

MAR 11 2009

FORM D

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

Temporary FORM D

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

OMB APPROVAL

OMB NUMBER: 3235-0076
Expires: March 15, 2009
Estimated average burden
hours per response 4.00Name 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 Capital Fund IV-C, 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☒ other (please specify): limited liability company☐ business trust☐ limited partnership, to be formed

Month Year

Actual or Estimated Date of Incorporation or Organization 01 07 ☒ 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) DE

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.**Where to File:** U.S. Securities and Exchange Commission, 100 F Street, N.E., Washington, D.C. 20549.**Copies Required:** Two (2) copies of this notice must be filed with the SEC, one of which must be manually signed. The copy not manually signed must be a photocopy 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.

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MAR 26 2009

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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 ☒ Manager

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)

Strasberg, Jeffrey H.

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)

Gulino, Daniel V

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)

Valdes, Mirna

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? \$ 200,000
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)

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]
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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

(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)

Dyer, David # 2179498

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

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Full name (Last name first, if individual)

Tydings, Bette G. #844203

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

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Full name (Last name first, if individual)

Bishop, Benjamin C., Jr. #22050

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

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Full name (Last name first, if individual)

Rachlin, Jeffrey #823547

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

The Landmark at Eastview, 777 Old Saw Mill River Road, Terrytown, NY 10591

Name of Associated Broker or Dealer

Alternative Wealth Strategies, 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)

Bellish, George M. #2646202

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

Capital Business Strategies, 8845 East Market Street, Suite 1 Warren, OH 44484

Name of Associated Broker or Dealer

American Portfolio Fin. Svcs

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)

Cohen, Peter B. #50112

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

237 Hopmeadow Street, Suite 107, Simsbury, CT 06089

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

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Full name (Last name first, if individual)

Lawless, Paul #1417030

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

1877 S. Federal Investment Corp., Suite 210, Boca Raton, FL 33432

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

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Full name (Last name first, if individual)

Yocum, Darcy R. #4223696

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

1403 Farnam Street, Suite 216, Omaha, NE 68102

Name of Associated Broker or Dealer
Ameritas Investment Corp.

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

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Full name (Last name first, if individual)

Kirkpatrick, Katherine # 4530467

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

Mountain View Financial Inc., 1036 E. Iron Eagle Drive #130, Eagle, ID 83616

Name of Associated Broker or Dealer

American Independent Securities Group

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

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Full name (Last name first, if individual)

Stone, Barbara #2202550

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

275 South 5th Avenue, Suite 285 Pocatello, ID 83201

Name of Associated Broker or Dealer

American Independent Securities 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)

Rockwood, Tressa #4821421

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

275 South 5th Avenue, Suite 285 Pocatello, ID 83201

Name of Associated Broker or Dealer

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

Full name (Last name first, if individual)

Kunkel, Thomas L. #2510614

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

1109 W. MacArthur Avenue, Suite #3 Eau Claire, WI 54701

Name of Associated Broker or Dealer

Capital 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]
☐ [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)

Weisenberger, Brian #4601637

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

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

Name of Associated Broker or Dealer

Capital Solutions Distributors 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]
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Full name (Last name first, if individual)

Gammon, William #1811853

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

1122 Kenilworth Drive, Suite 201, Towson, MD 21204

Name of Associated Broker or Dealer

Centaurus 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)

White, David B. #1382131

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

40900 Woodward Avenue, Suite 270, Bloomfield Hills, MI 48304

Name of Associated Broker or Dealer

Centaurus Financial 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)

Brown, Alexander P. #31944

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

1700 Pennsylvania Avenue - 7th Floor, Washington, DC 20006

Name of Associated Broker or Dealer

Chapin Davis

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)

Cutsforth, Jerry O. #1832935

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

8927 W. Tucannon Avenue, Suite 108, Kennewick, WA 99336

Name of Associated Broker or Dealer

Crown Capital

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)

