

**United States Bankruptcy Court
Central District of California**
Voluntary Petition

Name of Debtor (if individual, enter Last, First, Middle): Harrington West Financial Group, Inc.	Name of Joint Debtor (Spouse) (Last, First, Middle):
All Other Names used by the Debtor in the last 8 years (include married, maiden, and trade names):	All Other Names used by the Joint Debtor in the last 8 years (include married, maiden, and trade names):
Last four digits of Soc. Sec. or Individual-Taxpayer I.D. (ITIN)/Complete EIN (if more than one, state all): 48-1175170	Last four digits of Soc. Sec. or Individual-Taxpayer I.D. (ITIN)/Complete EIN (if more than one, state all):
Street Address of Debtor (No. & Street, City, and State): 460 Alisal Rd. Solvang, CA 93463 <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-top: 5px;"> ZIP CODE 93463-0000 </div>	Street Address of Joint Debtor (No. & Street, City, and State): <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-top: 5px;"> ZIP CODE </div>
County of Residence or of the Principal Place of Business: Santa Barbara	County of Residence or of the Principal Place of Business:
Mailing Address of Debtor (if different from street address): PO Box 442 Solvang, CA 93464 <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-top: 5px;"> ZIP CODE 93464-0000 </div>	Mailing Address of Joint Debtor (if different from street address): <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-top: 5px;"> ZIP CODE </div>

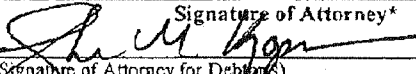
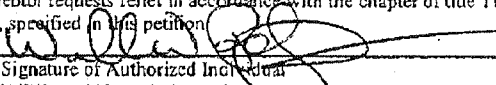
Location of Principal Assets of Business Debtor (if different from street address above):

Type of Debtor (Form of Organization) (Check one box.)	Nature of Business (Check one box.)	Chapter of Bankruptcy Code Under Which the Petition is Filed (Check one box)
<input type="checkbox"/> Individual (includes Joint Debtors) <i>See Exhibit D on page 2 of this form.</i> <input checked="" type="checkbox"/> Corporation (includes LLC and LLP) <input type="checkbox"/> Partnership <input type="checkbox"/> Other (If debtor is not one of the above entities, check this box and state type of entity below.)	<input type="checkbox"/> Health Care Business <input type="checkbox"/> Single Asset Real Estate as defined in 11 U.S.C. § 101(51B) <input type="checkbox"/> Railroad <input type="checkbox"/> Stockbroker <input type="checkbox"/> Commodity Broker <input type="checkbox"/> Clearing Bank <input checked="" type="checkbox"/> Other Tax-Exempt Entity (Check box, if applicable.) <input type="checkbox"/> Debtor is a tax-exempt organization under Title 26 of the United States Code (the Internal Revenue Code).	<input type="checkbox"/> Chapter 7 <input type="checkbox"/> Chapter 9 <input checked="" type="checkbox"/> Chapter 11 <input type="checkbox"/> Chapter 12 <input type="checkbox"/> Chapter 13 <input type="checkbox"/> Chapter 15 Petition for Recognition of a Foreign Main Proceeding <input type="checkbox"/> Chapter 15 Petition for Recognition of a Foreign Nonmain Proceeding
Nature of Debts (Check one box) <input type="checkbox"/> Debts are primarily consumer debts, defined in 11 U.S.C. § 101(8) as "incurred by an individual primarily for a personal, family, or household purpose." <input checked="" type="checkbox"/> Debts are primarily business debts.		

Filing Fee (Check one box.) <input checked="" type="checkbox"/> Full Filing Fee attached <input type="checkbox"/> Filing Fee to be paid in installments (Applicable to individuals only). Must attach signed application for the court's consideration certifying that the debtor is unable to pay fee except in installments. Rule 1006(b). See Official Form 3A. <input type="checkbox"/> Filing Fee waiver requested (Applicable to chapter 7 individuals only). Must attach signed application for the court's consideration. See Official Form 3B.	Check one box: Chapter 11 Debtors <input type="checkbox"/> Debtor is a small business debtor as defined in 11 U.S.C. § 101(51D). <input checked="" type="checkbox"/> Debtor is not a small business debtor as defined in 11 U.S.C. § 101(51D). Check if: <input type="checkbox"/> Debtor's aggregate noncontingent liquidated debts (excluding debts owed to insiders or affiliates) are less than \$2,343,300 (amount subject to adjustment on 4/01/13 and every three years thereafter). Check all applicable boxes: <input type="checkbox"/> A plan is being filed with this petition. <input type="checkbox"/> Acceptances of the plan were solicited prepetition from one or more classes of creditors, in accordance with 11 U.S.C. § 1126(b).
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Statistical/Administrative Information <input checked="" type="checkbox"/> Debtor estimates that funds will be available for distribution to unsecured creditors. <input type="checkbox"/> Debtor estimates that, after any exempt property is excluded and administrative expenses paid, there will be no funds available for distribution to unsecured creditors.	THIS SPACE IS FOR COURT USE ONLY
Estimated Number of Creditors <input checked="" type="checkbox"/> 1-49 <input type="checkbox"/> 50-99 <input type="checkbox"/> 100-199 <input type="checkbox"/> 200-999 <input type="checkbox"/> 1,000-5,000 <input type="checkbox"/> 5,001-10,000 <input type="checkbox"/> 10,001-25,000 <input type="checkbox"/> 25,001-50,000 <input type="checkbox"/> 50,001-100,000 <input type="checkbox"/> OVER 100,000	
Estimated Assets <input type="checkbox"/> \$0 to \$50,000 <input type="checkbox"/> \$50,001 to \$100,000 <input type="checkbox"/> \$100,001 to \$500,000 <input checked="" type="checkbox"/> \$500,001 to \$1 million <input type="checkbox"/> \$1,000,001 to \$10 million <input type="checkbox"/> \$10,000,001 to \$50 million <input type="checkbox"/> \$50,000,001 to \$100 million <input type="checkbox"/> \$100,000,001 to \$500 million <input type="checkbox"/> \$500,000,001 to \$1 billion <input type="checkbox"/> More than \$1 billion	
Estimated Debts <input type="checkbox"/> \$0 to \$50,000 <input type="checkbox"/> \$50,001 to \$100,000 <input type="checkbox"/> \$100,001 to \$500,000 <input type="checkbox"/> \$500,001 to \$1 million <input type="checkbox"/> \$1,000,001 to \$10 million <input checked="" type="checkbox"/> \$10,000,001 to \$50 million <input type="checkbox"/> \$50,000,001 to \$100 million <input type="checkbox"/> \$100,000,001 to \$500 million <input type="checkbox"/> \$500,000,001 to \$1 billion <input type="checkbox"/> More than \$1 billion	

