### FORM D



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

#### FORM D

# NOTICE OF SALE OF SECURITIES PURSUANT TO REGULATION D, SECTION 4(6), AND/OR UNIFORM LIMITED OFFERING EXEMPTION

| OMB Approval       |              |  |  |  |  |  |
|--------------------|--------------|--|--|--|--|--|
| OMB Number:        | 3235-0076    |  |  |  |  |  |
| Expires:           | May 31, 2005 |  |  |  |  |  |
| Estimated average  | • •          |  |  |  |  |  |
| hours per response |              |  |  |  |  |  |

SEC USE ONLY

DATE RECEIVED

Serial

Prefix

|   |  | I'I' PA                               |  |  |  |  |  |  |  |
|---|--|---------------------------------------|--|--|--|--|--|--|--|
| Name of Offering ( check if this is an amendment and Offering of units of membership interest in Clanco Capital A | name has changed, and indicate change.) ppreciation Fund LLC   | A RECEIVED COMO                       |  |  |  |  |  |  |  |
| Filing Under (Check box(es) that apply):   Rule 504   | ☐ Rule 505   | Section 4(6) /E ULOE nonity           |  |  |  |  |  |  |  |
| Type of Filing: New Filing  |  | Section 4(6)  ALIGO (L. 2007)         |  |  |  |  |  |  |  |
|   | A. BASIC IDENTIFICATION DATA   |                                       |  |  |  |  |  |  |  |
| 1. Enter the information requested about the issuer   |  | 200/3                                 |  |  |  |  |  |  |  |
| Name of Issuer ( check if this is an amendment and  | name has changed, and indicate change.)  |                                       |  |  |  |  |  |  |  |
| Clanco Capital Appreciation Fund (NQ) LLC   | -  |                                       |  |  |  |  |  |  |  |
| Address of Executive Offices (Number and Street, City, State, Zip Code)  Telephone Number (Including Area Code)   |  |                                       |  |  |  |  |  |  |  |
| 30195 Chagrin Blvd., Suite 250, Pepper Pike, OH 44124   | The control of the co |                                       |  |  |  |  |  |  |  |
| Address of Principal Business Operations (Number and Street (if different from Executive Offices)                 | t, City, State, Zip Code)  | Captione Number (Including Area Code) |  |  |  |  |  |  |  |
| Brief Description of Business   | ( MUD 0 6  | 2007                                  |  |  |  |  |  |  |  |
| Investment holding company  | THOMAS   | 741                                   |  |  |  |  |  |  |  |
| Type of Business Organization   | FINANCI  | A)                                    |  |  |  |  |  |  |  |
| ☐ corporation ☐   | imited partnership, aiready formed   | other (please specify):               |  |  |  |  |  |  |  |
| business trust  | limited partnership, to be formed  | limited liability company             |  |  |  |  |  |  |  |
|   | Month  | Year                                  |  |  |  |  |  |  |  |
| Actual or Estimated Date of Incorporation or Organization:  | 0 1 0  | 5 Actual Estimated                    |  |  |  |  |  |  |  |
| Jurisdiction of Incorporation or Organization: (Enter two-lets  | risdiction of Incorporation or Organization: (Enter two-letter U.S. Postal Service abbreviation for State;   |                                       |  |  |  |  |  |  |  |
| CN for Canada: FN for other foreign jurisdiction) O H   |  |                                       |  |  |  |  |  |  |  |

#### **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 form are not required to respond unless the form displays a currently valid OMB control number.

