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Legal Document

Connecticut Bankruptcy Court
Case No. 14-51485
Rochdale Securities, LLC

Document 1



View Document



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B1 (Official Form 1)(04/13)

**United States Bankruptcy Court
District of Connecticut**

Voluntary Petition

Name of Debtor (if individual, enter Last, First, Middle): Rochdale Securities, LLC	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): DBA Rochdale Capital Advisors; DBA Rochdale Capital Management	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) 20-1093348	Last four digits of Soc. Sec. or Individual-Taxpayer I.D. (ITIN) No./Complete EIN (if more than one, state all)
Street Address of Debtor (No. and Street, City, and State): 666 Summer Street Stamford, CT <div style="text-align: right; font-size: small;">ZIP Code 06901</div>	Street Address of Joint Debtor (No. and Street, City, and State): <div style="text-align: right; font-size: small;">ZIP Code</div>
County of Residence or of the Principal Place of Business: Fairfield	County of Residence or of the Principal Place of Business:
Mailing Address of Debtor (if different from street address): <div style="text-align: right; font-size: small;">ZIP Code</div>	Mailing Address of Joint Debtor (if different from street address): <div style="text-align: right; font-size: small;">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) <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.)	Nature of Business (Check one box) <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	Chapter of Bankruptcy Code Under Which the Petition is Filed (Check one box) <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
Chapter 15 Debtors Country of debtor's center of main interests: Each country in which a foreign proceeding by, regarding, or against debtor is pending:	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).	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.	Chapter 11 Debtors Check one box: <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 \$2,490,925 (amount subject to adjustment on 4/01/16 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

Debtor estimates that funds will be available for distribution to unsecured creditors.
 Debtor estimates that, after any exempt property is excluded and administrative expenses paid, there will be no funds available for distribution to unsecured creditors.

Estimated Number of Creditors

<input type="checkbox"/> 1-49	<input checked="" 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
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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 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
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Estimated Liabilities

<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 checked="" 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
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THIS SPACE IS FOR COURT USE ONLY

Voluntary Petition <i>(This page must be completed and filed in every case)</i>		Name of Debtor(s): Rochdale Securities, LLC	
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 with 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

(This page must be completed and filed in every case)

Name of Debtor(s):
Rochdale Securities, LLC

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.)

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.

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

Signature of Attorney*

X /s/ Stephen M. Kindseth
Signature of Attorney for Debtor(s)

Stephen M. Kindseth ct14640
Printed Name of Attorney for Debtor(s)

Zeisler & Zeisler, P.C.
Firm Name

10 Middle Street, 15th Floor
P.O. Box 1220
Bridgeport, CT 06604

Address

(203) 368-4234 Fax: (203) 367-9678
Telephone Number

September 23, 2014
Date

*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.

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.

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. §110; 18 U.S.C. §156.

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 /s/ Daniel J. Crowley
Signature of Authorized Individual

Daniel J. Crowley
Printed Name of Authorized Individual

President
Title of Authorized Individual

September 23, 2014
Date

RESOLUTIONS ADOPTED BY
ROCHDALE SECURITIES, LLC

WE HEREBY CERTIFY to the following: (i) the undersigned are the voting members of Rochdale Securities, LLC, a Delaware limited liability company (hereinafter referred to as the “Company”); (ii) the following is a true and correct copy of the resolutions duly adopted by the members of the Company on or about September 19, 2014 (the “Resolutions”); and (iii) the Resolutions do not conflict with any order of any court or the operating agreement or regulation of the Company, and have not been in any way altered, amended or repealed, and are in full force and effect, unrevoked and unrescinded as of this date;

RESOLVED, that the Company (i) file a voluntary petition for reorganization pursuant to Chapter 11 of Title 11, United States Code (the “Bankruptcy Code”), (ii) if the circumstance arises prior to filing such a petition making necessary or convenient (a) consent to the entry of an order for relief in an involuntarily commenced Chapter 11 case, or (b) consent to the entry of an order for relief and convert an involuntarily commenced Chapter 7 case to a case under Chapter 11 and (iii) perform any and all such acts as are reasonable, advisable, expedient, convenient, proper or necessary to effect any of the foregoing;