Voluntary Petition <i>(This page must be completed and filed in every case)</i>		Name of Debtor(s): Harrington West Financial Group, Inc.	
All Prior Bankruptcy Cases Filed Within Last 8 Years (If more than two, attach additional sheet.)			
Location Where Filed: - None -	Case Number:	Date Filed:	
Location Where Filed:	Case Number:	Date Filed:	
Pending Bankruptcy Case Filed by any Spouse, Partner, or Affiliate of this Debtor (If more than one, attach additional sheet.)			
Name of Debtor: - None -	Case Number:	Date Filed:	
District:	Relationship:	Judge:	
Exhibit A (To be completed if debtor is required to file periodic reports (e.g., forms 10K and 10Q) with the Securities and Exchange Commission pursuant to Section 13 or 15(d) of the Securities Exchange Act of 1934 and is requesting relief under chapter 11.) <input type="checkbox"/> Exhibit A is attached and made a part of this petition.		Exhibit B (To be completed if debtor is an individual whose debts are primarily consumer debts.) I, the attorney for the petitioner named in the foregoing petition, declare that I have informed the petitioner that [he or she] may proceed under chapter 7, 11, 12, or 13 of title 11, United States Code, and have explained the relief available under each such chapter. I further certify that I delivered to the debtor the notice required by 11 U.S.C. § 342(b). X _____ Signature of Attorney for Debtor(s) (Date)	
Exhibit C Does the debtor own or have possession of any property that poses or is alleged to pose a threat of imminent and identifiable harm to public health or safety? <input type="checkbox"/> Yes, and Exhibit C is attached and made a part of this petition. <input checked="" type="checkbox"/> No			
Exhibit D (To be completed by every individual debtor. If a joint petition is filed, each spouse must complete and attach a separate Exhibit D.) <input type="checkbox"/> Exhibit D completed and signed by the debtor is attached and made a part of this petition. If this is a joint petition: <input type="checkbox"/> Exhibit D also completed and signed by the joint debtor is attached and made a part of this petition.			
Information Regarding the Debtor - Venue (Check any applicable box.) <input checked="" type="checkbox"/> Debtor has been domiciled or has had a residence, principal place of business, or principal assets in this District for 180 days immediately preceding the date of this petition or for a longer part of such 180 days than in any other District. <input type="checkbox"/> There is a bankruptcy case concerning debtor's affiliate, general partner, or partnership pending in this District. <input type="checkbox"/> Debtor is a debtor in a foreign proceeding and has its principal place of business or principal assets in the United States in this District, or has no principal place of business or assets in the United States but is a defendant in an action or proceeding [in a federal or state court] in this District, or the interests of the parties will be served in regard to the relief sought in this District.			
Certification by a Debtor Who Resides as a Tenant of Residential Property (Check all applicable boxes.) <input type="checkbox"/> Landlord has a judgment against the debtor for possession of debtor's residence. (If box checked, complete the following.) _____ (Name of landlord that obtained judgment) _____ (Address of landlord) <input type="checkbox"/> Debtor claims that under applicable nonbankruptcy law, there are circumstances under which the debtor would be permitted to cure the entire monetary default that gave rise to the judgment for possession, after the judgment for possession was entered, and <input type="checkbox"/> Debtor has included in this petition the deposit with the court of any rent that would become due during the 30-day period after the filing of the petition. <input type="checkbox"/> Debtor certifies that he/she has served the Landlord with this certification. (11 U.S.C. § 362(l)).			

Voluntary Petition <i>(This page must be completed and filed in every case)</i>	Name of Debtor(s): Harrington West Financial Group, Inc.
Signatures	
Signature(s) of Debtor(s) (Individual/Joint) I declare under penalty of perjury that the information provided in this petition is true and correct. [If petitioner is an individual whose debts are primarily consumer debts and has chosen to file under chapter 7] I am aware that I may proceed under chapter 7, 11, 12 or 13 of title 11, United States Code, understand the relief available under each such chapter, and choose to proceed under chapter 7. [If no attorney represents me and no bankruptcy petition preparer signs the petition] I have obtained and read the notice required by 11 U.S.C. § 342(b). I request relief in accordance with the chapter of title 11, United States Code, specified in this petition. X _____ Signature of Debtor X _____ Signature of Joint Debtor _____ Telephone Number (if not represented by attorney) _____ Date	Signature of a Foreign Representative I declare under penalty of perjury that the information provided in this petition is true and correct, that I am the foreign representative of a debtor in a foreign proceeding, and that I am authorized to file this petition. (Check only one box.) <input type="checkbox"/> I request relief in accordance with chapter 15 of title 11, United States Code. Certified copies of the documents required by 11 U.S.C. § 1515 are attached. <input type="checkbox"/> Pursuant to 11 U.S.C. § 1511, I request relief in accordance with the chapter of title 11 specified in this petition. A certified copy of the order granting recognition of the foreign main proceeding is attached. X _____ (Signature of Foreign Representative) _____ (Printed Name of Foreign Representative) _____ Date
X  Signature of Attorney* Signature of Attorney for Debtor(s) Sharon M. Kopman (SBN164449) Printed Name of Attorney for Debtor(s) Landau Gottfried & Berger LLP Firm Name 1801 Century Park East Suite 1460 Los Angeles, CA 90067 Address (310) 557-0050 Fax: (310) 557-0056 Telephone Number _____ Date <small>*In a case in which § 707(b)(4)(D) applies, this signature also constitutes a certification that the attorney has no knowledge after an inquiry that the information in the schedules is incorrect.</small>	Signature of Non-Attorney Bankruptcy Petition Preparer I declare under penalty of perjury that: 1) I am a bankruptcy petition preparer as defined in 11 U.S.C. § 110; 2) I prepared this document for compensation and have provided the debtor with a copy of this document and the notices and information required under 11 U.S.C. §§ 110(b), 110(h), and 342(b); and, 3) if rules or guidelines have been promulgated pursuant to 11 U.S.C. § 110(h) setting a maximum fee for services chargeable by bankruptcy petition preparers, I have given the debtor notice of the maximum amount before preparing any document for filing for a debtor or accepting any fee from the debtor, as required in that section. Official form 19 is attached. _____ Printed Name and title, if any, of Bankruptcy Petition Preparer Social Security number (If the bankruptcy petition preparer is not an individual, state the Social Security number of the officer, principal, responsible person or partner of the bankruptcy petition preparer.) (Required by 11 U.S.C. § 110.) _____ Address X _____ Date Signature of Bankruptcy Petition Preparer or officer, principal, responsible person, or partner whose social security number is provided above. Names and Social Security numbers of all other individuals who prepared or assisted in preparing this document unless the bankruptcy petition preparer is not an individual If more than one person prepared this document, attach additional sheets conforming to the appropriate official form for each person. <small>A bankruptcy petition preparer's failure to comply with the provisions of title 11 and the Federal Rules of Bankruptcy Procedure may result in fines or imprisonment or both 11 U.S.C. § 119; 18 U.S.C. § 156</small>
Signature of Debtor (Corporation/Partnership) I declare under penalty of perjury that the information provided in this petition is true and correct, and that I have been authorized to file this petition on behalf of the debtor. The debtor requests relief in accordance with the chapter of title 11, United States Code, specified in this petition. X  Signature of Authorized Individual William W. Phillips, Jr. Printed Name of Authorized Individual President Title of Authorized Individual September 10, 2010 Date	

Attorney or Party Name, Address, Telephone & FAX Numbers, and California State Bar Number Sharon M. Kopman Landau Gottfried & Berger LLP 1801 Century Park East Suite 1460 Los Angeles, CA 90067 (310) 557-0050 Fax: (310) 557-0056 (SBN 164449) <input checked="" type="checkbox"/> Attorney for Debtor	FOR COURT USE ONLY
UNITED STATES BANKRUPTCY COURT CENTRAL DISTRICT OF CALIFORNIA	
In re: Harrington West Financial Group, Inc. <div style="text-align: right;">Debtor(s).</div>	CASE NO.: CHAPTER: 11 ADV. NO.:

**ELECTRONIC FILING DECLARATION
(CORPORATION/PARTNERSHIP)**

☒
☐
☐

Petition, statement of affairs, schedules or lists
 Amendments to the petition, statement of affairs, schedules or lists
 Other:

