



PRIVATE SECURITIES TRANSACTION REQUEST
FINRA RULE 3280

NOTE: This form is to be used for requesting participation in a private securities transaction as defined by FINRA Rule 3280. The form should be completed by the RR, and submitted to Compliance for review and approval.

1. Describe the nature of the private securities transaction (real estate partnership, limited partnership, etc.)
2. Describe your participation in this transaction (finder, employee, seller of securities, etc.)
3. Identify the name of the company/entity with whom you will engage in this transaction.
4. Describe what compensation you will receive for your participation.
5. How will potential investors/participants be contacted, and will you be involved?
6. Will customers of the Firm be potential investors/participants in this transaction?

Date: Your office/branch:
Your name (printed): Signature:

E-mail form to: compliance@coastal-one.com

For Compliance use only:

Will the Firm be required to record the transaction on the Firm's books and records? YES NO
If YES, indicate who is responsible/how this will be accomplished and who will supervise the transaction:

Date: Approved Disapproved Compliance signature:

If approved, memo sent to supervisor outlining supervision to be conducted: Date sent