FURTHER RESOLVED, that the co-managers of the Company, Daniel J. Crowley and Carl Acebes (each individually and collectively, the “Manager”), shall be and hereby are authorized and empowered to execute and deliver or cause to be filed, on behalf of the Company, (i) the voluntary petition of the Company pursuant to Chapter 11 of the Bankruptcy Code, (ii) the consent to the entry of an order for relief in an involuntarily commenced Chapter 11 case, or (iii) the consent to the entry of an order for relief and conversion of an involuntarily commenced Chapter 7 case to a case under Chapter 11, (iv) any and all other documents necessary or appropriate in connection therewith in such form or forms as the Manager so acting may approve;

FURTHER RESOLVED, that the above named Manager shall be and hereby is authorized and empowered to execute and deliver for and on behalf of the Company, as debtor and debtor-in-possession, such agreements, instruments and any and all other documents necessary or appropriate to facilitate the use of cash collateral under 11 U.S.C. § 363 or debtor-in-possession financing under 11 U.S.C. § 364 (collectively, the “Financing Documents”) and that Financing Documents containing such provisions, terms, conditions, covenants, warranties and representations as may be deemed necessary or appropriate by the Manager so acting hereby are approved.

FURTHER RESOLVED, that the law firm of Zeisler & Zeisler, P.C. shall be and hereby is authorized and empowered to represent the Company, as debtor and debtor-in-possession, in connection with any case commenced by or against it under the Bankruptcy Code;

FURTHER RESOLVED, that the above named Manager shall be and hereby is authorized and empowered to retain, on behalf of the Company, attorneys, financial advisors, accountants and experts as the Manager so acting shall deem appropriate in his judgment;

FURTHER RESOLVED, that the above named Manager shall be and hereby is authorized and empowered to take or cause to be taken any and all such further action, to execute and deliver any and all such further instruments and documents and to pay all such fees and expenses, as he shall deem appropriate in his or their judgment to fully carry out the intent and accomplish the purposes of the Resolutions; and

FURTHER RESOLVED, that all of the acts and transactions of any one or more of the Members of the Company and the Manager, which have been taken, caused to have been taken or made prior to the effective date of the Resolutions in connection with the matters set forth in the Resolutions, are hereby ratified, confirmed and approved.

/ s / Daniel J. Crowley
Daniel J. Crowley, Member

/ s / Kristen Talgo
Kristen Talgo, Member

/ s / Hal Tunick
Hal Tunick, Member

Rochdale Corporation, Member

By: / s / Carl Acebes
Carl Acebes, Chairman and CEO

B4 (Official Form 4) (12/07)

**United States Bankruptcy Court
District of Connecticut**

In re Rochdale Securities, LLC 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>
East Main St Equity Partners c/o Aegean Capital, LLC Attn Officer Mng or Gen. Agent 150 East 58th St, Suite 2000 New York, NY 10155	East Main St Equity Partners c/o Aegean Capital, LLC Attn Officer Mng or Gen. Agent New York, NY 10155	Breach of Lease subject to 502(d)	Contingent	1,045,251.96
National Union Fire Ins. Co. of Pittsburgh, PA Heather L. Leibowitz Esq (AIG) 701 East Gate Drive Mt. Laurel, NJ 08043	National Union Fire Ins. Co. of Pittsburgh, PA Heather L. Leibowitz Esq (AIG) Mt. Laurel, NJ 08043		Contingent	800,000.00
Karen Altschul as Trustee Unde Irrevocable Trust Agreement of Lawrence D. Altschul 7210 Ayrshire Lane Boca Raton, FL 33496	Karen Altschul as Trustee Unde Irrevocable Trust Agreement of Lawrence D. Altschul Boca Raton, FL 33496	Sub-debt, plus interest accruing from Dec. 18, 2013	Contingent	614,502.45
Eric Altschul as Trustee Under Irrevocable Trust Agreement of Lawrence D. Altschul 7210 Ayrshire Lane Boca Raton, FL 33496	Eric Altschul as Trustee Under Irrevocable Trust Agreement of Lawrence D. Altschul Boca Raton, FL 33496	Co-plaintiff with Karen Altschul	Contingent	614,502.45
Kristen Talgo 40 Mendota Avenue Rye, NY 10580	Kristen Talgo 40 Mendota Avenue Rye, NY 10580	Payment of sub-debt, plus interest from Nov. 15, 2012	Contingent	525,141.11
Pershing LLC Attn Officer Mng or Gen. Agent One Pershing Plaza Jersey City, NJ 07399	Pershing LLC Attn Officer Mng or Gen. Agent One Pershing Plaza Jersey City, NJ 07399		Disputed	524,169.73
Rochdale Corporation c/o Carl Acebes P.O. Box 989 Little Compton, RI 02837	Rochdale Corporation c/o Carl Acebes P.O. Box 989 Little Compton, RI 02837	Payment of sub-debt, plus interest from Nov. 2, 2012	Contingent	521,482.85

