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FORM D

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

OMB APPROVAL	
OMB Number:	3235-0076
Expires:	April 30, 2008
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FORM D

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

SEC Mail Processing Section

FEB 27 2009

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 A-1 Fund, LLC

Address of Executive Offices (Number and Street, City, State, Zip Code)	Telephone Number (Including Area Code)
947 Linwood Avenue, Ridgewood, NJ 07450	**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)

PROCESSED
MAR 11 2009
THOMSON REUTERS

Brief Description of Business:
To acquire interests in oil and natual gas properties

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

Actual or Estimated Date of Incorporation or Organization: Month 0 2 Year 0 9 ☒ Actual ☐ Estimated

Jurisdiction of Incorporation or Organization: (Enter two-letter U.S. Postal Service abbreviation for State: CN for Canada; FN for other foreign jurisdiction) D E

GENERAL INSTRUCTIONS

Federal:

Who Must File: All issuers making an offering of securities in reliance on an exemption under Regulation D or Section 4(6), 17 CFR 230.501 et seq. or 15 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.

Potential persons who are to respond to the collection of information contained in this for. are not required to respond unless the form displays a currently valid OMB control number.

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 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)

McSherry, Kathleen

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)

Tabor, Greg

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)

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)

Swanson, Matthew

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

947 Linwood Avenue, Ridgewood, NJ 07450

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

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

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 voting, redeemable participating shares)	$ 50,000,000*	$ 0
Total	$ 50,000,000*	$ 0

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

* may be increased to $80,000,000.

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)	☒	$ 4,500,000
Other Expenses (identify) filing fees, miscellaneous operating and marketing costs	☒	$ 1,750,000
Total	☒	$ 6,304,000

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)
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)
Tydings, Bette G.

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.

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

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) ☐ All States

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Full name (Last name first, if individual)
Bellish, George M.

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

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Full name (Last name first, if individual)
Cohen. Peter B.

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

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.

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

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

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Full name (Last name first, if individual)
Kirkpatrick, Katherine

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

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

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Full name (Last name first, if individual)
Stone, Barbara

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

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)
Kunkel, Thomas L.

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]
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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, 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

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Full name (Last name first, if individual)
Gammon, William

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

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Full name (Last name first, if individual)
White, David B.

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

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Full name (Last name first, if individual)
Brown, Alexander P.

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

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Full name (Last name first, if individual)
Cutsforth, Jerry O.

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

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Full name (Last name first, if individual)
Demars, David T.

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)
Jenkins, J. Patrick

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, W. Scott

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

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Full name (Last name first, if individual)
Prybylo, Tom

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

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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
Detwiler Fenton & Co.

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

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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
Detwiler Fenton & Co.

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

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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)
Montgomery, Janet J.

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

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

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

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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

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Full name (Last name first, if individual)
Braverman, Richard M.

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

Name of Associated Broker or Dealer
Geneos Wealth Management

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

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Full name (Last name first, if individual)
Monchik, Samuel R.

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

Name of Associated Broker or Dealer
Geneos Wealth Management

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

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Full name (Last name first, if individual)
Crabb, Andy

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

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.

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

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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

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Full name (Last name first, if individual)
Long, Gregory

Business or Residence Address (Number and Street, City, State, Zip Code)
2295 S. Hiawassee 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

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Full name (Last name first, if individual)
Marcu, Jonathan

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

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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.

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 43950

Name of Associated Broker or Dealer
Huntington Investment Company

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

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Full name (Last name first, if individual)
Kline, Alexander P.

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

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Full name (Last name first, if individual)
Deegan, Emily

Business or Residence Address (Number and Street, City, State, Zip Code)
West 8 Tower, 10205 Westeimer, 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

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Full name (Last name first, if individual)
Etter, Kris

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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Full name (Last name first, if individual)
Harrison, Jason

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

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Full name (Last name first, if individual)
Badar, Taseer

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

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Full name (Last name first, if individual)
Killough, Kraig

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

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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)
Bowlin, Roger W.

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

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Full name (Last name first, if individual)
Ealy, Thomas J

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

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Full name (Last name first, if individual)
Rewerts, Nathan

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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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)
Sherer, Tim J.

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]
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Full name (Last name first, if individual)
Worden, Carl

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

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.

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.Y. Inc. dba)

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

☐ [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.

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

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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)
Gertge, Terrell

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

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Full name (Last name first, if individual)
Walter, Merle 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

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

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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)
Anderson, Lynne A.

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.

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

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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

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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

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)
Blasser, Clint

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

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Full name (Last name first, if individual)
Harkavy, Lawrence

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

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

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Full name (Last name first, if individual)
Lines, Roy C.

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

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Full name (Last name first, if individual)
Sauder, Clair

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

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

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

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

☐ [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, Ryan C.

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

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

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

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

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.

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

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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)
Walker, Robert C.

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

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

Business or Residence Address (Number and Street, City, State, Zip Code)
11379 Notte 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

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.

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

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)
Van Houten, Jameson

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

☐ [AL]	☐ [AK]	☒ [AZ]	☐ [AR]	☐ [CA]	☐ [CO]	☐ [CT]	☐ [DE]	☐ [DC]	☐ [FL]	☐ [GA]	☐ [HI]	☐ [ID]
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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

(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)
Jenkins, John L.

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

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

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

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

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

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) ☐ 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)
McBarron, Kevin

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

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

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

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

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

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

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

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

Business or Residence Address (Number and Street, City, State, Zip Code)
10535 Chestnut Street, Loa 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) ☐ All States

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Full name (Last name first, if individual)
Sevigny, Aaron P.

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

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

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Full name (Last name first, if individual)
Walters, A. Kirk

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

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

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Full name (Last name first, if individual)
McKnight, David C.

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

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

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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, 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) ☐ 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)
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

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

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Full name (Last name first, if individual)
Chalmers, Murray

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

(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)
Foster, Robert Bruce

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

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

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Full name (Last name first, if individual)
Kimmel Jr., Lawrence J.

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

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

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

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.

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) ☐ All States

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

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.

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

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

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Full name (Last name first, if individual)
Anderton, Leslie V.

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

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

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Full name (Last name first, if individual)
Lockhart, James

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

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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." $ **43,696,000**

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	☒ $ **2,250,000**	☐ $
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): **to acquire interests in oil and gas properties, drilling and development costs**	☐ $	☒ $ **40,196,000**
reserve for administrative overhead	☒ $ **1,250,000**	
Column Totals	☒ $ **3,500,000**	☒ $ **40,196,000**
Total Payments Listed (column totals added)	☒ **$43,696,000**	

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)	Signature	Date
Ridgewood Energy A-1 Fund, LLC		**February 24, 2009**
Name of Signer (Print or Type)	Title of Signer (Print or Type)	
Mirna Valdes	**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

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

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 A-1 Fund, LLC		**February 24, 2009**
Name (Print or Type)	Title (Print or Type)	
Mirna Valdes	**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.