Date Filed: 9/11/2010
 Date Filed: _____
 Date Filed: _____

PART I - DECLARATION OF AUTHORIZED SIGNATORY OF DEBTOR OR OTHER PARTY

I, the undersigned, hereby declare under penalty of perjury that: (1) I have been authorized by the Debtor or other party on whose behalf the above-referenced document is being filed (Filing Party) to sign and to file, on behalf of the Filing Party, the above-referenced document being filed electronically (Filed Document); (2) I have read and understand the Filed Document; (3) the information provided in the Filed Document is true, correct and complete; (4) the "/s/," followed by my name, on the signature lines for the Filing Party in the Filed Document serves as my signature on behalf of the Filing Party and denotes the making of such declarations, requests, statements, verifications and certifications by me and by the Filing Party to the same extent and effect as my actual signature on such signature lines; (5) I have actually signed a true and correct hard copy of the Filed Document in such places on behalf of the Filing Party and provided the executed hard copy of the Filed Document to the Filing Party's attorney; and (6) I, on behalf of the Filing Party, have authorized the Filing Party's attorney to file the electronic version of the Filed Document and this Declaration with the United States Bankruptcy Court for the Central District of California.


 Signature of Authorized Signatory of Filing Party

September 10, 2010
 Date

William W. Phillips, Jr.
 Printed Name of Authorized Signatory of Filing Party
President
 Title of Authorized Signatory of Filing Party

PART II - DECLARATION OF ATTORNEY FOR FILING PARTY

I, the undersigned Attorney for the Filing Party, hereby declare under penalty of perjury that: (1) the "/s/," followed by my name, on the signature lines for the Attorney for the Filing Party in the Filed Document serves as my signature and denotes the making of such declarations, requests, statements, verifications and certifications to the same extent and effect as my actual signature on such signature lines; (2) an authorized signatory of the Filing Party signed the Declaration of Authorized Signatory of Debtor or Other Party before I electronically submitted the Filed Document for filing with the United States Bankruptcy Court for the Central District of California; (3) I have actually signed a true and correct hard copy of the Filed Document in the locations that are indicated by "/s/," followed by my name, and have obtained the signature of the authorized signatory of the Filing Party in the locations that are indicated by "/s/," followed by the name of the Filing Party's authorized signatory, on the true and correct hard copy of the Filed Document; (4) I shall maintain the executed originals of this Declaration, the Declaration of Authorized Signatory of Debtor or Other Party, and the Filed Document for a period of five years after the closing of the case in which they are filed; and (5) I shall make the executed originals of this Declaration, the Declaration of Authorized Signatory of Debtor or Other Party, and the Filed Document available for review upon request of the Court or other parties.


 Signature of Attorney for Filing Party

9-10-10
 Date

Sharon M. Kopman
 Printed Name of Attorney for Filing Party

This form is mandatory by Order of the United States Bankruptcy Court for the Central District of California.

November 2006

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Best Case Bankruptcy

ACTION BY WRITTEN CONSENT
OF THE BOARD OF DIRECTORS OF
HARRINGTON WEST FINANCIAL GROUP, INC.
DATED SEPTEMBER 2, 2010

The undersigned, constituting all the members of the Board of Directors ("Board") of Harrington West Financial Group, Inc. (the "Corporation"), by their signatures below, and in accordance with Article III Section One of the Bylaws, and pursuant to Section 307(b) of the California Corporations Code, hereby adopt the following resolutions by this Unanimous Written Consent:

WHEREAS, the Board of Directors believe that it is in the best interest of the Corporation to adopt the following resolutions:

RESOLVED, that it is in the best interest of the Corporation, its creditors, employees, and other interested parties that a petition be filed by the Corporation seeking relief under the provisions of Chapter 11 of Title 11 of the United States Code (the "Bankruptcy Code");

RESOLVED, that the Law Firm of Landau Gottfried & Berger LLP, 1801 Century Park East, Suite 1460, Los Angeles, CA 90064 shall be employed as attorney for the Corporation to file the Corporation's Chapter 11 case;

RESOLVED, that the Corporation shall be, and hereby is, authorized, directed and empowered to retain, on behalf of the Corporation additional professionals or independent contractors, including attorneys, accountants, financial advisors, investment bankers, actuaries, consultants or brokers, as may be necessary in connection with the Corporation's Chapter 11 case and other related matters, on such terms as such officers shall approve;

RESOLVED, that William W. Phillips, Jr., as President of the Corporation, be, and he hereby is, authorized, empowered and directed, in the name and on behalf of the Corporation, to execute a petition for relief under Chapter 11 of the Bankruptcy Code and to cause the same to be filed in the United States Bankruptcy Court for the Central of California, Northern division, at such time as said officer executing the same shall determine and perform any and all such acts as are reasonable, advisable, expedient, convenient, proper, or necessary to effect any of the foregoing;

RESOLVED, that the following individuals be, and they hereby are, appointed authorized officers of the Corporation in the capacities set forth opposite their names (collectively, the "Authorized Officers" and individually, an "Authorized Officer") and that each of the Authorized Officers be, and they hereby are, acting individually in the name and on behalf of the Corporation, authorized, empowered and directed to execute and file all petitions, schedules, motions, lists, applications, pleadings and other papers, and, in connection therewith (collectively, the "Documents"); subject to necessary regulatory approvals (if any), pay all expenses, including filing fees, in each case as shall be necessary or desirable in order to fully carry out the intent and accomplish the purposes of the resolutions adopted herein, and to take and perform any and all further acts and deeds which such Authorized Officer deems necessary, proper or desirable in connection with the Corporation's Chapter 11 case:

Authorized Officer	Office
William W. Phillips, Jr.	President
Craig J. Cerny	Chief Executive Officer

RESOLVED, that (i) the form, terms and provisions of the Documents executed, delivered and performed by an Authorized Officer on behalf of the Corporation related to or arising from the resolutions contained herein are ratified, approved and confirmed, (ii) that the transactions described in the Documents are ratified, approved and confirmed, and (iii) that the execution and delivery of the Documents by an Authorized Officer shall be conclusive evidence of the approval of such documents by the Board;

RESOLVED, that the Authorized Officers be, and they hereby are, acting individually in the name of and on behalf of the Corporation, authorized, empowered and directed to hire additional employees at the Corporation, engage external resources and to otherwise outsource work to the extent such Authorized Officer deems necessary, advisable, expedient, convenient, proper or desirable in connection with the Corporation's Chapter 11 case; and

RESOLVED, that any and all past actions, covenants or promises of the Corporation, or any of the Authorized Officers or directors of the Corporation in the name and on behalf of the Corporation, in furtherance of any or all the preceding resolutions be, and the same hereby are, ratified, confirmed and approved in all respects; and

RESOLVED, that these resolutions shall remain in full force and effect until written notice of their repeal shall have been received by the counter-party under, or in the case of the court presiding over the Chapter 11 case the recipient of, the Documents of their repeal and then, any such repeal shall only be effective as to any acts taken after receipt of such written notice.

EXECUTION BY FACSIMILE

RESOLVED, that this Unanimous Written Consent may be executed by facsimile, and, upon such execution, shall have the same force and effect as an original.

EXECUTION IN COUNTERPARTS

RESOLVED, that this Unanimous Written Consent may be executed in one or more counterparts, each of which shall be deemed an original but all of which together shall constitute one and the same instrument.

This Unanimous Written Consent shall be filed with the minutes of the proceedings of the Corporation's Board of Directors.