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

In re **Rochdale Securities, LLC**

Case No. _____

Debtor(s) _____

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>
Hal Tunick 10 Rose Lane Chappaqua, NY 10514	Hal Tunick 10 Rose Lane Chappaqua, NY 10514	Payment of sub-debt, plus interest from Nov. 2, 2012	Contingent	521,482.85
Pat Burke 51 Cobbs Mill Road Wilton, CT 06897	Pat Burke 51 Cobbs Mill Road Wilton, CT 06897			150,000.00
Harbor Capital Appreciation Fund Attn Officer Mng or Gen. Agent 111 Soth Wacker Drive Chicago, IL 60606	Harbor Capital Appreciation Fund Attn Officer Mng or Gen. Agent Chicago, IL 60606			121,463.96
Abraham Mirman 5 Stonehenge Lane East Northport, NY 11731	Abraham Mirman 5 Stonehenge Lane East Northport, NY 11731	Claim for return of security deposit	Contingent	46,434.56
Morgan Stanley Attn Accounts Receivable P.O. Box 860 New York, NY 10008-0860	Morgan Stanley Attn Accounts Receivable P.O. Box 860 New York, NY 10008-0860		Disputed	42,946.50
Owens Illinois, Inc. Attn Officer Mng or Gen. Agent One Michael Owens Way Perrysburg, OH 43551	Owens Illinois, Inc. Attn Officer Mng or Gen. Agent One Michael Owens Way Perrysburg, OH 43551			40,977.78
John Ratkoski 11 Whitecedar Lane Holmdel, NJ 07733	John Ratkoski 11 Whitecedar Lane Holmdel, NJ 07733			40,703.00
Verizon - 732-758-6917 Attn Officer Mng or Gen. Agent P.O. Box 4648 Trenton, NJ 08650-4648	Verizon - 732-758-6917 Attn Officer Mng or Gen. Agent P.O. Box 4648 Trenton, NJ 08650-4648		Disputed	28,493.72
Abbott Laboratories Attn Officer Mng or Gen. Agent 100 Abbott Park Road Chicago, IL 60604	Abbott Laboratories Attn Officer Mng or Gen. Agent 100 Abbott Park Road Chicago, IL 60604			25,196.05
Daniel Crowley 467 N. Wilton Road New Canaan, CT 06840	Daniel Crowley 467 N. Wilton Road New Canaan, CT 06840		Contingent	25,061.87
Daniel Crowley 467 N. Wilton Road New Canaan, CT 06840	Daniel Crowley 467 N. Wilton Road New Canaan, CT 06840	Wages owed		24,475.28

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

In re Rochdale Securities, LLC
Debtor(s)

Case No. _____

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

(1)	(2)	(3)	(4)	(5)
<i>Name of creditor and complete mailing address including zip code</i>	<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>	<i>Nature of claim (trade debt, bank loan, government contract, etc.)</i>	<i>Indicate if claim is contingent, unliquidated, disputed, or subject to setoff</i>	<i>Amount of claim [if secured, also state value of security]</i>
SunGuard Institutional Brokerage Inc. Attn Officer Mng or Gen. Agent 2100 Enterprise Avenue Geneva, IL 60134	SunGuard Institutional Brokerage Inc. Attn Officer Mng or Gen. Agent Geneva, IL 60134		Disputed	23,261.16
IPC Systems-Maintenance Attn Officer Mng or Gen. Agent 777 Commerce Drive Floor 2 Fairfield, CT 06825	IPC Systems-Maintenance Attn Officer Mng or Gen. Agent 777 Commerce Drive Fairfield, CT 06825		Disputed	18,122.79

**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 23, 2014

Signature /s/ Daniel J. Crowley
Daniel J. Crowley
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
District of Connecticut**

In re **Rochdale Securities, LLC**

Debtor(s)

Case No.
Chapter

11

VERIFICATION OF CREDITOR MATRIX

I, the President of the corporation named as the debtor in this case, hereby verify that the attached list of creditors is true and correct to the best of my knowledge.

