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)

Sherer, Timothy J.

Business or Residence Address (Number and Street, City, State, Zip Code)
c/o The Sherer Group, LLC, 1754 Technology SDR., Suite 246, San Jose, CA 95110

Name of Associated Broker or Dealer
J.P. Turner & Co., LLC

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)
Worden, Carl

Business or Residence Address (Number and Street, City, State, Zip Code)
7424 Mesa Drive, Aptos, CA 95003

Name of Associated Broker or Dealer
J.P. Turner & Co., LLC

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

Full name (Last name first, if individual)
Sullivan, Brian

Business or Residence Address (Number and Street, City, State, Zip Code)
6928 W. Linebaugh Avenue, #102, Tampa, FL 33625

Name of Associated Broker or Dealer
JW Cole Financial

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)
Vanhorenbeck, Michael J.

Business or Residence Address (Number and Street, City, State, Zip Code)
6928 W. Linebaugh Avenue, #102, Tampa, FL 33625

Name of Associated Broker or Dealer
JW Cole Financial

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

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Full name (Last name first, if individual)

Fagan, Robert S.

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

317 N. El Camino Real, #304, Encinitas, CA 92024

Name of Associated Broker or Dealer

Madison Avenue 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)

Trewitt, Mark

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

1820 Preston Park Boulevard, Suite 1155, Plano, Texas 75093

Name of Associated Broker or Dealer

Madison Avenue 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)

Langhofer, Chad

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

Langhofer Financial Group, 105 S. Andover Road, Suite B, Andover, KS 67002

Name of Associated Broker or Dealer

Main Street Securities, LLC

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)

Flater, Gary

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

1551 N. Tustin Avenue, Suite 960, Santa Ana, CA 92705

Name of Associated Broker or Dealer

MCL Financial Group Inc.

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

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Full name (Last name first, if individual)

Hanson, James P.

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

5824 Coldwater Drive, Castro Valley, CA 94552

Name of Associated Broker or Dealer

MCL Financial Group Inc.

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

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Full name (Last name first, if individual)

Walter, M. Gene

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

12600 W. Colfax Avenue, Suite C-480, Lakewood, CO 80215

Name of Associated Broker or Dealer

MCL Financial Group Inc.

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

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Full name (Last name first, if individual)

Yang, Yi-Chen (Chris)

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

12600 W. Colfax Avenue, Suite C-480, Lakewood, CO 80215

Name of Associated Broker or Dealer

MCL Financial Group Inc.

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

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Full name (Last name first, if individual)

McCall, John "Sandy"

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

30 Misty Circle, The Woodlands, TX 77380

Name of Associated Broker or Dealer

McNally Financial Services

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)

McNally, David D.

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

P.O. Box 701928, San Antonio, Texas 78270-0928

Name of Associated Broker or Dealer

McNally Financial 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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Full name (Last name first, if individual)

Pace, Anthony

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

c/o Lindberg & Ripple, Inc., 100 Northfield Drive, 3rd Floor, Windsor, CT 06095

Name of Associated Broker or Dealer

M Holdings 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)

Berquist, James F.

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

455 Valley Brook Road, McMurray, PA 15317

Name of Associated Broker or Dealer

Mid-Atlantic Capital Corp.

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

(Check "All States" or check individual States)

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Full name (Last name first, if individual)

Crooks, Edward S.

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

224 St. Charles Way, Suite 100, York, PA 17402

Name of Associated Broker or Dealer

Mid-Atlantic Capital Corp.

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

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Full name (Last name first, if individual)

Soltani, Bruce

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

12526 High Bluff Drive – Ste. 350, San Diego, CA 92130

Name of Associated Broker or Dealer

Midpoint Financial

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)

Dalzell, Kevin

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

P.O. Box 8001, Rancho Santa Fe, CA 92067

Name of Associated Broker or Dealer

Midpoint Financial

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

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Full name (Last name first, if individual)

Morimoto, Stacey

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

12526 High Bluff Drive – Ste. 350, San Diego, CA 92130

Name of Associated Broker or Dealer

Midpoint Financial

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

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Full name (Last name first, if individual)

Truax, Nathan

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

12526 High Bluff Drive – Ste. 350, San Diego, CA 92130

Name of Associated Broker or Dealer

Midpoint Financial

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

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☐ [IL]	☐ [IN]	☐ [IA]	☐ [KS]	☐ [KY]	☐ [LA]	☐ [ME]	☐ [MD]	☐ [MA]	☐ [MI]	☐ [MN]	☐ [MS]	☐ [MO]
☐ [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)

Auerbach, Charles

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

8001 Centerview Pkwy., #201, Cordova, TN 38018

Name of Associated Broker or Dealer

National Planning 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)

Janik, Cheryl P.

