


B10 (Official Form 10) (04/10)

UNITED STATES BANKRUPTCY COURT Central District Of California		PROOF OF CLAIM
Name of Debtor: Harrington West Financial Group, Inc.		Case Number: 9:10-14677-RR
NOTE: This form should not be used to make a claim for an administrative expense arising after the commencement of the case. A request for payment of an administrative expense may be filed pursuant to 11 U.S.C. § 503.		
Name of Creditor (the person or other entity to whom the debtor owes money or property): American Stock Transfer		<input type="checkbox"/> Check this box to indicate that this claim amends a previously filed claim.
Name and address where notices should be sent: American Stock Transfer 59 Maiden Ln New York, NY 10038-4667 <i>American Stock Transfer & Trust Co, LLC 6201 15th Avenue Brooklyn NY 11219 Attn: General Counsel</i>		Court Claim Number: _____ (if known)
Telephone number: <i>718.921.8200</i>		Filed on: _____
Name and address where payment should be sent (if different from above):		<input type="checkbox"/> Check this box if you are aware that anyone else has filed a proof of claim relating to your claim. Attach copy of statement giving particulars.
Telephone number:		<input type="checkbox"/> Check this box if you are the debtor or trustee in this case.
1. Amount of Claim as of Date Case Filed: \$ <u>263.00</u>		5. Amount of Claim Entitled to Priority under 11 U.S.C. §507(a). If any portion of your claim falls in one of the following categories, check the box and state the amount.
If all or part of your claim is secured, complete item 4 below; however, if all of your claim is unsecured, complete item 4. If all or part of your claim is entitled to priority, complete item 5. <input type="checkbox"/> Check this box if claim includes interest or other charges in addition to the principal amount of claim. Attach itemized statement of interest or charges.		
2. Basis for Claim: <u>transfer agent fees for services performed</u> (See instruction #2 on reverse side.)		Specify the priority of the claim. <input type="checkbox"/> Domestic support obligations under 11 U.S.C. §507(a)(1)(A) or (a)(1)(B). <input type="checkbox"/> Wages, salaries, or commissions (up to \$11,725*) earned within 180 days before filing of the bankruptcy petition or cessation of the debtor's business, whichever is earlier - 11 U.S.C. §507 (a)(4). <input type="checkbox"/> Contributions to an employee benefit plan - 11 U.S.C. §507 (a)(5). <input type="checkbox"/> Up to \$2,600* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use - 11 U.S.C. §507 (a)(7). <input type="checkbox"/> Taxes or penalties owed to governmental units - 11 U.S.C. §507 (a)(8). <input type="checkbox"/> Other - Specify applicable paragraph of 11 U.S.C. §507 (a)(____).
3. Last four digits of any number by which creditor identifies debtor: <u>3249</u>		<div style="border: 2px solid black; padding: 5px; display: inline-block;"> <p style="margin: 0;">FILED</p> <p style="margin: 0;">NOV 19 2010</p> <p style="margin: 0; font-size: small;">CLERK U.S. BANKRUPTCY COURT CENTRAL DISTRICT OF CALIFORNIA BY: _____</p> </div> <div style="text-align: center;"> <p style="font-size: 2em; margin: 0;">RECEIVED</p> <p style="font-size: 1.5em; margin: 0;">MAR 09 2011</p> <p style="font-size: 1.5em; margin: 0;">BMC GROUP</p> </div>
3a. Debtor may have scheduled account as: _____ (See instruction #3a on reverse side.)		
4. Secured Claim (See instruction #4 on reverse side.) Check the appropriate box if your claim is secured by a lien on property or a right of setoff and provide the requested information. Nature of property or right of setoff: <input type="checkbox"/> Real Estate <input type="checkbox"/> Motor Vehicle <input type="checkbox"/> Other Describe: _____ Value of Property: \$ _____ Annual Interest Rate _____ % Amount of arrearage and other charges as of time case filed included in secured claim: \$ _____ if any: \$ _____ Basis for perfection: _____ Amount of Secured Claim: \$ _____ Amount Unsecured: \$ _____		
6. Credits: The amount of all payments on this claim has been credited for the purpose of making this proof of claim.		Amount entitled to priority: \$ _____
7. Documents: Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. You may also attach a summary. Attach redacted copies of documents providing evidence of perfection of a security interest. You may also attach a summary. (See instruction 7 and definition of "redacted" on reverse side.) DO NOT SEND ORIGINAL DOCUMENTS. ATTACHED DOCUMENTS MAY BE DESTROYED AFTER SCANNING. If the documents are not available, please explain:		*Amounts are subject to adjustment on 4/1/13 and every 3 years thereafter with respect to cases commenced on or after the date of adjustment.
Date: <u>11/19/10</u> Signature: The person filing this claim must sign it. Sign and print name and title, if any, of the creditor or other person authorized to file this claim and state address and telephone number if different from the notice address above. Attach copy of power of attorney, if any. <i>[Signature]</i> <u>KARISHMA KADIAN, counsel</u>		