Date: **September 23, 2014**

/s/ Daniel J. Crowley

Daniel J. Crowley/President

Signer/Title

Internal Revenue Services
Department of the Treasury
11601 Roosevelt Blvd.
PO Box 21126
Philadelphia, PA 19114-0326

State of CT
Dept of Revenue Services
C&E Div, Bankruptcy Section
25 Sigourney St.
Hartford, CT 06106

17a4, LLC
Attn Officer Mng or Gen. Agent
15 Breeze Hill
P.O. Box 1492
Millbrook, NY 12545

Abbott Laboratories
Attn Officer Mng or Gen. Agent
100 Abbott Park Road
Chicago, IL 60604

Abraham Mirman
5 Stonehenge Lane
East Northport, NY 11731

Airtech of Stamford
Attn Officer Mng or Gen. Agent
21 Anthony Street
Stamford, CT 06902

Albert Fried & Company, LLC
Attn Officer Mng or Gen. Agent
45 Broadway, 24th Floor
New York, NY 10006

Allied Communications
Attn Officer Mng or Gen. Agent
88 Farwell Street
West Haven, CT 06516

Andrew M. Zeitlin, Esq.
Shipman & Goodwin
300 Summer Street
3rd Floor
Stamford, CT 06901-3522

AOS Express
Attn Officer Mng or Gen. Agent
87 Taylor Avenue
Norwalk, CT 06854

AT&T Business Service
Attn Officer Mng or Gen. Agent
14575 Presidio Square
Room CR
Houston, TX 77083

Bluewater Inv. Mgmt
Attn Officer Mng or Gen. Agent
150 King Street West, Ste. 150
Toronto, Ontario M5H 1J9

California State Teacher's
Retirement Sys.
Attn Officer Mng or Gen. Agent
100 Waterfront Place
West Sacramento, CA 95605

Cardoza Properties, Inc.
Attn Officer Mng or Gen. Agent
101 Ellinwood Drive
Pleasant Hill, CA 94523

CDW Direct
Attn Officer Mng or Gen. Agent
P.O. Box 75723
Chicago, IL 60675-5723

Century Link
Attn Officer Mng or Gen. Agent
P.O. Box 1319
Charlotte, NC 28201-1319

Ceridian Benefits Services
Attn Officer Mng or Gen. Agent
3201 64th Street South
Saint Petersburg, FL 33711

Coffee Distributing Corp.
Attn Officer Mng or Gen. Agent
200 Broadway
Garden City Park, NY 11040

Coffee Distributing Corp.
Attn Officer Mng or Gen. Agent
200 Broadway
New Hyde Park, NY 11040

Cogent Communications, Inc.
Attn: Billing Dept.
1015 31st Street, NW
Washington, DC 20007

Comcast
Attn Officer Mng or Gen. Agent
7394 Lake Worth Road
Lake Worth, FL 33467-2500

Comcast Business Services
Attn Officer Mng or Gen. Agent
7475 South Joliet Street
Englewood, CO 80112

Corporation Service Company
Attn Officer Mng or Gen. Agent
2711 Centerville Road
Wilmington, DE 19808

Cramer Rosenthal McGlynn
Attn Officer Mng or Gen. Agent
520 Madison Avenue
New York, NY 10022

Daniel Crowley
467 N. Wilton Road
New Canaan, CT 06840

Daniel R. Korb, Jr.
Bressler, Amery & Ross
325 Columbia Turnpike
Suite 301
Florham Park, NJ 07932

Dell Marketing L.P. /
Dell USA L.P.
P.O. Box 643561
Pittsburgh, PA 15264-3561

DGA Security Systems, Inc.
Attn Officer Mng or Gen. Agent
P.O. Box 1920
New York, NY 10101-1920

