

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. "Private securities transaction" is defined as any securities transaction outside the regular course or scope of an associated person's employment with a FINRA member. This does not include outside accounts subject to FINRA Rule 3050; transactions among immediate family members for which the associated person does not receive selling compensation; and personal transactions in investment company and variable annuity securities. Compensation includes direct or indirect compensation in any form including, but not limited to, commissions, finder's fees, rights to acquire securities, rights to participate in profits, tax benefits, or dissolution proceeds, or expense reimbursements.

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?YESNO				
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				

(888) 657-5200 • 1201 North Orange Street • Suite 729 • Wilmington, DE 19801 • www.Coastal-One.com