[SIGNATURES ON FOLLOWING PAGE]

SIGNATURE PAGE
TO
ACTION BY WRITTEN CONSENT
OF THE BOARD OF DIRECTORS OF HARRINGTON WEST FINANCIAL GROUP, INC.
DATED SEPTEMBER 2, 2010

IN WITNESS WHEREOF, each of the undersigned has executed this Action by
Unanimous Written Consent as of September 2, 2010.



William Phillips
President of Harrington West Financial Group, Inc.

Craig Cerny
Chief Executive Officer of Harrington West Financial Group Inc.

Paul O. Halme

Timothy Hatlestad

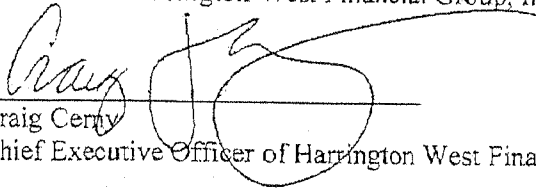
John J. McConnell

William D. Ross

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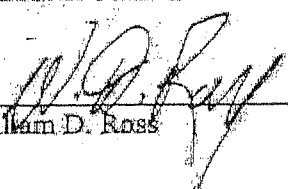
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President of Harrington West Financial Group, Inc.

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Chief Executive Officer of Harrington West Financial Group, Inc.

Paul O. Halme

Timothy Hatlestad

John J. McConnell



William D. Ross

Attorney or Party Name, Address, Telephone & FAX Number, and California State Bar Number Sharon M. Kopman Landau Gottfried & Berger LLP 1801 Century Park East Suite 1460 Los Angeles, CA 90067 (310) 557-0050 Fax: (310) 557-0056 California State Bar Number: 164449	FOR COURT USE ONLY
Attorney for Debtor UNITED STATES BANKRUPTCY COURT CENTRAL DISTRICT OF CALIFORNIA	
In re: Harrington West Financial Group, Inc. Debtor(s), Plaintiff(s), Defendant(s).	CASE NO.: ADV. NO.: CHAPTER: 11

**Corporate Ownership Statement Pursuant to
F.R.B.P. 1007(a)(1) and 7007.1, and Local Bankruptcy Rule 1002-5**

Pursuant to F.R.B.P. 1007(a)(1) and 7007.1, and Local Bankruptcy Rule 1002-5, any corporation, other than a governmental unit, that is a debtor in a voluntary case or a party to an adversary proceeding or a contested matter shall file this statement identifying all its parent corporations and listing any publicly held company, other than a governmental unit, that directly or indirectly own 10% or more of any class of the corporation's equity interest, or state that there are no entities to report. This Corporate Ownership Statement must be filed with the initial pleading filed by a corporate entity in a case or adversary proceeding. A supplemental statement must promptly be filed upon any change in circumstances that renders this Corporate Ownership Statement inaccurate.

I, William W. Phillips, Jr., the undersigned in the above-captioned case, hereby declare
(Print Name of Attorney or Declarant)

under penalty of perjury under the laws of the United States of America that the following is true and correct:

[Check the appropriate boxes and, if applicable, provide the required information.]

1. I have personal knowledge of the matters set forth in this Statement because:

- ☒ I am the president or other officer or an authorized agent of the debtor corporation
☐ I am a party to an adversary proceeding
☐ I am a party to a contested matter
☐ I am the attorney for the debtor corporation

2.a. ☒ The following entities, other than the debtor or a governmental unit, directly or indirectly own 10% or more of any class of the corporation's(s') equity interests:

(For additional names, attach an addendum to this form.)

See attached Exhibit 1

b. ☐ There are no entities that directly or indirectly own 10% or more of any class of the corporation's equity interest.

William W. Phillips, Jr.
Signature of Attorney or Declarant

September 10, 2010
Date

William W. Phillips, Jr.
Printed Name of Attorney or Declarant

This form is optional. It has been approved for use by the United States Bankruptcy Court for the Central District of California.

Corporate Ownership Statement

Exhibit 1

The following entities directly or indirectly own 10% or more of the following HWFG equity interests:

(A) HWFG Common Stock (as of June 25, 2010)

Douglas Breeden – 13.74%

Concordia Financial Services Fund, L.P. – 13.4%

(B) HWFG Preferred Stock (as of the Petition Date)

Jim McCroy – 35.08%

Peter Fraser – 17.54%

E. Han Kim – 10.52%

B4 (Official Form 4) (12/07)

United States Bankruptcy Court
Central District of California

In re Harrington West Financial Group, Inc.

Debtor(s)

Case No.

Chapter

11

LIST OF CREDITORS HOLDING 20 LARGEST UNSECURED CLAIMS

Following is the list of the debtor's creditors holding the 20 largest unsecured claims. The list is prepared in accordance with Fed. R. Bankr. P. 1007(d) for filing in this chapter 11 [or chapter 9] case. The list does not include (1) persons who come within the definition of "insider" set forth in 11 U.S.C. § 101, or (2) secured creditors unless the value of the collateral is such that the unsecured deficiency places the creditor among the holders of the 20 largest unsecured claims. If a minor child is one of the creditors holding the 20 largest unsecured claims, state the child's initials and the name and address of the child's parent or guardian, such as "A.B., a minor child, by John Doe, guardian." Do not disclose the child's name. See 11 U.S.C. § 112; Fed. R. Bankr. P. 1007(m).

(1) <i>Name of creditor and complete mailing address including zip code</i>	(2) <i>Name, telephone number and complete mailing address, including zip code, of employee, agent, or department of creditor familiar with claim who may be contacted</i>	(3) <i>Nature of claim (trade debt, bank loan, government contract, etc.)</i>	(4) <i>Indicate if claim is contingent, unliquidated, disputed, or subject to setoff</i>	(5) <i>Amount of claim [if secured, also state value of security]</i>
American Express P.O. Box 0001 Los Angeles, CA 90096	American Express P.O. Box 0001 Los Angeles, CA 90096	HWFG Corporate Credit Card August - September 2010		Unknown
American Stock Transfer 59 Maiden Lane New York, NY 10038	American Stock Transfer 59 Maiden Lane New York, NY 10038	Monthly service fee and processing fees for annual meeting list, etc.		Unknown
Broadridge Investor Communication P.O. Box 23487 Newark, NJ 07189	Broadridge Investor Communication P.O. Box 23487 Newark, NJ 07189	Investor Communications services		Unknown
Business Wire Department 34182 P.O. Box 39000 San Francisco, CA 94139	Business Wire Department 34182 P.O. Box 39000 San Francisco, CA 94139	Investor communications		Unknown
CDW P.O. Box 75723 Chicago, IL 60675	CDW P.O. Box 75723 Chicago, IL 60675	Office supplies		Unknown
Central Coast Image P.O. Box 139 2030 Viborg, No. 10 Solvang, CA 93464	Central Coast Image P.O. Box 139 2030 Viborg, No. 10 Solvang, CA 93464	Office supplies		Unknown
Delaware Franchise Tax Board Divisions of Corporations PO Box 898 Dover, DE 19903	Delaware Franchise Tax Board Divisions of Corporations PO Box 898 Dover, DE 19903	Tax		230,000.00
Los Padres Bank 610 Alamo Pintado Rd. Solvang, CA 93463	Los Padres Bank 610 Alamo Pintado Rd. Solvang, CA 93463	Administrative Services Agreement		Unknown
Mediant Communications LLC P.O. Box 542 Saddle Brook, NJ 07663	Mediant Communications LLC P.O. Box 542 Saddle Brook, NJ 07663	Mailing Service for Investor Communications		Unknown

B4 (Official Form 4) (12/07) - Cont.