DME Securities, LLC
Attn Officer Mng or Gen. Agent
44 Wall Street
12th Floor
New York, NY 10005

Dow Jones & Company, Inc.
Billing Inquiries N/S
P.O. Box 300
Princeton, NJ 08543-0300

Doyle Inc.
c/o Craig Esposito
384 Magnolia Avenue
Hillsdale, NJ 07642-1531

E&J Securities
Attn Officer Mng or Gen. Agent
155 Whitewood Drive
Massapequa Park, NY 11762

East Main St Equity Partners
c/o Aegean Capital, LLC
Attn Officer Mng or Gen. Agent
150 East 58th St, Suite 2000
New York, NY 10155

Elite Service Group
Attn Officer Mng or Gen. Agent
40 West 27th Street
12th Floor
New York, NY 10001

Empire Executions Inc.
Attn Officer Mng or Gen. Agent
40 Wall Street
17th Floor
New York, NY 10005

Eric Altschul as Trustee Under
Irrevocable Trust Agreement
of Lawrence D. Altschul
7210 Ayrshire Lane
Boca Raton, FL 33496

Evaluserve Inc.
Attn Officer Mng or Gen. Agent
615 South Dupont Highway
Dover, DE 19901

EZE Castle Transaction Service
A ConvergEx Group Company
Attn Officer Mng or Gen. Agent
P.O. Box 13309
Newark, NJ 07101-3309

Global Crossing Conferencing
Attn Officer Mng or Gen. Agent
550 South 24th Street W
Suite 103
Billings, MT 59102-6361

Gold Seal Car & Limo Inc.
Attn Officer Mng or Gen. Agent
2-24 51st Avenue
Long Island City, NY 11101

Hal Tunick
10 Rose Lane
Chappaqua, NY 10514

Harbor Capital Appreciation
Fund
Attn Officer Mng or Gen. Agent
111 Soth Wacker Drive
Chicago, IL 60606

Hawaii Employees Retirement
System
Attn Officer Mng or Gen. Agent
201 Merchant Street
Honolulu, HI 96813

Interactive Data Pricing and
Reference Data LLC
Attn Officer Mng or Gen. Agent
32 Crosby Drive
Bedford, MA 01730

IPC Network Services Inc.
Attn Officer Mng or Gen. Agent
1 State Street
12th Floor
New York, NY 10004

IPC Systems-Maintenance
Attn Officer Mng or Gen. Agent
777 Commerce Drive
Floor 2
Fairfield, CT 06825

IPREO - BigDough
Attn Officer Mng or Gen. Agent
4833 Rugby Avenue
Suite 600
Bethesda, MD 20814

John Ratkoski
11 Whitecedar Lane
Holmdel, NJ 07733

Karen Altschul as Trustee Under
Irrevocable Trust Agreement
of Lawrence D. Altschul
7210 Ayrshire Lane
Boca Raton, FL 33496

Kristen Talgo
40 Mendota Avenue
Rye, NY 10580

Linedata Services, Inc.
Attn Officer Mng or Gen. Agent
260 Franklin Street
Suite 1300
Boston, MA 02110

M. Milestones
Attn Officer Mng or Gen. Agent
32 Forest Street
New Canaan, CT 06840-4701

Markit on Demand, Inc.
Attn Officer Mng or Gen. Agent
5718 Central Avenue
Boulder, CO 80301

McCauley Securities, LTD
Attn Officer Mng or Gen. Agent
40 Wall Street
Suite 1704
New York, NY 10005

Montecito Advisors, Inc.
Attn Officer Mng or Gen. Agent
2015B State Street
Santa Barbara, CA 93105

Morgan Stanley
Attn Accounts Receivable
P.O. Box 860
New York, NY 10008-0860

Murphy & Durieu LLP
Attn Officer Mng or Gen. Agent
120 Broadway
New York, NY 10271

National Union Fire Ins. Co.
of Pittsburgh, PA
Heather L. Leibowitz Esq (AIG)
701 East Gate Drive
Mt. Laurel, NJ 08043

Neovest, Inc.
Attn Officer Mng or Gen. Agent
1145 South 800 East
Orem, UT 84097

Nicholas-Applegate Capital Mgm
Attn Officer Mng or Gen. Agent
600 W. Broadway
San Diego, CA 92101

