1229821

FORM D



03057311

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

UNIFORM LIMITED OFFERING EXEMP

FORM D SECEINEL

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

Expires: May 31, 2005 Estimated average burden hours per response......16.00

3235-0076

OMB APPROVAL

OMB Number:

SEC USE ONLY Prefix Serial DATE RECEIVED

Name of Offering ( check if this is an amendment and name has changed, and indicate	e change.)
Customer Portfolios, LLC sale of membership interests	<u> </u>
Filing under (Check box(es) that apply):  ☐ Rule 504 ☐ Rule 505 ☐ Rule 506	☐ Section 4(6) ☐ ULOPPOCECE
Type of Filing:   New Filing  Amendment	NA CENSE
A. BASIC IDENTIFICATION DATA	ADD
Enter the information requested about the issuer	/ APR 3 0 2003
Name of Issuer ( check if this is an amendment and name has changed, and indica	te change.)
Customer Portfolios, LLC	HOMSON
Address of Executive Offices (Number and Street, City, State, Zip Code)	Telephone Number (Including Area Code)
P.O. Box 2310, S. Hamilton, MA 01982	617-803-6720
Address of Principal Business Operations (Number and Street, City, State, Zip Code)	Telephone Number (Including Area Code)
same as above	same as above
Brief Description of Business	
direct marketing company	
Type of Business Organization	
☐ corporation ☐ limited partnership, already formed ☐ other	er (please specify): limited liability company
☐ business trust ☐ limited partnership, to be formed	
MONTH YEAR	
Actual or Estimated Date of Incorporation or Organization:  0 9 0 1	Actual
Jurisdiction of Incorporation or Organization: (Enter two-letter U.S. Postal Service abbrev	viation for State:
CN for Canada; FN for other foreign jurisdic	

## 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 seg. 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.

Α.	BA	SIC	CI	DEI	٧T	IFI	CA.	TION	DATA	
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- 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;

issuers; and	ers and or corporate general	managing partner	s or parmership
Each general and managing partnership of partnersh	nip issuers.		
Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner	☐ Executive Officer	Director	☐ General and/or Managing Partner
Full Name (Last name first, if individual)			
Innovier Mark			
Janowicz, Mark  Business or Residence Address (Number and Street, City, State, 2	Zip Code)		<u></u>
P.O. Box 2310	S. Hamilton	MA	01982
Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner	Executive Officer	Director	General and/or Managing Partner
Full Name (Last name first, if individual)			
Sheldon, John Business or Residence Address (Number and Street, City, State, 2	Zip Code)		
·			04000
P.O. Box 2310  Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner	S. Hamilton  Executive Officer	MA  Director	01982 ⊠ General and/or
			Managing Partner
Full Name (Last name first, if individual)			
MacCurrach, Augie Business or Residence Address (Number and Street, City, State, 2	Zip Code)	· · · · · · · · · · · · · · · · · · ·	
P.O. Box 2310	S. Hamilton	MA	01982
Check Box(es) that Apply: Promoter Beneficial Owner	☐ Executive Officer	Director	General and/or
			Managing Partner
Full Name (Last name first, if individual)			
Business or Residence Address (Number and Street, City, State, 2	Zip Code)	· · · · · · · · · · · · · · · · · · ·	
Check Box(es) that Apply: Promoter Beneficial Owner	☐ Executive Officer	Director	General and/or Managing Partner
Full Name (Last name first, if individual)	<del> </del>		
Business or Residence Address (Number and Street, City, State, 2	Zip Code)		
Check Box(es) that Apply:  Promoter Beneficial Owner	☐ Executive Officer	Director	General and/or Managing Partner
Full Name (Last name first, if individual)		· · · · · · · · · · · · · · · · · · ·	
Business or Residence Address (Number and Street, City, State, 2	Zip Code)		

B. INFORMATION ABOUT OFFERING											
Has the issuer sold, or does the issuer intend to sell, to non-accredited investors in this offering?	Yes	No									
2. What is the minimum investment that will be accepted from any individual?											
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 purchases 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)											
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 Stat	tes									
(IL)	[HI]	[ID]									
Full Name (Last name first, if individual)											
Business or Residence Address (Number and Street, City, State, Zip Code)	<u> </u>										
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 St	tates									
[IL] [] [IN] [] [IA] [] [KS] [] [KY] [] [LA] [] [MÉ] [] [MD] [] [MA] [] [MI] [] [MN] [] [ [MT] [] [NE] [] [NV] [] [NH] [] [NJ] [] [NM] [] [NY] [] [NC] [] [ND] [] [OH] [] [OK] [] [	[HI]	[ID]									
Full Name (Last name first, if individual)	<u>,,,,, —,                               </u>	<u> </u>									
Business or Residence Address (Number and Street, City, State, Zip Code)											
Edulinoso of Mediaense Marioes (Marioes and educet, etc) , educe, elp educy											
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 St	ates									
[AL] D [AK] D [AZ] D [AR] D [CA] D [CO] D [CT] D [DE] D [DC] D [FI] D [GA] D [MA] D [M	[HI] [HI]										
[MŤ]	[MS]   [OR]   [WY]	[MO]									
(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 \( \sqrt{} \) and