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

246 Broad Street, Elyria, OH 44035

Name of Associated Broker or Dealer

National Planning 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)

Kisger, Lakis Allen

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

76 Seafare Lane, Laguna Niguel, CA 92677

Name of Associated Broker or Dealer

National Planning 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)

Miars, Jay

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

2244 Farnday Avenue, Suite 111, Carlsbad, CA 92008

Name of Associated Broker or Dealer

National Planning Corp.

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

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Full name (Last name first, if individual)

Russo, Joseph

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

230 2nd Street SE, Suite 200, Cedar Rapids, IA 52401

Name of Associated Broker or Dealer

National Planning 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)

LeDoux, David

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

2424 North Federal Highway, Suite 350, Boca Raton, FL 33431

Name of Associated Broker or Dealer

National 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)

Arizanov, Peter A.

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

WorldWide Wealth Management, 1400 Old Country Rd., Suite 302-A, Westbury, NY 11590

Name of Associated Broker or Dealer

National Securities Corporation

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)

Kipp, Corey

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

7108 Fairway Drive, S-170, Palm Beach Gardens, FL 33418

Name of Associated Broker or Dealer

National Securities Corporation

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

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Full Name (Last name first, if individual)

Russo, Christopher

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

WorldWide Wealth Management, 1400 Old Country Rd., Suite 302-A, Westbury, NY 11590

Name of Associated Broker or Dealer

National Securities Corporation

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)

485 E. US Highway 1 South, Building E - 4th Floor, Iselin, NJ 08830-3009

Name of Associated Broker or Dealer

New England 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)

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

2500 Wilcrest Drive, Suite 620, Houston, Texas 77042-2757

Name of Associated Broker or Dealer

Next 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]
☐ [IL] ☒ [IN] ☐ [IA] ☐ [KS] ☐ [KY] ☒ [LA] ☐ [ME] ☐ [MD] ☒ [MA] ☒ [MI] ☐ [MN] ☐ [MS] ☐ [MO]
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Full name (Last name first, if individual)

Weisenberger, Brian

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

1250 Capital of Texas Highway South, Bldg. 2 - Suite 600, Austin, TX 78746

Name of Associated Broker or Dealer

NFP 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)

Pash, Mark S.

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

5435 Balboa Blvd, #106, Encino, CA 91316

Name of Associated Broker or Dealer

NPB 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)

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

P.O. Box 259, Okoboji, IA 51355

Name of Associated Broker or Dealer

Okoboji Financial Services

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)

Wagner, Richard L.

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

10542 South Jordan Gateway, Suite 330, Salt Lake City, UT 84095

Name of Associated Broker or Dealer

Omni Brokerage

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)

Harkavy, Larry

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

Fahnestock & Company, Inc., 700 Veterans Memorial Hwy, Ste. 120, Hauppauge, NY 11788

Name of Associated Broker or Dealer

Oppenheimer & 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]
☐ [IL]	☐ [IN]	☐ [IA]	☐ [KS]	☐ [KY]	☐ [LA]	☐ [ME]	☐ [MD]	☐ [MA]	☐ [MI]	☐ [MN]	☐ [MS]	☐ [MO]
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Full name (Last name first, if individual)

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

1 Renton Place, 555 S. Renton Village Pl., Suite 700, Renton, WA 98055

Name of Associated Broker or Dealer

Pacific West 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]
☒ [IL]	☐ [IN]	☐ [IA]	☐ [KS]	☐ [KY]	☐ [LA]	☐ [ME]	☐ [MD]	☐ [MA]	☒ [MI]	☐ [MN]	☐ [MS]	☒ [MO]
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Full name (Last name first, if individual)

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

9700 Business Park Drive, #102, Sacramento, CA 95827

Name of Associated Broker or Dealer

Pension Planners 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)

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

4650 SW MacAdam Avenue, Ste. 220, Portland, OR 97239

Name of Associated Broker or Dealer

Private Consulting Group

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)

2801 Highway 280 South, Birmingham, AL 35223

Name of Associated Broker or Dealer
ProEquities, 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)
Gyulai, Andor

Business or Residence Address (Number and Street, City, State, Zip Code)
499 North Canon Drive, Suite 315, Beverly Hills, CA 90210

Name of Associated Broker or Dealer
Regal 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)
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)

Business or Residence Address (Number and Street, City, State, Zip Code)
One World Financial Center, 14th Floor, New York, NY 10281

Name of Associated Broker or Dealer
Royal Alliance & Associates, Inc.