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#### A. BASIC IDENTIFICATION DATA 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. ☐ Beneficial Owner ☐ Executive Officer Director Manager Manager Check Box(es) that Apply: Promoter Full Name (Last name first, if individual) CMC Investor Services LLC Business or Residence Address (Number and Street, City, State, Zip Code) 30195 Chagrin Blvd., Suite 250, Pepper Pike, OH 44124 Check Box(es) that Apply: Promoter ☐ Beneficial Owner ☐ Executive Officer Director ☑ Investment Manager Full Name (Last name first, if individual) Clanco Management Corp. Business or Residence Address (Number and Street, City, State, Zip Code) 30195 Chagrin Blvd., Suite 250, Pepper Pike, OH 44124 ☐ Beneficial Owner ☐ Executive Officer General and/or Check Box(es) that Apply: Promoter Director Managing Partner Full Name (Last name first, if individual) Wert, James W. Business or Residence Address (Number and Street, City, State, Zip Code) 30195 Chagrin Blvd., Suite 250, Pepper Pike, OH 44124 Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☐ Executive Officer General and/or Director Managing Partner Full Name (Last name first, if individual) Smorag, Douglas J. Business or Residence Address (Number and Street, City, State, Zip Code) 30195 Chagrin Blvd., Suite 250, Pepper Pike, OH 44124 Check Box(es) that Apply: Promoter ☐ Beneficial Owner Executive Officer Director General and/or Managing Partner Full Name (Last name first, if individual) Kohl, John E. Business or Residence Address (Number and Street, City, State, Zip Code) 30195 Chagrin Blvd., Suite 250, Pepper Pike, OH 44124 ☐ Beneficial Owner ☐ Executive Officer Check Box(es) that Apply: Promoter Director General Partner Full Name (Last name first, if individual) Batt, John Paul Business or Residence Address (Number and Street, City, State, Zip Code) 30195 Chagrin Blvd., Suite 250, Pepper Pike, OH 44124 Check Box(es) that Apply: ☐ Promoter ☐ Beneficial Owner ☐ Executive Officer Director General Partner Full Name (Last name first, if individual) Taylor, Sally A. Business or Residence Address (Number and Street, City, State, Zip Code)

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30195 Chagrin Blvd., Suite 250, Pepper Pike, OH 44124

|  | A. BASIC IDENTIFICATION DATA |                            |                   |          |                                      |  |  |  |  |  |  |
|--|------------------------------|----------------------------|-------------------|----------|--------------------------------------|--|--|--|--|--|--|
| <ul> <li>Enter the information requested for the following:</li> <li>Each promoter of the issuer, if the issuer has been organized within the past five years;</li> <li>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;</li> <li>Each executive officer and director of corporate issuers and of corporate general and managing partners of partnership issuers; and</li> <li>Each general and managing partner of partnership issuers.</li> </ul> |                              |                            |                   |          |                                      |  |  |  |  |  |  |
| Check Box(es) that Apply:  | Promoter                     | ☐ Beneficial Owner         | Executive Officer | Director | ☐ General and Managing Partner       |  |  |  |  |  |  |
| Full Name (Last name first, it<br>Anderson, Allan Chace  |                              |                            |                   |          |                                      |  |  |  |  |  |  |
| Business or Residence Addre<br>30195 Chagrin Blvd., Suite 2  |                              |                            | ode)              |          |                                      |  |  |  |  |  |  |
| Check Box(es) that Apply:  | Promoter                     | Beneficial Owner           | Executive Officer | Director | General and Managing Partner         |  |  |  |  |  |  |
| Full Name (Last name first, it Eleanor F. Anderson UGMA,   | ,                            | rson, Custodian            |                   |          |                                      |  |  |  |  |  |  |
| Business or Residence Addre  | ss (Number and S             | Street, City, State, Zip C | ode)              |          |                                      |  |  |  |  |  |  |
| Check Box(es) that Apply:  | Promoter                     | Beneficial Owner           | Executive Officer | Director | ☐ General and/or<br>Managing Partner |  |  |  |  |  |  |
| Full Name (Last name first, it   | f individual)                |                            |                   |          |                                      |  |  |  |  |  |  |
| Business or Residence Addre  | ss (Number and S             | Street, City, State, Zip C | ode)              |          |                                      |  |  |  |  |  |  |
| Check Box(es) that Apply:  | Promoter                     | Beneficial Owner           | Executive Officer | Director | General and/or Managing Partner      |  |  |  |  |  |  |
| Full Name (Last name first, in   | f individual)                |                            |                   |          |                                      |  |  |  |  |  |  |
| Business or Residence Addre  | ss (Number and S             | Street, City, State, Zip C | ode)              |          | ·                                    |  |  |  |  |  |  |
| Check Box(es) that Apply:  | Promoter                     | Beneficial Owner           | Executive Officer | Director | General and/or Managing Partner      |  |  |  |  |  |  |
| Full Name (Last name first, it   | f individual)                |                            |                   |          |                                      |  |  |  |  |  |  |
| Business or Residence Addre  | ss (Number and S             | Street, City, State, Zip C | ode)              |          |                                      |  |  |  |  |  |  |
| Check Box(es) that Apply:  | Promoter                     | Beneficial Owner           | Executive Officer | Director | General and/or Managing Partner      |  |  |  |  |  |  |
| Full Name (Last name first, i  | f individual)                |                            |                   |          |                                      |  |  |  |  |  |  |