Demars, David T. #2903749

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

104 S. Freya Street, Suite 218, Lilac Flag Bldg, Spokane, WA 99202

Name of Associated Broker or Dealer

Crown Capital

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)

Jenkins, J. Patrick #5261717

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

104 S. Freya Street, Suite 218, Lilac Flag Bldg, Spokane, WA 99202

Name of Associated Broker or Dealer

Crown Capital

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

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Full name (Last name first, if individual)

Luper, William Scott # 2119975

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

22 S. Pack Square, Suite 300, Asheville, NC 28801

Name of Associated Broker or Dealer

Crown Capital

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)

Prybylo, Tom #2532551

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

21 W715 Glen Crest Drive, Glen Ellyn, IL 60137

Name of Associated Broker or Dealer

Crown Capital

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)

Doane, John #4083486

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

Detwiler Fenton & 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)

Mara, Jack #1646745

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

Detwiler Fenton & Co.

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 #1381273

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

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

Montgomery, Janet J. #853307

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

P.O. Box 1115, Brookshire, TX 77423

Name of Associated Broker or Dealer

First Allied 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]
☐ [IL]	☐ [IN]	☐ [IA]	☐ [KS]	☐ [KY]	☐ [LA]	☐ [ME]	☐ [MD]	☐ [MA]	☐ [MI]	☐ [MN]	☐ [MS]	☐ [MO]
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☐ [RI]	☐ [SC]	☐ [SD]	☐ [TN]	☐ [TX]	☐ [UT]	☐ [VT]	☐ [VA]	☐ [WA]	☐ [WV]	☐ [WI]	☐ [WY]	☐ [PR]

Full name (Last name first, if individual)

Oliver, Stephen #2173688

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

Manhattan Ridge Advisors, 1325 Avenue of the Americas, 27th Floor, New York, NY 10019

Name of Associated Broker or Dealer

First Allied 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)

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 # 7461

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)
Presley, Brian #1077118

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
FSC 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)
Braverman, Richard M. #1023227

Business or Residence Address (Number and Street, City, State, Zip Code)
2173 Embassy Drive, Lancaster, PA 17603

Name of Associated Broker or Dealer
Genecos 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)
Monchik, Samuel R. #4113886

Business or Residence Address (Number and Street, City, State, Zip Code)
2173 Embassy Drive, Lancaster, PA 17603

Name of Associated Broker or Dealer
Genecos 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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☐ [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)

Crabb, Andy #3077317

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

9780 Mt. Pyramid Ct. Suite 130, Englewood, CO 80112

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)

Dippel, Garry #1035671

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)

Drew, Richard J. #1752618

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

Hayden Financial, 830 Post Road East, Suite 102, Westport, CT 06880

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)

Hrycyk, Stephanie #1882780

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

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Full name (Last name first, if individual)

Long, Gregory #2049933

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)

☐ All States

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Full name (Last name first, if individual)

Marcu, Jonathan #2401038

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

7280 W. Palmetto Park Rd. Suite 106, Boca Raton, FL 33433

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)

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

24901 Northwestern Highway, Suite 710, Southfield, MI 48075

Name of Associated Broker or Dealer

Hantz Financial Services, Inc. #46047

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)

Elerick, Sean #3107856

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

154 West Main Street, St. Clairsville, OH 43950

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 P. #1271785

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

650 Smithfield Street, Suite 1000, Pittsburgh, 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)

Deegan, Emily #3032319

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

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Full name (Last name first, if individual)

Etter, Kris #4562123

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

5740 Prospect Avenue, Suite 1000, Dallas, Texas 75206

Name of Associated Broker or Dealer

IMS 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)

Harrison, Jason #2628373

Business or Residence Address (Number and Street, City, State, Zip Code)
4265 San Felipe, Suite 1100, Houston, TX 77027