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

(Check "All States" or check individual States)

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Full name (Last name first, if individual)
Hass, Christopher

Business or Residence Address (Number and Street, City, State, Zip Code)
11420 bluegrass Pkwy, Louisville, KY 40299

Name of Associated Broker or Dealer
Sammons Securities Company

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

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Full name (Last name first, if individual)
Orben, Jack

Business or Residence Address (Number and Street, City, State, Zip Code)
c/o Ken Wlosek 479 State Highway 17 N, Suite 1, Mahwah, NJ 07430

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)

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Full name (Last name first, if individual)
Wlosek, Kenneth

Business or Residence Address (Number and Street, City, State, Zip Code)
479 State Highway 17 N, Suite 1, Mahwah, NJ 07430

Name of Associated Broker or Dealer
Seward Groves Richard & Wells

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

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Full name (Last name first, if individual)
Green, Floyd R.

Business or Residence Address (Number and Street, City, State, Zip Code)
Cornerstone Wealth Management, 2301 Stonehenge Drive, Suite 210, Raleigh, NC 27615

Name of Associated Broker or Dealer
Strategic Financial Alliance Inc. (SFA)

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

(Check "All States" or check individual States)

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Full name (Last name first, if individual)

Grimm, Thomas

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

120 Third Avenue South, Franklin, TN 37064

Name of Associated Broker or Dealer

Strategic Financial Alliance Inc. (SFA)

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

(Check "All States" or check individual States)

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Full name (Last name first, if individual)

Prehmus, Warren

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

3930 E Jones Bridge Road, Suite 175, Norcross, GA 30092

Name of Associated Broker or Dealer

Strategic Financial Alliance Inc. (SFA)

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

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Full name (Last name first, if individual)

Jones, Hilliard

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

4735 Millbrook Drive, NW, Ste 200, Atlanta, GA 30327

Name of Associated Broker or Dealer

Strategic Financial Alliance Inc. (SFA)

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

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Full name (Last name first, if individual)

Kieffer, Tom

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

P.O. Box 6987, Lakeland, FL 33807

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)

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Full name (Last name first, if individual)

Opiteck, Robert

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

32674 Bingham Lane, Birmingham, MI 48025

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

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Full name (Last name first, if individual)

Papale, Arthur

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

10327 Nakema Drive W., Jacksonville, FL 32257

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

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Full name (Last name first, if individual)

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

555 Grande Market Dr., Appleton, WI 54913

Name of Associated Broker or Dealer

S.I.I. Investments

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)

Kovaleff, Theodore

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

110 Wall Street, 8th Floor, New York, NY 10005

Name of Associated Broker or Dealer
Sky Capital LLC

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

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Full name (Last name first, if individual)
Bernier, Brian

Business or Residence Address (Number and Street, City, State, Zip Code)
401 Edgewater Place, Suite 120, Wakefield, MA 01880

Name of Associated Broker or Dealer
Stonegate Partners, LLC

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

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☐ All States

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Full name (Last name first, if individual)
Mara, Jack

Business or Residence Address (Number and Street, City, State, Zip Code)
401 Edgewater Place, Suite 120, Wakefield, MA 01880

Name of Associated Broker or Dealer
Stonegate Partners, LLC

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

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Full name (Last name first, if individual)
Doane, John

Business or Residence Address (Number and Street, City, State, Zip Code)
401 Edgewater Place, Suite 120, Wakefield, MA 01880

Name of Associated Broker or Dealer
Stonegate Partners, LLC

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)
Nixon, Thomas M.

Business or Residence Address (Number and Street, City, State, Zip Code)
4775 Wallingford Street, Pittsburgh, PA 15213-1711

Name of Associated Broker or Dealer
Thomas M. Nixon & Associates

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)
Curcio, Joseph A.

