

# 5122 / 5123 Notification Filing

All fields marked with an \* are mandatory.

## Identify Rule

\* Filing Under:  Rule 5122  Rule 5123

## Participating Member Information

\* Firm Name:  CRD:

\* Contact Name:  \* Contact Title:

\* Email:  Phone:

\* Relationship to Issuer or Sponsor:  Affiliate  Non-Affiliate

Identify any other members participating in the offering upon whose behalf you are submitting an offering document:

### List of Participating Members

Firm Name ▲	Firm CRD	Contact Name	Title	Phone
0 Row(s)				

Add New

## Issuer Information

\* Issuer Name:

\* Contact Name:  \* Title:

\* Street:  \* City:  State:

Postal Code:  \* Country:

Email:  \* Phone:

\* Please provide the issuer CIK Number (when applicable):   No CIK

Based on the information contained in the offering document (or if otherwise known by your firm), please select an industry category for the offered securities:

\* Select the industry:

## Offering Information

- \* Maximum Amount to be Raised (in \$):   Unknown
- \* Anticipated Offering Period:
- \* Commencement Date:   Unknown
- \* Conclusion Date:   Unknown  Continuous
- \* Maximum Sales Commission (% rate):   Unknown
- \* Aggregate amount of any other compensation to registered persons disclosed in the offering document:  \$ Amount  % Rate  Unknown
- \* Stated or Target Rate of Return as disclosed in the offering document (%):   Unknown  Not Applicable
- \* Is the Form D filing information available?  Yes  No
- \* Did your firm use a private placement memorandum in connection with any sales in the offering?  Yes  No

Based on the information contained in the offering document (or if otherwise known by your firm):

- \* Is this a contingency offering?  Yes  No  Unknown
- \* Does the issuer have any independently audited financial statements for the most recent fiscal year?  Yes  No  Unknown
- \* Is the issuer able to use offering proceeds to make or repay loans to, or purchase assets from, any officer, director or executive management of the issuer, sponsor, general partner, manager, advisor or any of the issuer's affiliates?  Yes  No  Unknown
- \* Does the issuer have a board of directors comprised of a majority of independent directors or a general partner that is unaffiliated with the firm?  Yes  No  Unknown
- \* Has the issuer engaged, or do you anticipate that the issuer will engage, in a general solicitation in connection with the offering or sale of the securities?  Yes  No  Unknown
- \* Has the issuer, any officer, director or executive management of the issuer, sponsor, general partner, manager, advisor, or any of the issuer's affiliates been the subject of SEC, FINRA, or state disciplinary actions or proceedings or criminal complaints within the last 10 years?  Yes  No  Unknown

Please enter any additional information you would like to provide to facilitate FINRA's review:

You have 3500 character(s) left.