In re Harrington West Financial Group, Inc.

Debtor(s)

Case No. _____

LIST OF CREDITORS HOLDING 20 LARGEST UNSECURED CLAIMS
(Continuation Sheet)

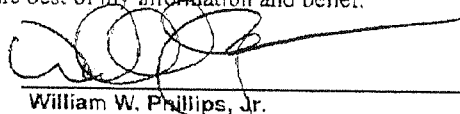
(1) <i>Name of creditor and complete mailing address including zip code</i>	(2) <i>Name, telephone number and complete mailing address, including zip code, of employee, agent, or department of creditor familiar with claim who may be contacted</i>	(3) <i>Nature of claim (trade debt, bank loan, government contract, etc.)</i>	(4) <i>Indicate if claim is contingent, unliquidated, disputed, or subject to setoff</i>	(5) <i>Amount of claim [if secured, also state value of security]</i>
Reitner, Stuart, Moore 1319 Marsh Street San Luis Obispo, CA 93401	Reitner, Stuart, Moore 1319 Marsh Street San Luis Obispo, CA 93401	Corporate Counsel		Unknown
Sprint P.O. Box 219100 Kansas City, MO 64121	Sprint P.O. Box 219100 Kansas City, MO 64121	Long distance telephone services		Unknown
Wells Fargo Delaware Trust Company Attn: Reema Patel 919 N Market Street Wilmington, DE 19801	Wells Fargo Delaware Trust Company Attn: Reema Patel 919 N Market Street Wilmington, DE 19801	TRUP II Debt		10,310,000.00
Wilmington Trust Company Attn: Geoff Lewis Rodney Square North 1100 N Market Street Wilmington, DE 19890	Wilmington Trust Company Attn: Geoff Lewis Rodney Square North Wilmington, DE 19890	TRUP I Debt		15,464,000.00

**DECLARATION UNDER PENALTY OF PERJURY
ON BEHALF OF A CORPORATION OR PARTNERSHIP**

I, the President of the corporation named as the debtor in this case, declare under penalty of perjury that I have read the foregoing list and that it is true and correct to the best of my information and belief.

Date September 10, 2010

Signature


William W. Phillips, Jr.
President

Penalty for making a false statement or concealing property: Fine of up to \$500,000 or imprisonment for up to 5 years or both.
18 U.S.C. §§ 152 and 3571.

**United States Bankruptcy Court
Central District of California**

In re Harrington West Financial Group, Inc.
Debtor

Case No. _____

Chapter 11

LIST OF EQUITY SECURITY HOLDERS

Following is the list of the Debtor's equity security holders which is prepared in accordance with Rule 1007(a)(3) for filing in this chapter 11 case.

Name and last known address or place of business of holder	Security Class	Number of Securities	Kind of Interest
1. List of Registered Shareholders as of June 25, 2010 attached hereto as Exhibit A	Common Stock		
Craig Cerny 9701 E Happy Valley Dr Lot 33 Scottsdale, AZ 85255	Preferred Stock	2,000	
E. Han Kim 2980 Hickory Ln Ann Arbor, MI 48104	Preferred Stock	6,000	
Jim McCroy 10975 E Saguaro Canyon Tr. Scottsdale, AZ 85255	Preferred Stock	20,000	
John McConnell 725 Northridge Dr West Lafayette, IN 47906	Preferred Stock	1,000	
Mark Larrabee 4206 Homestead Dr. Prairie Village, KS 66208	Preferred Stock	1,000	
Paul Halme 1285 Fredensborg Canyon Rd Solvang, CA 93463	Preferred Stock	1,000	
Peter Fraser 14 Courtsfield Crescent Etobicoke, ONT CANADA M9A4S9	Preferred Stock	10,000	
Stan Kon Smith Breeden Asso. 280 S Mangum St, Ste 301 Durham, NC 27517	Preferred Stock	4,000	
Susan Weber 3680 Mattei Rd Santa Ynez, CA 93460	Preferred Stock	1,000	

In re Harrington West Financial Group, Inc.

Case No. _____

Debtor

LIST OF EQUITY SECURITY HOLDERS
(Continuation Sheet)

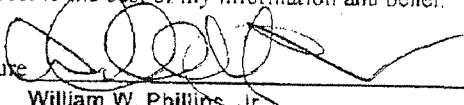
Name and last known address or place of business of holder	Security Class	Number of Securities	Kind of Interest
Tomothy Hatlestad 12253 N 78th Pl Scottsdale, AZ 85260	Preferred Stock	1,000	
Trevor Colvin c/o Blue Capital Group 194 Finley Golf Course Rd Ste 100 Chapel Hill, NC 27517	Preferred Stock	4,000	
W. Frank Sutton 120 Lancaster Dr. Chapel Hill, NC 27517	Preferred Stock	4,000	
William Ross 2623 Mathers Ave West Vancouver, BC CANADA V7V2J3	Preferred Stock	1,000	
William W. Phillips 1888 Ringsted Dr Solvang, CA 93463	Preferred Stock	1,000	

DECLARATION UNDER PENALTY OF PERJURY ON BEHALF OF CORPORATION OR PARTNERSHIP

I, the President of the corporation named as the debtor in this case, declare under penalty of perjury that I have read the foregoing List of Equity Security Holders and that it is true and correct to the best of my information and belief.

Date September 10, 2010

Signature


William W. Phillips, Jr.
President

*Penalty for making a false statement or concealing property: Fine of up to \$500,000 or imprisonment for up to 5 years or both,
18 U.S.C §§ 152 and 3571.*

EXHIBIT A

08/30/2010

AMERICAN STOCK TRAI & TRUST COMPANY

11A-A

*** SELECTION CRITERIA ***

COMPANY: 13249 HARRINGTON WEST FINANCIAL GROUP INC

SEQUENCE	:	ALPHABETIC
AS OF DATE	:	08/29/2010 (RECORD DATE 2)
CERTIFICATION REQUIRED:	:	NO
D/R OPTION	:	D/R SHARES OMITTED
D/R ACCOUNT TYPE	:	ALL D/R TYPES
SHARE OPTION	:	RECORD DATE 2 SHARES
D/R SHARE OPTION	:	N/A
SPEC. ACCT SELECTION	:	ALL
MAIL CODE SELECTION	:	ALL
DIR. DEP. SELECTION	:	ALL ACCOUNTS
ALT. ADDRESS SELECTION:	:	LEGAL N/A
SHARE RANGE	:	.001 THRU 99999999
ZIP CODE RANGE	:	ALL
RESIDENCE CODE RANGE	:	ALL
CLASS CODE RANGE	:	ALL
DATE SELECTION	:	NONE
DATE OPTION	:	NONE
SUPPRESS CODE	:	N/A
SUPPRESS TAX-ID NUMBER:	:	YES

08/10/2010

PAGE

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AMERICAN STOCK TEAM & TRUST COMPANY