Business or Residence Address (Number and Street, City, State, Zip Code)
7 Broadway, Suite A, Freehold, NJ 07728

Name of Associated Broker or Dealer
Tower Square 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)
Capobianco, Anthony J.

Business or Residence Address (Number and Street, City, State, Zip Code)
646 Plank Road, Suite 209, Clifton Park, NY 12065

Name of Associated Broker or Dealer
Tower Square Securities

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

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Full name (Last name first, if individual)
Feigenbaum, Mark

Business or Residence Address (Number and Street, City, State, Zip Code)
91 Montvale Avenue, Stoneham, MA 02180

Name of Associated Broker or Dealer
Tower Square Securities

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

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Full name (Last name first, if individual)

Hoogenakker, Jerry W..

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

3440 Toringdon Way, Suite 208, Charlotte, NC 28277

Name of Associated Broker or Dealer

Tower Square 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)

Shafe, Charles

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

c/o The Shafe Group Inc., 531 Versailles Drive, Suite 201, Maitland, FL 32751

Name of Associated Broker or Dealer

TransAm Securities Inc.

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

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☐ All States

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Full name (Last name first, if individual)

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

5185 Peachtree Parkway, Ste 280, Norcross, GA 30092

Name of Associated Broker or Dealer

Triad Advisors Inc.

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

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Full name (Last name first, if individual)

Trueman, James P.

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

501 John James Audubon Parkway, Suite 102, Amherst, NY 14228

Name of Associated Broker or Dealer

United Planners Financial 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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Full name (Last name first, if individual)

Sheikh, Mohammed Azeem

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

880 3rd Avenue, 12th Floor, New York, NY 10022

Name of Associated Broker or Dealer

V Finance 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)

Coleman, Robert D.

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

5460 Merle Hay Road, Suite J, Johnston IA 50131

Name of Associated Broker or Dealer

VSR Financial 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)

Seeherman, Marc

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

32 West 40th Street, #2c, New York, NY 10018

Name of Associated Broker or Dealer

VSR Financial Services Inc.

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

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Full name (Last name first, if individual)

Cisco, Anthony J.

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

6200 Rockside Road, Independence, OH 44131

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)

Lange, William

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

6200 Rockside Road, Independence, OH 44131

Name of Associated Broker or Dealer

Walnut Street Securities

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

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Full name (Last name first, if individual)

Ferrazza, Carl M.

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

6200 Rockside Road, Independence, OH 44131

Name of Associated Broker or Dealer

Walnut Street Securities

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

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Full name (Last name first, if individual)

Guttman, Barney

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

1022 Frick Building, 437 Grant Street, Pittsburg, PA 15219-6002

Name of Associated Broker or Dealer

Walnut Street Securities

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

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Full name (Last name first, if individual)

Kunkel, James E.

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

515 E. Las Olas Boulevard, 15th Floor, Fort Lauderdale, FL 33301

Name of Associated Broker or Dealer
Walnut Street Securities

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

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Full name (Last name first, if individual)

Pierce, Robert A.

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

Winning Money Strategies, P.O. Box 87009, Vancouver, WA 98687

Name of Associated Broker or Dealer

Walnut Street Securities

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

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☐ All States

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Full name (Last name first, if individual)

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

500 Park Boulevard, Suite 800, Itasca, IL 60143

Name of Associated Broker or Dealer

Waterstone Financial Group

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)

Melanson, Ronald

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

81-380 National Drive, La Quinta, CA 92253

Name of Associated Broker or Dealer

Waveland Capital Partners LLC

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]
☐ [IL] ☐ [IN] ☐ [IA] ☐ [KS] ☐ [KY] ☐ [LA] ☐ [ME] ☐ [MD] ☐ [MA] ☐ [MI] ☐ [MN] ☐ [MS] ☐ [MO]
☐ [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)

McCormick, John C.

Business or Residence Address (Number and Street, City, State, Zip Code)
1675 SW Marlow, Suite 306, Portland, OR 97225

Name of Associated Broker or Dealer
Western International 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]
☐ [IL]	☐ [IN]	☐ [IA]	☐ [KS]	☐ [KY]	☐ [LA]	☐ [ME]	☐ [MD]	☐ [MA]	☐ [MI]	☐ [MN]	☐ [MS]	☐ [MO]
☐ [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)
Harris, William V.