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)
Badar, Taseer #2704754

Business or Residence Address (Number and Street, City, State, Zip Code)
4265 San Felipe, Suite 1100, Houston, TX 77027

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)
Killough, Kraig #2463476

Business or Residence Address (Number and Street, City, State, Zip Code)
4265 San Felipe, Suite 1100, Houston, TX 77027

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)
Miller, Joe # 1172989

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)

Bowlin, Roger W. #1905652

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

R.W. Bowlin Investment Solutions, Inc., 9816 234th Place SW, Edmonds, WA 98020

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)

Ealy, Thomas J #863042

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

1802 Fox Drive, Suite C, Champaign, IL 61820

Name of Associated Broker or Dealer

Investment Planners, 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)

Rewerts, Nathan #2913269

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

5950 SW 28th, Suite A, Topeka, KS 66614

Name of Associated Broker or Dealer

Investment Planners, 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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☐ [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)

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. # 16164

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)

Sherer, Tim J. #833618

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

The Sherer Group, LLC, 1754 Technology Dr., 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]
☐ [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]
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Full name (Last name first, if individual)

Worden, Carl #3130121

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

The Sherer Group, LLC, 1754 Technology Dr., 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

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Full name (Last name first, if individual)

Eshbach II, Jay M #1564093

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

P.O. Box 855, Baytown, TX 77522

Name of Associated Broker or Dealer

JW Cole 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)

McCormick, Thomas L. #809554

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

1155 Crane Street, Menlo Park, CA 94025

Name of Associated Broker or Dealer
American Investors Company (L.S.V. Inc. dba)

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)
Langhofer, Chad #2517445

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

☐ [AL]	☐ [AK]	☐ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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Full name (Last name first, if individual)
Trowbridge III, Robert H. # 1027815

Business or Residence Address (Number and Street, City, State, Zip Code)
Dominion Wealth Management, Inc., 1801 Robert Fulton Drive, Suite 350, Reston, VA 20191

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 #1049132

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

(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)
Gertge, Terrell #2956582

Business or Residence Address (Number and Street, City, State, Zip Code)
43442 W. Country Road, #43, Ault, CO 80610

Name of Associated Broker or Dealer
MCL Financial Group 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)
Walter, Merle Gene #851987

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

(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)
Yang, Yi-Chen (Chris) #4024717

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

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

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Full name (Last name first, if individual)
Anderson, Lynne A. #2670791

Business or Residence Address (Number and Street, City, State, Zip Code)
9350 S. 150 E, #150, Sandy, UT 84070

Name of Associated Broker or Dealer
MetLife 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)

Russo, Christopher J. #2744913

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 #615

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)

5800 Meadows Road, Suite 240, Lake Oswego, OR 97035

Name of Associated Broker or Dealer

Next Financial Group #46214

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)

Blaser, Clint #2494696

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

6900 E. Camelback Road, Suite #606, Scottsdale, AZ 85251

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)

Harkavy, Lawrence #2218203

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

Fahnestock & Company, Inc., 700 Veterans Memorial HWY, Suite 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

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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 #6390

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)

Lines, Roy C. #1906516

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

2355 John F. Kennedy Road, Dubuque, IA 52002

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)

Sauder, Clair #1312337

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

2160 Lincoln HWY West, Lancaster, PA 17602

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

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Full name (Last name first, if individual)
Shankland, Thomas #1779390

Business or Residence Address (Number and Street, City, State, Zip Code)
24547 Park River Lane, Shorewood, IL 60404

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

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Full name (Last name first, if individual)
White, Ryan C. #2909144

Business or Residence Address (Number and Street, City, State, Zip Code)
2974 Brooks Bend Drive, Carmel, IN 46032

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

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Full name (Last name first, if individual)
Cornaglia, Carl #3067666

Business or Residence Address (Number and Street, City, State, Zip Code)
American Heritage Financial, 15 South Elm Street, Wallingford, CT 06492