*** LIST OF SHAREHOLDERS ***

COMPANY: 13243

HERRINGTON WEST FINANCIAL GROUP INC

0000010407	38,709	0000010408	90,323	0000010429	27,499	0000010421	17,289
BANC FUND VI L.P. THE BANC FUNDS COMPANY LLC 20 NORTH WEAVER DR STE 3300 CHICAGO IL 60606		BANC FUND VII L.P. THE BANC FUNDS COMPANY LLC 20 NORTH WEAVER DR STE 3300 CHICAGO IL 60606		KAMALA D BEAUMONT 3901 E COAST HIGHWAY UNIT 40 COKONA DEL MAR CA 92625-2557		ERIC BEHR 920 EAST 72ND AVENUE ANCHORAGE, AK 99518-2810	
0000010418	12,012	0000010420	12,013	0000010398	3,600	0000010018	360
BATICK BEHR 5141 CRESTON VALLEY ROAD PASO ROBLES, CA 93446-9434		WENDY BEHR 1279 TWELFTH STREET LOS OSOS, CA 93402-1316		STEVEN JOE BERG & ALICE LYNN BERG REVOCABLE TRUST DATED JANUARY 31 2000 889 KOLDING AVENUE SOLVANG, CA 93463-2236		STEVEN J BERG 889 KOLDING AVE SOLVANG, CA 93463-2236	
0000010021	1,242	0000010022	11,923	0000010312	4,755,064	0000010321	334,118
T HALE BOGGS C/O MANATT PHELPS & PHILLIPS LLP 11355 WEST OLYMPIC BLVD LOS ANGELES, CA 90064-1631		SUSAN K BOTT 160 WILLOW DRIVE PO BOX 2 SOLVANG, CA 93464-0002		CEDE & CO (FAST ACCOUNT) P O BOX 20 BOWLING GREEN STATION NEW YORK, NY 10004-1498		CRAIG J CERNY & RHONDA S CERNY TRUSTS OF THE RESTATEMENT AGREEMENT OF THE CRAIG J CERNY TRUST DATED 08/21/92 RESTATEMENT DATED 06/04/04 14100 N NORTHSIGHT BLVD SCOTTSDALE, AZ 85260-3628	
0000010342	10,500	0000010320	72,900	0000010050	350	0000010057	1,200
CRAIG J CERNY & RHONDA S CERNY TR 06/04/04 OF THE RHONDA S CERNY TRUST 14100 N NORTHSIGHT BLVD SCOTTSDALE AZ 85260-3628		CRAIG J CERNY & RHONDA S CERNY TRUST DATED 06/04/04 C/O LOS PADRES BANK 14100 N NORTHSIGHT BLVD SCOTTSDALE, AZ 85260-3628		KIM D CHAMBERS 209 S TULIP ST LOMEPC, CA 93436-6424		MO YUEN CHOW & SUI OI YEE CHOW JT TEN 403 LIVINGSTONE DRIVE CARY, NC 27513-2920	
0000010058	468	0000010416	269,807	0000010423	982,845	0000010428	5,900
MO-YUEN CHOW & SUI OI YEE CHOW JT TEN 403 LIVINGSTONE DRIVE CARY, NC 27513-2920		COMMUNITY FIRST FINANCIAL GROUP P.O. BOX 16752 CHAPSL HILL, NC 27516-6752		CONCORDIA FINANCIAL SERVICES FUND LP 420 EAST 3RD STREET SUITE 904 LOS ANGELES, CA 90013-1647		CONCORDIA FINANCIAL SERVICES FUND LP 420 E 3RD ST SUITE 904 LOS ANGELES, CA 90013-1647	

COMPANY: 13249

HARRINGTON WEST FINANCIAL GROUP INC

STOCK ID	STOCK NAME	STOCK TYPE	STOCK VALUE	STOCK ADDRESS	STOCK CITY	STOCK STATE	STOCK ZIP	STOCK PHONE	STOCK FAX	STOCK EMAIL	STOCK WEBSITE
0000010305	WILLIAM H DAVIDGE TR 07-31-78 FOR THE WILLIAM H DAVIDGE TRUST 3055 HARBOR DR #1201 FORT LAUDERDALE, FL 33315-2462	7,051	0000010306	WILLIAM H DAVIDGE TR UA 7/31/78 WILLIAM H DAVIDGE TRUST 3055 HARBOR DR #1201 FORT LAUDERDALE, FL 33316-2462	4,388	0000010070	DIVERSIFIED INVESTMENT GROUP C/O CLAY EASTMAN GENERAL PARTNER 100 EAST ENGLISH WICHITA, KS 67202-3706	10,285	0000010072	BRANDON DUNN 129 SOUNDVIEW AVE WHITE PLAINS, NY 10606-3614	10,287
0000010086	ANDREW ERKINE 4968 CALVIN AVENUE TARZANA, CA 91356	1,454	0000010094	JOSEPH FOSS & MARY FOSS TR UA 03/28/90 FOSS LIVING TRUST P O BOX 523 SANTA YNEZ, CA 93460-0523	1,099	0000010093	JOSEPH A FOSS & MARY L FOSS TR UA 03-28-90 FOSS LIVING TRUST P O BOX 523 SANTA YNEZ, CA 93460-0523	11,923	0000010409	PETER FRASER 14 COURSFIELD CRESCENT ETOBICOKE ONT CANADA M9A 4S9	64,500
0000010095	PETER L FRASER 14 COURSFIELD CRESCENT ETOBICOKE ON M9A 4S9 CANADA	250,000	0000010410	THE GIARLA & MICHELSON CHARITABLE FOUNDATION SMITH BREEDEN ASSOCIATES 4324 TRENTON RD CHAPEL HILL, NC 27517-7833	12,500	0000010102	LAWRENCE E GOLASZEMSKI 4623 GULFSTREAM DRIVE DALLAS, TX 75244-7627	4,320	0000010427	BRUCE N GORDON 2935 E CLARK AVE SANTA MARIA, CA 93455-5809	2,125
0000010108	ELLEN KON GURSKY 166 CHURCHILL RD TENAFELY, NJ 07670-3106	3,600	0000010402	PAUL O HALME 1285 FREDENSBORG CANYON ROAD SOLVANG, CA 93463-2024	1,200	0000010391	PAUL O HALME POST OFFICE BOX 665 SOLVANG, CA 93464-0665	1,800	0000010395	FREDERICK JAY HARRISON 3305 SAGUNTO STREET SANTA YNEZ, CA 93460-9786	6,000
0000010396	JACK HARRISON 3376 PINE STREET SANTA YNEZ, CA 93460-9431	6,000	0000010038	ALAN T HITT KATHLEEN CAMPBELL 2540 SCHOOL ST SOLVANG, CA 93463-9754	900	0000010118	HELMUT J HOLZHEU & DORIS V HOLZHEU TR UA 07-06-90 HELMUT J HOLZHEU FAMILY TRUST 2385 JANIN WAY SOLVANG, CA 93463-9428	2,500	0000010375	TOWNES BOYD JOHNSON III 236 CAMILLE AVENUE GREENVILLE, SC 29605-1704	100

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AMERICAN STOCK TRANSFER & TRUST COMPANY