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

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

Promoter

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

☐ Beneficial Owner ☐ Executive Officer

☐ Director

☐ General and/or

Managing Partner

Check Box(es) that Apply:

Full Name (Last name first, if individual)

| B. INFORMATION ABOUT OFFERING              |  |            |              |              |              |              |        |              |              |              |              |              |              |            |  |
|--|--|------------|--------------|--------------|--------------|--------------|--------|--------------|--------------|--------------|--------------|--------------|--------------|------------|--|
| 1.   | Has the issuer sold or does the issuer intend to sell, to non-accredited investors in this offering?   |            |              |              |              |              |        |              |              |              | 1g?          | Yes          | No<br>⊠      |            |  |
| 2.   | 2. What is the minimum investment that will be accepted from any individual?   |            |              |              |              |              |        |              |              | \$ 5,000     | <u>)</u>     |              |              |            |  |
| 3.   |  |            |              |              |              |              |        |              |              |              |              | Yes<br>⊠     | No           |            |  |
|  | 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. None |            |              |              |              |              |        |              |              |              |              |              |              |            |  |
| Full Name (Last name first, if individual) |  |            |              |              |              |              |        |              |              |              |              |              |              |            |  |
| Busi                                       | Business or Residence Address (Number and Street, City, State, Zip Code)   |            |              |              |              |              |        |              |              |              |              |              |              |            |  |
| Nan  | ne of As   | socia      | ted Bro      | oker or      | Dealer       | •            |        |              |              |              |              |              |              |            |  |
|  | States in Which Person Listed Has Solicited or Intends to Solicit Purchasers (Check "All States" or check individual States)   |            |              |              |              |              |        |              |              |              |              |              |              |            |  |
| <b>[</b> A                                 | -  | AK]        | [AZ]         | [AR]         | [CA]         | [CO]         | [CT]   | [DE]         | [DC]         | [FL]         | [GA]         | [HI]         | [ID]         |            |  |
| [1]  |  | IN]        | [IA]         | [KS]         | [KY]         | [LA]         | [ME]   | [MD]         | [MA]         | [MI]         | [MN]         | [MS]         | [MO]         |            |  |
| (M<br>(R                                   |  | NE]<br>SC] | [NV]<br>[SD] | [NH]<br>[TN] | [LN]<br>[TX] | [NM]<br>{UT] | [VT]   | [NC]<br>[VA] | (ND)<br>[WA] | [OH]<br>[WV] | [OK]<br>[WI] | [OR]<br>[WY] | (PA)<br>(PR) |            |  |
|  | Name (   |            | - •          |              |              |              | [4.1   | [VA]         | [HA]         | [,,,,]       | [***)        | [***)        | рчу          |            |  |
|  |  |            |              |              |              |              |        |              |              |              |              |              |              |            |  |
| Busi                                       | iness or   | Resid      | dence A      | Address      | s (Num       | ber and      | Street | , City, S    | State, Z     | ip Cod       | e)           |              |              |            |  |
| Nan  | ne of As   | socia      | ted Bro      | oker or      | Dealer       |              |        |              |              |              |              |              |              |            |  |
|  | es in Wl   |            |              |              |              |              |        |              |              |              |              |              |              | All States |  |
| `<br>[A                                    |  | 4K]        | [AZ]         | [AR]         | [CA]         | [CO]         | [CT]   | [DE]         | [DC]         | [FL]         | [GA]         | [HI]         | [ID]         |            |  |
| [11  | .] [   | [N]        | [IA]         | [KS]         | [KY]         | [LA]         | [ME]   | [MD]         | [MA]         | [MI]         | [MN]         | [MS]         | [MO]         |            |  |
| [M   | T] [1  | NE]        | [NV]         | [NH]         | [NJ]         | [NM]         | [NY]   | [NC]         | [ND]         | [OH]         | [OK]         | [OR]         | [PA]         |            |  |
| [R   | -  | scj        | [SD]         | [TN]         | [TX]         | [UT]         | [VT]   | [VA]         | [WA]         | [WV]         | [WI]         | [WY]         | [PR]         | <br>       |  |