Penalty for presenting fraudulent claim: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 and 3571.

Harrington West

 00005



AMERICAN STOCK
Transfer & Trust Company, LLC
MEMBER SIPC

Accounts Receivable History for company: 13249 HARRINGTON WEST FINANCIAL GROUP INC

<u>Date</u>	<u>Invoice</u>	<u>Amount</u>	<u>Receipts</u>	<u>Balance</u>
01/2009	1324920081230	\$768.86	\$0.00	\$768.86
02/2009	1324920090130	\$750.00	\$1,518.86	\$0.00
03/2009	1324920090227	\$1,122.80	\$0.00	\$1,122.80
04/2009	1324920090331	\$770.82	\$0.00	\$1,893.62
05/2009	1324920090430	\$1,673.58	\$3,567.20	\$0.00
06/2009	1324920090529	\$1,750.00	\$0.00	\$1,750.00
07/2009	1324920090630	\$750.00	\$1,750.00	\$750.00
08/2009	1324920090730	\$750.00	\$750.00	\$750.00
09/2009	1324920090831	\$750.00	\$1,500.00	\$0.00
10/2009	1324920090930	\$750.00	\$0.00	\$750.00
11/2009	1324920091030	\$750.00	\$750.00	\$750.00
12/2009	1324920091130	\$867.44	\$750.00	\$867.44
01/2010	1324920091231	\$750.00	\$867.44	\$750.00
02/2010	1324920100129	\$750.00	\$750.00	\$750.00
03/2010	1324920100301	\$750.00	\$1,500.00	\$0.00
04/2010	1324920100401	\$750.00	\$750.00	\$0.00
05/2010	1324920100430	\$750.00	\$0.00	\$750.00
06/2010	1324920100601	\$750.00	\$750.00	\$750.00
07/2010	1324920100701	\$1,950.00	\$0.00	\$2,700.00
08/2010	1324920100802	\$1,504.93	\$4,204.93	\$0.00
09/2010	1324920100901	\$788.00	\$0.00	\$788.00

Central District Of California Claims Register

9:10-bk-14677-RR Harrington West Financial Group, Inc.

Judge: Robin Riblet **Chapter:** 11

Office: Santa Barbara **Last Date to file claims:** 01/20/2011

Trustee: **Last Date to file (Govt):** 03/09/2011

<i>Creditor:</i> (27970334) AMERICAN STOCK TRANSFER & TRUST LLC ATTN:GENERAL COUNSEL 6201 15TH AVE BROOKLYN NY 11219	Claim No: 5 <i>Original Filed</i> Date: 11/19/2010 <i>Original Entered</i> Date: 11/19/2010	<i>Status:</i> Filed by: CR Entered by: Ortiz, Amber Modified:
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Unknown claimed: \$263.00

Total claimed: \$263.00

History:

Details 5-1 11/19/2010 Claim #5 filed by AMERICAN STOCK TRANSFER & TRUST LLC, total amount claimed: \$263 (Ortiz, Amber)

Description:

Remarks:

Claims Register Summary

Case Name: Harrington West Financial Group, Inc.

Case Number: 9:10-bk-14677-RR

Chapter: 11

Date Filed: 09/10/2010

Total Number Of Claims: 1

	Total Amount Claimed	Total Amount Allowed
Unsecured		
Secured		
Priority		
Unknown	\$263.00	
Administrative		
Total	\$263.00	\$0.00