*** LIST OF SHAREHOLDERS ***

COMPANY: 13249

HARRINGTON WEST FINANCIAL GROUP INC

0000010133	9,000	0000010134	800	0000010136	360	0000010139	1,900
ALLAN S JONES 2314 JANIN WAY SOLVANG, CA 93463-9402		DEAN WITTER REYNOLDS CUSTODIAN FOR GEORGE GORDON JONES IRA ROLLOVER DATED 05/07/94 C/O JOHN ROGAN 75 VARRICK STREET 4TH FLOOR NEW YORK NY 10013-1917		HERBERT G JONES JR & JODY A JONES JT TEN 985 SILVERDOLLAR LANE NIPOMO, CA 93444-9459		WILLIAM T KESSLER & MARIAN S KESSLER JT TEN 260 HILLCREST DRIVE MARION, NC 28752-3928	
0000010140	1,028	0000010141	1,242	0000010426	240	0000010142	120
THE KIEPPER CORPORATION RETIREMENT PLAN C/O MARAITE PHELPS & PHILLIPS LLP 11355 WEST OLYMPIC BLVD LOS ANGELES, CA 90064-1631		SANDRA R KING C/O MARAITE PHELPS & PHILLIPS LLP 11355 WEST OLYMPIC BLVD LOS ANGELES, CA 90064-1631		CHARLES I KLINE JR 02/10/98 PSC CHARLES I & GERALDINE KLINE TRUST 2875 QUAIL VALLEY RD SOLVANG, CA 93463-9510		KELLY BRIAN KLINE 3890 PAMELA ORIENTA MALIBU, CA 90265-5114	
0000010143	120	0000010144	120	0000010148	1,000	0000010415	1,900
KOREY ROBERT KLINE 7028 SW 65 AVE SOUTH MIAMI, FL 33143-3248		KRIS FALLON KLINE 3302 WOLF CT PEARLAND, TX 77584-3122		NEAL D KON 4886 QUEENS GRANT ROAD WINSTON SALEM, NC 27106-9640		MARK R LARABEE 4206 HOMESTEAD DRIVE PRAIRIE VILLAGE, KS 66208-1550	
0000010151	5,400	0000010424	50	0000010403	200	0000010193	5,100
JOHN R NASON & DIANE C NASON JT TEN 11530 HEMLOCK OVERLAND PARK, KS 66210-2444		GORDON ROBERTS MCDEVITT 371 S 11TH ST GROVER BEACH, CA 93433-2771		JUDITH MCLENDON 850 CLAYTON AVE BAY HEAD, NJ 08742-5306		MIMI MURRAY MERIWETHER PO BOX 337 NORTH SALEM, NY 10560-0337	
0000010155	12,754	0000010200	72,600	0000010210	1,168	0000010211	3,000
JUNE P MERTON 67 PINE ROAD CHESTNUT HILL, MA 02467-2313		BETTY L MILLS 2030 CHESTER BLVD RICHMOND, IN 47374-1215		GEORGE G C PARKER & JOAN W PARKER COMMUNITY PROPERTY 280 MAPACHE DRIVE PORTOLA VALLEY, CA 94028-7318		GEORGE G C PARKER 280 MAPACHE DR PORTOLA VALLEY, CA 94028-7318	

*** LIST OF SHAREHOLDERS ***

COMPANY: 13249

HARRINGTON WEST FINANCIAL GROUP INC

0000010307	12,434	0000010314	217	0000010341	70,552	0000010288	1,590
WILLIAM J PETERSEN & MYRA M PETERSEN TR UA 03-07-90 WILLIAM J PETERSEN & MYRA M PETERSEN LIVING TRUST 3064 GLENGARY DR SANTA YNEZ, CA 93460-9592		ERLING J FOHLIS & SUE F FOHLIS JT TEN PO BOX 516 SOLVANG, CA 93464-0516		WILLIAM W PHILLIPS JR & WENDY I PHILLIPS TR 03/25/99 PHILLIPS FAMILY TRUST 1896 RINGSTED DR SOLVANG, CA 93463-2244		ERLING J FOHLIS CHARITABLE REMAINDER UNITRUST 1 PO BOX 516 SOLVANG, CA 93464-0516	
0000010370	405	0000010218	3,345	0000010219	4,907	0000010230	3,600
ERLING J FOHLIS & SUE F FOHLIS JT TEN PO BOX 516 SOLVANG, CA 93464-0516		ERLING J FOHLIS & SUE F FOHLIS JT TEN PO BOX 516 SOLVANG, CA 93464-0516		ERLING J FOHLIS & SUE F FOHLIS JT TEN PO BOX 516 SOLVANG, CA 93464-0516		RICHMAN WEST INVESTMENTS A CALIFORNIA GENERAL PARTNERSHIP 514 FOXEN DRIVE SANTA BARBARA, CA 93105-2513	
0000010163	3,600	0000010371	1,500	0000010257	600	0000010234	3,515
MARTHA L RICHMAN TR UA NOV 9 87 SURVIVORS TRUST UNDER LG & ML RICHMAN REVOCABLE TRUST 514 FOXEN DR SANTA BARBARA, CA 93105-2513		BEAUMONT W ROSS 1837 ATLANTIC CITY AVE GROVER BEACH, CA 93433-1414		BRIAN N ROSS CUST WILLIAM WALKER ROSS U NY UNIF TRANSFER TO MINORS ACT 61 IRVING PLACE UNIT 5 NEW YORK, NY 10003-2324		BRIAN W ROSS CUST ANNA MCKENZIE CURRY ROSS UNDER THE NY UNIF TRANSFER TO MINORS ACT 61 IRVING PLACE UNIT 5 NEW YORK, NY 10003-2324	
0000010236	316	0000010240	1,818	0000010243	720	0000010246	1,080
DARRELL ADAM ROSS PO BOX 615 BOONVILLE, CA 95415-0615		DARRELL A ROSS CUST KIRSTEN ROSS UNDER THE CA UNIF TRANSFERS TO MINORS ACT 1837 ATLANTIC CITY AVE GROVER BEACH, CA 93433-1414		DARRELL A ROSS CUST LILLIAN MAE ROSS U CA UNIF TRANSFER TO MINORS ACT 1837 ATLANTIC CITY AVE GROVER BEACH, CA 93433-1414		DARRELL A ROSS CUSTODIAN OLIVIA MARIE ROSS UNDER THE CA UNIF TRANSFER TO MINORS ACT 1837 ATLANTIC CITY AVE GROVER BEACH, CA 93433-1414	
0000010322	800	0000010334	1,900	0000010387	500	0000010152	9,000
KENDRA LCCAN ROSS PO BOX 615 BOONVILLE, CA 95415-0615		MARY R ROSS SUITE 400 1128 HONBY ST VANCOUVER BC V6Z 2L4 CANADA		MARY R ROSS 1128 HONBY ST SUITE 400 VANCOUVER BC CANADA V6Z2L4		CHERYL LADO RUSSELL TR KOTA COMPANY RETIREMENT TRUST C/O MICHAEL H LESICK CPA 1950 WESTWOOD BLVD 200 LOS ANGELES, CA 90025-4674	