| Full                                       | Name (   | Last       | name f       | īrst, if     | individ      | ual)         |        |              |              |              |              | _            |              |            |  |
| Busi                                       | iness or   | Resi       | dence A      | Addres       | s (Num       | ber and      | Street | City, S      | State, Z     | ip Cod       | e)<br>       |              |              |            |  |
| Nam  | ne of As   | socia      | ted Bro      | oker or      | Dealer       |              |        |              |              |              |              |              |              |            |  |
|  | es in Wi<br>eck "All   |            |              |              |              |              |        |              |              |              |              |              |              | All States |  |
| [A   | L] [/  | AK]        | [AZ]         | [AR]         | [CA]         | [CO]         | [CT]   | [DE]         | [DC]         | (FL)         | [GA]         | [HI]         | [ID]         |            |  |
| [11]                                       |  | IN]        | [IA]         | [KS]         | [KY]         | [LA]         | [ME]   | [MD]         | [MA]         | [MI]         | [MN]         | [MS]         | [MO]         |            |  |
| [M   | -  | NE]        | [NV]         | [NH]         | [NJ]         | [MM]         | [NY]   | [NC]         | [ND]         | [OH]         | [OK]         | [OR]         | [PA]         |            |  |
| [R   | ] [  | SC]        | [SD]         | [NT]         | [TX]         | [UT]         | [YT]   | [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. | already sold. Enter "0" if answer is "none" or "zero". If the transaction is an exchange offering, check this box $\square$ and indicate in the column below the amounts of the securities offered for exchange and already exchanged.  |          |                             |            |  |
|----|---|----------|-----------------------------|------------|--|
|    | Type of Security  |          |                             |            |  |
|    |   |          | Aggregate<br>Offering Price | A          | mount Already<br>Sold                  |
|    | Debt  | \$_      |                             | \$         |  |
|    | Equity  | \$_      |                             | \$         |  |
|    | ☐ Common ☐ Preferred  |          |                             |            |  |
|    | Convertible Securities (including warrants)   | <b>S</b> |                             | \$         |  |
|    | Partnership Interests   | \$_      |                             | <b>\$_</b> |  |
|    | Other (specify) units of membership interest  | \$       | 3,356,304                   | \$         | 3,356,304                              |
|    | Total   | \$       | 3,356,304                   | \$         | 3,356,304                              |
|    | 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 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<br>Investors         |            | Aggregate  Oollar Amount  of Purchases |
|    | Accredited Investors  |          | 7                           | \$         | 3,356,304                              |
|    | Non-accredited Investors  |          | <u> </u>                    | \$         | 0                                      |
|    | Total (for filings under Rule 504 only)   |          | N/A                         | \$_        | N/A                                    |
|    | 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                     | Ι          | Dollar Amount                          |
|    | D 1 404   |          | Security                    | _          | Sold                                   |
|    | Rule 505  | _        | N/A                         | <b>\$_</b> | 0                                      |
|    | Regulation A  | _        | N/A                         | \$_        | 0                                      |
|    | Rule 504  | _        | <u>N/A</u>                  | \$_        |  |
|    | Total   | _        | N/A                         | \$         |  |
| 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   |          |                             | \$         | 0                                      |
|    | Printing and Engraving Costs  |          | $\boxtimes$                 | \$         | 2,000                                  |
|    | Legal Fees  |          | $\boxtimes$                 | \$         | 200                                    |
|    | Accounting Fees   |          |                             | \$_        | 0                                      |
|    | Engineering Fees  |          |                             | \$_        | 0                                      |
|    | Sales Commissions (Specify finder's fees separately)  |          |                             | \$_        | 0                                      |
|    | Other Expenses (identify)   |          |                             | \$_        | 0                                      |
|    | Total   |          | $\boxtimes$                 | \$         | 2,200                                  |
|    |   |          |                             |            |  |