Business or Residence Address (Number and Street, City, State, Zip Code)
Century Advisors, 1633 W. Owen K. Garriott, Suite B, Enid, OK 73703

Name of Associated Broker or Dealer
Williams 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]
☐ [IL]	☐ [IN]	☐ [IA]	☐ [KS]	☐ [KY]	☐ [LA]	☐ [ME]	☐ [MD]	☐ [MA]	☐ [MI]	☐ [MN]	☐ [MS]	☐ [MO]
☐ [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)
Diehl, David

Business or Residence Address (Number and Street, City, State, Zip Code)
c/o Diehl Wealth Mgmt. Group LLC, 314 Addyston Pointe, Saint Peters, MO 63376

Name of Associated Broker or Dealer
Workman 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]
☐ [IL]	☐ [IN]	☐ [IA]	☐ [KS]	☐ [KY]	☐ [LA]	☐ [ME]	☐ [MD]	☐ [MA]	☐ [MI]	☐ [MN]	☐ [MS]	☒ [MO]
☐ [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)
Carlson, Darrell

Business or Residence Address (Number and Street, City, State, Zip Code)
1042 Centerville Circle, Vadnaus Heights, MN 55127

Name of Associated Broker or Dealer
Workman 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]
☐ [IL]	☐ [IN]	☐ [IA]	☐ [KS]	☐ [KY]	☐ [LA]	☐ [ME]	☐ [MD]	☐ [MA]	☐ [MI]	☒ [MN]	☐ [MS]	☐ [MO]
☐ [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]

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

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.

Type of Security	Aggregate offering Price	Amount Already Sold
Debt.....	\$	\$
Equity.....		
☐ Common ☐ Preferred	\$	\$
Convertible Securities (including warrants).....	\$	\$
Partnership Interests.....	\$	\$
Other (Specify <u>voting, redeemable participating shares</u>).....	\$ 100,000,000*	\$ 0
Total.....	\$ 100,000,000*	\$ 0

Answer also in Appendix, Column 3, if filing under ULOE.

* may be increased to \$185,000,000 or more

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."

	Number Investors	Aggregate Dollar Amount of Purchases
Accredited Investors.....	0	\$ 0
Non-accredited Investors.....		\$
Total (for filings under Rule 504 only).....		\$

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.

Type of Offering	Type of Security	Dollar Amount Sold
Rule 505.....		\$
Regulation A.....		\$
Rule 504.....		\$
Total.....		\$

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.

Transfer Agent's Fees.....	☐	\$
Printing and Engraving Costs.....	☒	\$ 10,000
Legal Fees.....	☒	\$ 20,000
Accounting Fees.....	☒	\$ 4,000
Engineering Fees.....	☒	\$ 20,000
Sales Commissions (specify finders' fees separately).....	☒	\$ 9,000,000
Other Expenses (identify) filing fees, miscellaneous operating and marketing costs ...	☒	\$ 3,500,000
Total.....	☒	\$ 12,554,000

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."

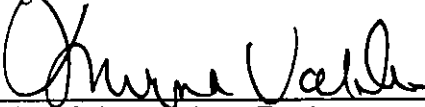
\$ **87,446,000**

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	☒ \$ 4,500,000	☐ \$ _____
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 businesses (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): <u>to acquire interests in oil and gas properties, drilling and development costs</u>	☐ \$ _____	☒ \$ 80,446,000
reserve for administrative overhead	☒ \$ 2,500,000	
Column Totals	☒ \$ 7,000,000	☒ \$ 80,446,000
Total Payments Listed (column totals added)	☒ \$87,446,000	

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 Energy Y Fund, LLC	Signature 	Date April 25, 2008
Name of Signer (Print or Type) Mirna Valdes	Title of Signer (Print or Type) Vice President of the Manager	

ATTENTION

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

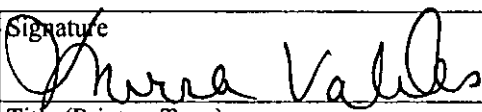
E. STATE SIGNATURE

1. Is any party described in 17 CFR 230.262 presently subject to any of the disqualification provisions of such rule? *Not Applicable* Yes ☐ No ☐

See Appendix, Column 5, for state response.

2. The undersigned issuer hereby undertakes to furnish to any state administrator of any state in which this notice is filed, a notice on Form D (17 CFR 239.500) at such times as required by state law.
3. The undersigned issuer hereby undertakes to furnish to the state administrators, upon written request, information furnished by the issuer to offerees.
4. The undersigned issuer represents that the issuer is familiar with the conditions that must be satisfied to be entitled to the Uniform Limited Offering Exemption (ULOE) of the state in which this notice is filed and understands that the issuer claiming the availability of this exemption has the burden of establishing that these conditions have been satisfied.