Indicate in the columns below the amounts of the securities offered for exchange and already exchanged. Amount Already Aggregate Type of Security Offering Price Sold Debt ..... 0 Equity 0 0 ☐ Common ☐ Preferred 0 Partnership Interests..... 0 0 100,000.00 \$ 30,000.00 100,000.00 30,000.00 Answer also in Appendix, Column 3, if filing under ULOE. 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 Aggregate the number of persons who have purchased securities and the aggregate dollar amount of their Number of **Dollar Amount** purchases on the total lines. Enter "0" if answer is "none" or "zero." Investors of Purchases 10,000.00 2 20,000.00 3 30,000.00 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 Dollar Amount Type of Offering Security Sold 0 \_\_\_\_0 0 0 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. ...... \$ \_\_\_\_ Printing and Engraving Costs..... . . . .. . . . . . . . . . . . . . . .. . . . . . . . . . . . . . .. . . . . . . . . . \$ .... . . . . . . . . . . . . \$ Other Expenses (identify) \_\_\_ 

	C. OFFERING PRIC	E, NUMBER OF INVESTORS, EXPENSES AND	USE O	PROCEEDS	<del></del>
	b. Enter the difference between the aggr	egate offering price given in response to Part C- C	lues-	r.NOCLLDO.	
		sponse to Part C - Question 4.a. This difference is er."			
	and daylotted group proceeds to ano tool		,		\$ <u>100,000</u>
5.	for each of the purposes shown. If the amo	gross proceeds to the issuer used or proposed to be ount for any purpose is not known, furnish an estimate ne total of the payments listed must equal the adjuste sponse to Part C- Question 4.b. above.	e and		
				Payments to Officers.	4
		•		Directors, & Affiliates	Payments To Others
	Salaries and fees			5	□ \$
	Purchase of real estate			S	<b>\$</b>
	Purchase, rental or leasing and in	stallation of machinery and equipment		5	<b>\$</b>
	Construction or leasing of plant bu	ildings and facilities		<u> </u>	<b>\$</b>
	offering that may be used in excha	ding the value of securities involved in this nge for the assets or securities of another		\$	s
	Repayment of indebtedness			5	<b>\$</b>
	Working capital			<b></b>	<b>\$</b>
	Other (specify): Limited liability cor	npany units of interest		S	<b>⊠</b> \$ 100,000
			-		<b>~</b> •
		<del></del>	· [] ;	<b></b>	\$
	Column Totals			<u> </u>	X \$ 100,000
	Total Payments Listed (column tot	als added)		\$ <u>100,000</u>	
		D. FEDERAL SIGNATURE			
fo	llowing signature constitutes an undertaki	e signed by the undersigned duly authorized persong by the issuer to furnish to the U.S. Securities are by the issuer to any non-accredited investor purs	nd Exch	ange Commissio	n, upon written
Is	suer (Print or Type)	Signature	Date		
С	ustomer Portfolios, LLC	Mah Dal	Decemb	er 4, 2002	
N	ame of Signer (Print or Type)	Title of Signer (Print or Type)	<del></del> -		
M	ark Janowicz	Manager and Member			

ATTENTION

	E. STATE SIGNATURE			
Is any party described in 17 CFR 230.2 of such rule?	62 presently subject to any disqu	ualification provisions	Yes	No ⊠
	See Appendix, Column 5, for state response.			
2. The undersigned issuer hereby undertake Form D (17 CFR 239.500) at such times	es to furnish to any state administrator of any s as required by state law.	tate in which this notice is	filed, a r	notice on
The undersigned issuer hereby undertake issuer to offerees.	es to furnish to the state administrators, upon v	vritten request, informatior	n furnishe	ed by the
Limited Offering Exemption (ULOE) of th	ne issuer is familiar with the conditions that mu e state in which this notice is filed and underst blishing that these conditions have been satisfi	ands that the issuer claimi		
The issuer has read this notification and known undersigned duly authorized person.	ws the contents to be true and has duly cause	d this notice to be signed of	on its bel	nalf by the
Issuer (Print or Type)	Signature	Date		
Customer Portfolios, LLC	Malita	December 4, 2002		
Name (Print or Type)	Title (Print or Type)			
Mark Janowicz	Manager and Member			

Manager and Member

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

**APPENDIX** 

1	Intend to n accre invest Sta (Part B	to sell on- dited ors in	Type of security and aggregate offering price offered in State (Part C-Item 1)	Type of investor and amount purchased in State (Part C-Item 2)  Number of Number of Non-					5 Disqualification under State ULOE (if yes, attach explanation of waiver granted) (Part E-Item 1)		
State	Yes	No	Membership Units	Accredited Investors	Amount	Accredited Investors	Amount	Yes	No		
AL											
AK			<u> </u>								
AZ											
AR							· · · · · · · · · · · · · · · · · · ·				
CA											
со	<u> </u>										
СТ	···········						· 				
DE											
DC											
FL	X					1	\$10,000.00				
GA											
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IA			<del>.</del>			]					
KS			· · · · · · · · · · · · · · · · · · ·				<u>.                                    </u>				
KY											
LA ME											
MD			· · · · · · · · · · · · · · · · · · ·								
MA	X		· · · · · · · · · · · · · · · · · · ·			1	\$10,000.00				
MI							+ . 5,000.00				
MN											
MS											
МО											

**APPENDIX** 2 3 4 Intend to sell Disqualification under State ULOE to non-Type of security (if yes, attach and aggregate accredited Type of investor and offering price explanation of investors in offered in State amount purchased in State waiver granted) State (Part C-Item 1) (Part E-Item 1) (Part B-Item1) (Part C-Item 2) Number of Number of Non-**Accredited Accredited** State Yes No **Membership Units** Investors Amount Investors **Amount** Yes No MT NE NV NH NJ Х 1 \$10,000.00 NM NY NC ND  $\mathsf{OH}$ OK OR PΑ RI SC SD TN TX UT VT VA WA WV WI WY PR