NYFIX (NYSE Technologies)
Attn Officer Mng or Gen. Agent
Box 223613
Pittsburgh, PA 15251-2613

NYSE Market, Inc.
Attn Officer Mng or Gen. Agent
Box #223695
Pittsburgh, PA 15251-2695

Omego LLC
Attn Officer Mng or Gen. Agent
22 Thomson Place
Boston, MA 02210

Omego LLC
Attn Officer Mng or Gen. Agent
22 Thomson Place
Boston, MA 02110

Options Price Reporting
Authority LLC
Attn Officer Mng or Gen. Agent
400 South LaSalle
Chicago, IL 60605

Owens Illinois, Inc.
Attn Officer Mng or Gen. Agent
One Michael Owens Way
Perrysburg, OH 43551

Paragon Micro Inc.
Attn Officer Mng or Gen. Agent
Dept. 7116
Carol Stream, IL 60122-7116

Pat Burke
51 Cobbs Mill Road
Wilton, CT 06897

Pension Reserves Investment
Management Board
Attn Officer Mng or Gen. Agent
84 State St., Suite 250
Boston, MA 02109

Pershing LLC
Attn Officer Mng or Gen. Agent
One Pershing Plaza
Jersey City, NJ 07399

Pivot
Attn Officer Mng or Gen. Agent
P.O. Box 5242
New York, NY 10087-5242

Rochdale Corporation
c/o Carl Acebes
P.O. Box 989
Little Compton, RI 02837

Rochdale Corporation
Attn Officer Mng or Gen. Agent
P.O. Box 989
Little Compton, RI 02837

Seamless North America, LLC
Attn Officer Mng or Gen. Agent
P.O. Box 5439
New York, NY 10087-5439

Stanley Convergent
Security Solutions
Attn Officer Mng or Gen. Agent
55 Shuman Blvd, Suite 900
Naperville, IL 60563

Stephen G. Walko
Ivey Barnum & O'Mara, LLC
170 Mason Street
Greenwich, CT 06830

SunGuard Institutional
Brokerage Inc.
Attn Officer Mng or Gen. Agent
2100 Enterprise Avenue
Geneva, IL 60134

T-Mobile Customer Relations
Attn Officer Mng or Gen. Agent
P.O. Box 37380
Albuquerque, NM 87178-7380

The Financial Library
Attn Officer Mng or Gen. Agent
P.O. Box 2341
Boca Raton, FL 33427

The Macgregor Group, Inc.-ITG
Attn Officer Mng or Gen. Agent
100 High Street
Boston, MA 02110

The NASDAQ Stock Market LLC
c/o Wells Fargo Bank
Lockbox 10200
P.O. Box 8500
Philadelphia, PA 19178-0200

Thomas Reuters
Attn Officer Mng or Gen. Agent
22 Thomson Place
Boston, MA 02210

Time Warner Cable
Attn Officer Mng or Gen. Agent
41-61 Kissena Blvd.
Flushing, NY 11355-3189

TR Winston & Co
Attn: Jack Galuchie
376 Main Street
P.O. Box 74
Bedminster, NJ 07921

TSX Inc. - The Exchange Tower
Attn Officer Mng or Gen. Agent
PO Box 421- 130 King St West
Toronto, Ontario M5X 1J2

Verizon
Attn Officer Mng or Gen. Agent
P.O. Box 15124
Albany, NY 12212-5124

Verizon
Attn Officer Mng or Gen. Agent
P.O. Box 4648
Trenton, NJ 08650-4648

Verizon - 732-758-0109
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P.O. Box 4648
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Verizon - 732-758-4780
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P.O. Box 4648
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Verizon - 732-758-6917
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P.O. Box 4648
Trenton, NJ 08650-4648

Verizon - 732-842-3861
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P.O. Box 4648
Trenton, NJ 08650-4648

WEST 45 APF LLC
c/o APF Properties LLC
Attn Officer Mng or Gen. Agent
28 West 44th Street
New York, NY 10036

XO Communications
Attn Officer Mng or Gen. Agent
8851 Sandy Parkway
Sandy, UT 84070

Zantaz (an Autonomy Company)
Attn Officer Mng or Gen. Agent
5758 W. Las Positas Blvd.
Pleasanton, CA 94588