|     | C. OFFERING PRICE, N  | UMBER OF INVESTORS, EXPI  | ENSES ANI                   | USE OF                       | PROCEED                              | S  |  |  |  |
|-----|---|---|-----------------------------|------------------------------|--------------------------------------|--|--|--|--|
|     | 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."  \$ 3,354,104 |   |                             |                              |                                      |  |  |  |  |
| 5.  | Indicate below the amount of the adjusted gross for each of the purposes shown. If the amount and check the box to the left of the estimate. adjusted gross proceeds to the issuer set forth in   | for any purpose is not known, furnish<br>The total of the payments listed mus | an estimate<br>st equal the |                              |                                      |  |  |  |  |
|     |   |   |                             | Of<br>Dire                   | ments to fficers, ectors, & filiates | Payments To<br>Others                              |  |  |  |
|     | Salaries and fees   |   |                             | \$                           |                                      | \$   |  |  |  |
|     | Purchase of real estate   |   |                             | \$                           |                                      | \$   |  |  |  |
|     | Purchase, rental or leasing and installation of   | machinery and equipment   |                             | \$                           | 🗆                                    | \$   |  |  |  |
|     | Construction or leasing of plant buildings and  | d facilities  |                             | \$                           | 🗆                                    | \$   |  |  |  |
|     | Acquisition of other businesses (including the offering that may be used in exchange for the pursuant to a merger)  | assets or securities of another issuer  |                             | ¢                            | . 🗆                                  | ¢  |  |  |  |
|     | Repayment of indebtedness   |   |                             | J                            |                                      | <b>5</b>   |  |  |  |
|     | Working capital (to be called as needed)  |   |                             | J                            |                                      | \$   |  |  |  |
|     |   |   |                             | <b>3</b>                     | ⊔                                    | <b>a</b>   |  |  |  |
|     | Other (specify) Purchase of investments   |   |                             | \$                           | 🛛                                    | \$ 3,354,104                                       |  |  |  |
|     |   |   |                             | Ψ                            |                                      | Ψ <u>3,334,104</u>                                 |  |  |  |
|     | Column Totals   |   |                             | \$                           | 🛛                                    | \$ 3,354,104                                       |  |  |  |
|     | Total Payments Listed (column totals added)   |   |                             | <b>□</b> \$ <u>3,354,104</u> |                                      |  |  |  |  |
|     |   | D. FEDERAL SIGNATUR   | RE                          |                              |                                      |  |  |  |  |
| sig | e issuer has duly caused this notice to be signed<br>mature constitutes an undertaking by the issuer of<br>formation furnished by the issuer to any non-accre   | to furnish to the U.S. Securities and I                                       | Exchange Cor                | nmission, uj                 | iled under Ru<br>oon written r       | ule 505, the following<br>equest of its staff, the |  |  |  |
| Iss | suer (Print or Type)  | Signature MD  |                             | Date                         |                                      |  |  |  |  |
| Cl  | anco Capital Appreciation Fund (NQ) LLC   | 4/1/2001  |                             | 7/25/                        | Z007<br>                             |  |  |  |  |
| Na  | ume of Signer (Print or Type)   | Title of Signer (Print or Type)   |                             |                              |                                      |  |  |  |  |
| Jol | hn Paul Batt  | Vice President of Clanco Management Corp., the Investment Manager             |                             |                              |                                      |  |  |  |  |
|     |   |   |                             |                              |                                      |  |  |  |  |
|     |   |   |                             |                              |                                      |  |  |  |  |
|     |   |   |                             |                              |                                      |  |  |  |  |
|     |   |   |                             |                              |                                      |  |  |  |  |
|     |   |   |                             |                              |                                      |  |  |  |  |
|     |   |   |                             |                              |                                      |  |  |  |  |
|     |   | ATTENTION   |                             |                              |                                      |  |  |  |  |

Intentional misstatements or omissions of fact constitute federal criminal violations. (See 18 U.S.C. 1001.)

| • `  | E. STATE SIGNATURE  |  |               |     |         |  |  |  |  |  |  |
|--|---|--|---------------|-----|---------|--|--|--|--|--|--|
| 1.   | Is any party described in 17 CFR 230.262 preser   | atly subject to any of the disqualification provisions | of such rule? | Yes | No<br>⊠ |  |  |  |  |  |  |
|  | 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 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 persons. |   |  |               |     |         |  |  |  |  |  |  |
| Issu   | ssuer (Print or Type)  Signature  Date  |  |               |     |         |  |  |  |  |  |  |
| Cla  | nco Capital Appreciation Fund (NQ) LLC  | (NV12V) 1/cs/cav                                       |               |     |         |  |  |  |  |  |  |
| Nan  | ame of Signer (Print or Type)  Time of Signer (Print or Type)   |  |               |     |         |  |  |  |  |  |  |

Vice President of Clanco Management Corp., the Investment Manager

## **END**

#### Instruction:

John Paul Batt

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.