Name of Associated Broker or Dealer
Questar 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)
Fauzio, William #2193834

Business or Residence Address (Number and Street, City, State, Zip Code)
American Heritage Financial, 15 South Elm Street, Wallingford, CT 06492

Name of Associated Broker or Dealer
Questar 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)
Sears, Michael H #2205917

Business or Residence Address (Number and Street, City, State, Zip Code)
The Sears Group, 5724 Princess Anne Rd 101, Virginia Beach, VA 23462

Name of Associated Broker or Dealer
Questar Capital Corporation

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

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Full name (Last name first, if individual)
Sundberg, Glen K. #2304142

Business or Residence Address (Number and Street, City, State, Zip Code)
601 5th Street NW, Suite 5, Brainerd, MN 56401

Name of Associated Broker or Dealer
Questar 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)
Walker, Robert C. #729738

Business or Residence Address (Number and Street, City, State, Zip Code)
Millson/Walker Financial Group Ltd., 7000 Houston Rd, Bldg #100- Suite 13, Florence, KY 41042

Name of Associated Broker or Dealer
Questar 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)
Fineman, Neil S. #2225170

Business or Residence Address (Number and Street, City, State, Zip Code)
11379 Nottel Calma Street, Las Vegas, NV 89114

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

☐ [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 #1332429

Business or Residence Address (Number and Street, City, State, Zip Code)
Ridgewood Securities Corp., 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

☐ [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)
One World Financial Center, 14th Floor, New York, NY 10281

Name of Associated Broker or Dealer
Royal Alliance & Associates, Inc. #23131

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
SagePoint Financial #133763

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)

VanHouten, Jameson #2771800

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

Stonegate Financial Group, LLC, 7373 N. Scottsdale Road, Suite D-205, Scottsdale, AZ 85253

Name of Associated Broker or Dealer

SagePoint 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)

Hass, Christopher #2657637

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

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)

Jenkins, John L. #1163851

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

3636 Nobel Drive #440, San Diego, CA 92122

Name of Associated Broker or Dealer

Securities America

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)

Thompson, Janice #3034523

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

7676 Hazard Center Drive, Suite 1150, San Diego, CA 92108-4514

Name of Associated Broker or Dealer
Securities America

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)
Wlosek, Ken #1271626

Business or Residence Address (Number and Street, City, State, Zip Code)
16 Sterling Lake Road, Tuxedo Park, NY 10987

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

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Full name (Last name first, if individual)
Kieffer, Thomas #1531908

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

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Full name (Last name first, if individual)
McBarron, Kevin #1282026

Business or Residence Address (Number and Street, City, State, Zip Code)
3091 E. 98th Street, Suite 180, Indianapolis, IN 46280

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)
Nielsen, Steven L. #4184826

Business or Residence Address (Number and Street, City, State, Zip Code)
2444 E. Southern Avenue, #106, Mesa, AZ 85204

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)
Johnson, Joel #1941908

Business or Residence Address (Number and Street, City, State, Zip Code)
100 Great Meadows Road, Suite 502, Wethersfield, CT 06109

Name of Associated Broker or Dealer
Silver Oak 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)
Shafe, Charles #1277113

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

(Check "All States" or check individual States)

☐ All States

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Full name (Last name first, if individual)
Chiu, Martin #1806333

Business or Residence Address (Number and Street, City, State, Zip Code)
10535 Chestnut Street, Los Alamitos, CA 90720

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)

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Full name (Last name first, if individual)

Sevigny, Aaron P. #4314368

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

24850 Burnt Pine Dr, Suite 4-5, Bonita Springs, FL 34134

Name of Associated Broker or Dealer

United Planners 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)

Walters, A. Kirk #1066393

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

1604 Church Street, Layton, UT 84041

Name of Associated Broker or Dealer

United Planners 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)