The issuer has read this notification and knows the contents to be true and has duly caused this notice to be signed on its behalf by the undersigned duly authorized person.

Issuer (Print or Type)	Signature	Date
Ridgewood Energy Y Fund, LLC		April 23, 2008
Name (Print or Type)	Title (Print or Type)	
Mirna Valdes	Vice President of the Manager	

Instruction:

Print the name and title of the signing representative under his signature for the state portion of this form. One copy of every notice on Form D must be manually signed. Any copies not manually signed must be photocopies of the manually signed copy or bear typed or printed signatures.

APPENDIX

1	2		3	4				5	
	Intend to sell to non-accredited investors in State (Part B-Item 1)		Type of security and aggregate offering price offered in state (Part C-Item 1)	Type of investor and amount purchased in State (Part C-Item 2)				Disqualification under State ULOE (if yes, attach explanation of waiver granted) (Part E-Item 1)	
State	Yes	No		Number of Accredited Investors	Amount	Number of Non-Accredited Investors	Amount	Yes	No
AL		X	100,000,000	0	0			N/A	
AK		X	100,000,000	0	0			N/A	
AZ		X	100,000,000	0	0			N/A	
AR		X	100,000,000	0	0			N/A	
CA		X	100,000,000	0	0			N/A	
CO		X	100,000,000	0	0			N/A	
CT		X	100,000,000	0	0			N/A	
DE		X	100,000,000	0	0			N/A	
DC		X	100,000,000	0	0			N/A	
FL		X	100,000,000	0	0			N/A	
GA		X	100,000,000	0	0			N/A	
HI		X	100,000,000	0	0			N/A	
ID		X	100,000,000	0	0			N/A	
IL		X	100,000,000	0	0			N/A	
IN		X	100,000,000	0	0			N/A	
IA		X	100,000,000	0	0			N/A	
KS		X	100,000,000	0	0			N/A	
KY		X	100,000,000	0	0			N/A	
LA		X	100,000,000	0	0			N/A	
ME		X	100,000,000	0	0			N/A	
MD		X	100,000,000	0	0			N/A	
MA		X	100,000,000	0	0			N/A	
MI		X	100,000,000	0	0			N/A	
MN		X	100,000,000	0	0			N/A	
MS		X	100,000,000	0	0			N/A	
MO		X	100,000,000	0	0			N/A	

APPENDIX

1	2		3	4				5	
	Intend to sell to non-accredited investors in State (Part B-Item 1)		Type of security and aggregate offering price offered in state (Part C-Item 1)	Type of investor and amount purchased in State (Part C-Item 2)				Disqualification under State ULOE (if yes, attach explanation of waiver granted) (Part E-Item 1)	
State	Yes	No		Number of Accredited Investors	Amount	Number of Non-Accredited Investors	Amount	Yes	No
MT		X	100,000,000	0	0			N/A	
NE		X	100,000,000	0	0			N/A	
NV		X	100,000,000	0	0			N/A	
NH		X	100,000,000	0	0			N/A	
NJ		X	100,000,000	0	0			N/A	
NM		X	100,000,000	0	0			N/A	
NY		X	100,000,000	0	0			N/A	
NC		X	100,000,000	0	0			N/A	
ND		X	100,000,000	0	0			N/A	
OH		X	100,000,000	0	0			N/A	
OK		X	100,000,000	0	0			N/A	
OR		X	100,000,000	0	0			N/A	
PA		X	100,000,000	0	0			N/A	
RI		X	100,000,000	0	0			N/A	
SC		X	100,000,000	0	0			N/A	
SD		X	100,000,000	0	0			N/A	
TN		X	100,000,000	0	0			N/A	
TX		X	100,000,000	0	0			N/A	
UT		X	100,000,000	0	0			N/A	
VT		X	100,000,000	0	0			N/A	
VA		X	100,000,000	0	0			N/A	
WA		X	100,000,000	0	0			N/A	
WV		X	100,000,000	0	0			N/A	
WI		X	100,000,000	0	0			N/A	
WY		X	100,000,000	0	0			N/A	
PR		X	100,000,000	0	0			N/A	

END