*** LIST OF SHAREHOLDERS ***

COMPANY: 11249

HARRINGTON WEST FINANCIAL GROUP INC

0000010153	3,510	0000010365	100	0000010265	9,000	0000010270	12,470
CHERYL LADD RUSSELL TRUSTEE KOTA COMPANY RETIREMENT TRUST C/O MICHAEL H LESTER CPA 1990 WESTWOOD BLVD 200 LOS ANGELES, CA 90025-4674		GENE R SCHOCK & PATRICIA A SCHOCK JT TEN 835 VIA CAMPOSILLO SANTA BARBARA, CA 93111-1225		MYRON SCHOLES C/O OAK HILL CAPITAL MANAGEMENT 34 STERN LANE ATHERTON, CA 94027-5423		SKOV-WEBER LIMITED PARTNERSHIP ELLEN K WEBER GENERAL PARTNER 1820 OLD MILL ROAD SOLVANG CA 93463-2231	
0000010271	24	0000010170	1	0000010283	1,600	0000010286	12,600
BRIELYN AMANDA SMITH 5018 DELAWARE TURNPIKE RENSSELAERVILLE NY 12147		SNL FINANCIAL LLC C-C DANIEL OKREY ONE SNL PLAZA BOX 2124 CHARLOTTESVILLE, VA 22902-5150		LOUISE J THURMAN & DONALD M THURMAN COMMUNITY PROPERTY 5332 N WHITE SPRUCE EL BOISE, ID 83713-1429		ROBERT KENNETH ULICKI 21 KNIGHTSWOOD ROAD TORONTO ONT M4N 2B9 CANADA	
0000010289	2,985	0000010325	1,740	0000010290	2,076	0000010301	9,107
VACCA FAMILY TRUST 1756 ALAMO PLINTADO ROAD SOLVANG, CA 93463-9712		PHILIP T VACCA & LARA S VACCA VACCA FAMILY TRUST UA 01-01-01 1758 ALAMO PLINTADO RD SOLVANG, CA 93463-9712		LEONARD D VENGERS 4719 ELLENITA AVE TARZANA, CA 91355-4933		STEEN WEBER & SUSAN CAROLYN WEBER TR UA 11/17/98 WEBER FAMILY TRUST 3680 MATTEI RD SANTA YNEZ, CA 93460-9726	
0000010369	18,000	0000010400	100	0000010310	2,700	0000010311	3,000
SUSAN C WEBER 3680 MATTEI ROAD SANTA YNEZ, CA 93460-9726		ALICE J WHITE 6146 COVINGTON WAY GOLSTA, CA 93117-1719		MICHAEL ZIEGELBAUM 3 KENSINGTON ROAD SCARSDALE, NY 10583-2258		MICHAEL ZIEGELBAUM 3 KENSINGTON RD SCARSDALE, NY 10583-2258	

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08/30/2010

AMERICAN STOCK TRA & TRUST COMPANY

*** LIST OF SHAREHOLDERS ***

HARRINGTON WEST FINANCIAL GROUP INC

111A-B

COMPANY: 13249

TOTAL NUMBER OF SHARES SELECTED : 7,364,989.000

TOTAL NUMBER OF ACCOUNTS SELECTED: 96

Party Name, Address and Telephone Number (CA State Bar No. If Applicable) Sharon M. Kopman Landau Gottfried & Berger LLP 1801 Century Park East Suite 1460 Los Angeles, CA 90067 (310) 557-0050 Fax:(310) 557-0056 CA State Bar Number: 164449	FOR COURT USE ONLY
UNITED STATES BANKRUPTCY COURT CENTRAL DISTRICT OF CALIFORNIA	
In re: Harrington West Financial Group, Inc.	CHAPTER 11 CASE NUMBER
Debtor.	(No Hearing Required)

**VENUE DISCLOSURE FORM
FOR CORPORATIONS FILING CHAPTER 11
(Required by General Order 97-02)**

Attach additional sheets as necessary and indicate so in each section

1. Specify the address of the principal office of the Debtor currently on file with the California Secretary of State (from Form S0100, S0200, or S0300):
610 Alamo Pintado Road, Solvang, CA 93463
2. Specify the address of the principal office of the Debtor listed on the Debtor's most recent federal tax return:
460 Alisal Road, Solvang, CA 93463
3. Disclose the current business address(es) for all corporate officers:
460 Alisal Road, Solvang, CA 93463
4. Disclose the current business address(es) where the Debtor's books and records are located:
**460 Alisal Road, Solvang, CA 93463
610 Alamo Pintado Road, Solvang, CA 93463**
5. List the address(es) where the majority of the Debtor's assets are located based on a book value determination as set forth on the Debtor's most recent balance sheet:
460 Alisal Road, Solvang, CA 93463
6. Disclose any different address(es) to those listed above within six months prior to the filing of this petition and state the reasons for the change in address(es):
P.O. Box 442, Solvang, CA 93464 (mailing address for Debtor after Bank placed into receivership and Debtor moved its offices)
7. State the name and address of the officer signing this Statement and the relationship of such person to the Debtor (specify):
**William W. Phillips, Jr.
President
460 Alisal Road, Solvang, CA 93463**
8. Total number of attached pages of supporting documentation: 0

Venue Disclosure Form for Corporations Filing Chapter 11 - Page 2

VEN-C


In re Harrington West Financial Group, Inc. Debtor.	CHAPTER 11 CASE NUMBER
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9. I declare under penalty of perjury under the laws of the United States of America, that the foregoing is true and correct.

Executed on 9-10-2010 at Salt Lake City, California.

William W. Phillips, Jr.
Type Name of Officer

President
Position or Title of Officer


Signature of Declarant


STATEMENT OF RELATED CASES
INFORMATION REQUIRED BY LOCAL BANKRUPTCY RULE 1015-2
UNITED STATES BANKRUPTCY COURT, CENTRAL DISTRICT OF CALIFORNIA

1. A petition under the Bankruptcy Act of 1898 or the Bankruptcy Reform Act of 1978 has previously been filed by or against the debtor, his/her spouse, his or her current or former domestic partner, an affiliate of the debtor, any copartnership or joint venture of which debtor is or formerly was a general or limited partner, or member, or any corporation of which the debtor is a director, officer, or person in control, as follows: (Set forth the complete number and title of each such of prior proceeding, date filed, nature thereof, the Bankruptcy Judge and court to whom assigned, whether still pending and, if not, the disposition thereof. If none, so indicate. Also, list any real property included in Schedule A that was filed with any such prior proceeding(s).)
None.
2. (If petitioner is a partnership or joint venture) A petition under the Bankruptcy Act of 1898 or the Bankruptcy Reform Act of 1978 has previously been filed by or against the debtor or an affiliate of the debtor, or a general partner in the debtor, a relative of the general partner, general partner of, or person in control of the debtor, partnership in which the debtor is a general partner, general partner of the debtor, or person in control of the debtor as follows: (Set forth the complete number and title of each such prior proceeding, date filed, nature of the proceeding, the Bankruptcy Judge and court to whom assigned, whether still pending and, if not, the disposition thereof. If none, so indicate. Also, list any real property included in Schedule A that was filed with any such prior proceeding(s).)
None.
3. (If petitioner is a corporation) A petition under the Bankruptcy Act of 1898 or the Bankruptcy Reform Act of 1978 has previously been filed by or against the debtor, or any of its affiliates or subsidiaries, a director of the debtor, an officer of the debtor, a person in control of the debtor, a partnership in which the debtor is general partner, a general partner of the debtor, a relative of the general partner, director, officer, or person in control of the debtor, or any persons, firms or corporations owning 20% or more of its voting stock as follows: (Set forth the complete number and title of each such prior proceeding, date filed, nature of proceeding, the Bankruptcy Judge and court to whom assigned, whether still pending, and if not, the disposition thereof. If none, so indicate. Also, list any real property included in Schedule A that was filed with any such prior proceeding(s).)
None.
4. (If petitioner is an individual) A petition under the Bankruptcy Reform Act of 1978, including amendments thereof, has been filed by or against the debtor within the last 180 days: (Set forth the complete number and title of each such prior proceeding, date filed, nature of proceeding, the Bankruptcy Judge and court to whom assigned, whether still pending, and if not, the disposition thereof. If none, so indicate. Also, list any real property included in Schedule A that was filed with any such prior proceeding(s).)
None.

I declare, under penalty of perjury, that the foregoing is true and correct.

Executed at Solvang, California.

Dated September 10, 2010


William W. Phillips, Jr.
Debtor

Joint Debtor