McKnight, David C. #3026936

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

W67 N222 Evergreen Blvd., Suite 202, Cedarburg, WI 53102

Name of Associated Broker or Dealer

Valmark 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)

Guttman, Barney #832428

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

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

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)

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Full name (Last name first, if individual)

Pierce, Robert A. #363323

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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Full name (Last name first, if individual)

Chalmers, Murray #44138

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

1797 W. State Street, Suite A, Geneva, IL 60134-1003

Name of Associated Broker or Dealer

Waterstone Financial Group

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

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Full name (Last name first, if individual)

Foster, Robert Bruce #1733159

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

R. Bruce Foster Financial Services, Inc., 801 West South Boundary, Suite C, Perrysburg, OH 43551

Name of Associated Broker or Dealer

Waterstone Financial Group

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

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Full name (Last name first, if individual)

Kimmel Jr., Lawrence J. #2984659

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

40W 125 Campton Crossings Drive, Suite A, St. Charles, IL 60175

Name of Associated Broker or Dealer
Waterstone Financial Group

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

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Full name (Last name first, if individual)
Schumann, William C. #1604894

Business or Residence Address (Number and Street, City, State, Zip Code)
Schumann Financial, 214 W. Willow, Suite 100, Wheaton, IL 60187

Name of Associated Broker or Dealer
Waterstone Financial Group

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

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Full name (Last name first, if individual)
Bernier, Michael J. #2250502

Business or Residence Address (Number and Street, City, State, Zip Code)
675 North 1st Street, Suite 150, San Jose, CA 95112

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)

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Full name (Last name first, if individual)
Garcia, Cesar #4389804

Business or Residence Address (Number and Street, City, State, Zip Code)
Financial West Group, 4510 E. Thousand Oaks Blvd., Westlake Village, CA 91362

Name of Associated Broker or Dealer
Western International Securities

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

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Full name (Last name first, if individual)
Harris, William V. #4348386

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

Century Advisors, LLC, Williams Financial Group, 750 East Britton Road, Suite 100, Oklahoma City, OK 73114

Name of Associated Broker or Dealer

WFG Investments Inc.

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

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Full name (Last name first, if individual)

Anderton, Leslie V. #873403

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

4866 Viewmont Street, Holladay, UT 84117

Name of Associated Broker or Dealer

Wilson Davis & Company

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)

Lockhart, James #4415115

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

29 Plantation Park Drive, Suite #803, Bluffton, SC 29910

Name of Associated Broker or Dealer

Woodbury 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]
☐ [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]

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.

Amount Already
Sold

\$ 4,373,483.00

Aggregate
Dollar Amount
of Purchases

3

Dollar Amount
Sold

§

\$ 1,755,000

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."

\$ 13,245,000

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>375,000</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):	☐	\$ _____	☒	\$ <u>12,720,000</u>
.....	☒	\$ <u>150,000</u>	☐	\$ _____
Column Totals.....	☒	\$ <u>525,000</u>	☒	\$ <u>12,720,000</u>
Total Payments Listed (column totals added)				\$ <u>13,245,000</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 Capital Fund IV-C, LLC	Signature 	Date March <u>9</u> , 2009
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 230.252(c), (d), (e) or (f) presently subject to any of the disqualification provisions of such rule? Yes ☐ No ☐

See Appendix, Column 5, for state response. NOT APPLICABLE

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.

NOT APPLICABLE

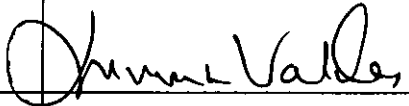
3. The undersigned issuer hereby undertakes to the state administrators, upon written request, information furnished by the issuer to offerees.

NOT APPLICABLE

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.

NOT APPLICABLE

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) Ridgewood Capital Fund IV-C, LLC	Signature 	Date March <u>9</u> , 2009
Name of Signer (Print or Type) Mirna Valdes	Title of Signer (Print or Type) Vice President of the Manager	

END

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.