

**United States Bankruptcy Court
District of Connecticut**

In re **Rochdale Securities, LLC**,
Debtor

Case No. **14-51485**

Chapter **11**

SUMMARY OF SCHEDULES

Indicate as to each schedule whether that schedule is attached and state the number of pages in each. Report the totals from Schedules A, B, D, E, F, I, and J in the boxes provided. Add the amounts from Schedules A and B to determine the total amount of the debtor's assets. Add the amounts of all claims from Schedules D, E, and F to determine the total amount of the debtor's liabilities. Individual debtors must also complete the "Statistical Summary of Certain Liabilities and Related Data" if they file a case under chapter 7, 11, or 13.

NAME OF SCHEDULE	ATTACHED (YES/NO)	NO. OF SHEETS	ASSETS	LIABILITIES	OTHER
A - Real Property	Yes	1	0.00		
B - Personal Property	Yes	4	199,030.27		
C - Property Claimed as Exempt	No	0			
D - Creditors Holding Secured Claims	Yes	1		0.00	
E - Creditors Holding Unsecured Priority Claims (Total of Claims on Schedule E)	Yes	1		0.00	
F - Creditors Holding Unsecured Nonpriority Claims	Yes	19		5,907,958.01	
G - Executory Contracts and Unexpired Leases	Yes	1			
H - Codebtors	Yes	1			
I - Current Income of Individual Debtor(s)	No	0			N/A
J - Current Expenditures of Individual Debtor(s)	No	0			N/A
Total Number of Sheets of ALL Schedules		28			
Total Assets			199,030.27		
Total Liabilities				5,907,958.01	

**United States Bankruptcy Court
District of Connecticut**

In re **Rochdale Securities, LLC**,
Debtor

Case No. **14-51485**

Chapter **11**

STATISTICAL SUMMARY OF CERTAIN LIABILITIES AND RELATED DATA (28 U.S.C. § 159)

If you are an individual debtor whose debts are primarily consumer debts, as defined in § 101(8) of the Bankruptcy Code (11 U.S.C. § 101(8)), filing a case under chapter 7, 11 or 13, you must report all information requested below.

☐ Check this box if you are an individual debtor whose debts are NOT primarily consumer debts. You are not required to report any information here.

This information is for statistical purposes only under 28 U.S.C. § 159.

Summarize the following types of liabilities, as reported in the Schedules, and total them.

Type of Liability	Amount
Domestic Support Obligations (from Schedule E)	
Taxes and Certain Other Debts Owed to Governmental Units (from Schedule E)	
Claims for Death or Personal Injury While Debtor Was Intoxicated (from Schedule E) (whether disputed or undisputed)	
Student Loan Obligations (from Schedule F)	
Domestic Support, Separation Agreement, and Divorce Decree Obligations Not Reported on Schedule E	
Obligations to Pension or Profit-Sharing, and Other Similar Obligations (from Schedule F)	
TOTAL	

State the following:

Average Income (from Schedule I, Line 12)	
Average Expenses (from Schedule J, Line 22)	
Current Monthly Income (from Form 22A Line 12; OR, Form 22B Line 11; OR, Form 22C Line 20)	

State the following:

1. Total from Schedule D, "UNSECURED PORTION, IF ANY" column		
2. Total from Schedule E, "AMOUNT ENTITLED TO PRIORITY" column		
3. Total from Schedule E, "AMOUNT NOT ENTITLED TO PRIORITY, IF ANY" column		
4. Total from Schedule F		
5. Total of non-priority unsecured debt (sum of 1, 3, and 4)		

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE A - REAL PROPERTY

Except as directed below, list all real property in which the debtor has any legal, equitable, or future interest, including all property owned as a cotenant, community property, or in which the debtor has a life estate. Include any property in which the debtor holds rights and powers exercisable for the debtor's own benefit. If the debtor is married, state whether husband, wife, both, or the marital community own the property by placing an "H," "W," "J," or "C" in the column labeled "Husband, Wife, Joint, or Community." If the debtor holds no interest in real property, write "None" under "Description and Location of Property."

Do not include interests in executory contracts and unexpired leases on this schedule. List them in Schedule G - Executory Contracts and Unexpired Leases.

If an entity claims to have a lien or hold a secured interest in any property, state the amount of the secured claim. See Schedule D. If no entity claims to hold a secured interest in the property, write "None" in the column labeled "Amount of Secured Claim." If the debtor is an individual or if a joint petition is filed, state the amount of any exemption claimed in the property only in Schedule C - Property Claimed as Exempt.

Description and Location of Property	Nature of Debtor's Interest in Property	Husband, Wife, Joint, or Community	Current Value of Debtor's Interest in Property, without Deducting any Secured Claim or Exemption	Amount of Secured Claim
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None

Sub-Total > **0.00** (Total of this page)

Total > **0.00**

(Report also on Summary of Schedules)

0 continuation sheets attached to the Schedule of Real Property

In re **Rochdale Securities, LLC**Case No. **14-51485**

Debtor

SCHEDULE B - PERSONAL PROPERTY

Except as directed below, list all personal property of the debtor of whatever kind. If the debtor has no property in one or more of the categories, place an "x" in the appropriate position in the column labeled "None." If additional space is needed in any category, attach a separate sheet properly identified with the case name, case number, and the number of the category. If the debtor is married, state whether husband, wife, both, or the marital community own the property by placing an "H," "W," "J," or "C" in the column labeled "Husband, Wife, Joint, or Community." If the debtor is an individual or a joint petition is filed, state the amount of any exemptions claimed only in Schedule C - Property Claimed as Exempt.

Do not list interests in executory contracts and unexpired leases on this schedule. List them in Schedule G - Executory Contracts and Unexpired Leases.

If the property is being held for the debtor by someone else, state that person's name and address under "Description and Location of Property."

If the property is being held for a minor child, simply 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 and Fed. R. Bankr. P. 1007(m).

Type of Property	N O N E	Description and Location of Property	Husband, Wife, Joint, or Community	Current Value of Debtor's Interest in Property, without Deducting any Secured Claim or Exemption
1. Cash on hand	X			
2. Checking, savings or other financial accounts, certificates of deposit, or shares in banks, savings and loan, thrift, building and loan, and homestead associations, or credit unions, brokerage houses, or cooperatives.		Checking / Savings Account First County Bank	-	20,172.40
		Checking / Savings Account The Westchester Bank	-	74,325.44
3. Security deposits with public utilities, telephone companies, landlords, and others.		Security Deposit West 45 St. APR, LLC	-	51,090.00
4. Household goods and furnishings, including audio, video, and computer equipment.	X			
5. Books, pictures and other art objects, antiques, stamp, coin, record, tape, compact disc, and other collections or collectibles.	X			
6. Wearing apparel.	X			
7. Furs and jewelry.	X			
8. Firearms and sports, photographic, and other hobby equipment.	X			
9. Interests in insurance policies. Name insurance company of each policy and itemize surrender or refund value of each.	X			
10. Annuities. Itemize and name each issuer.	X			

Sub-Total > **145,587.84**
(Total of this page)

3 continuation sheets attached to the Schedule of Personal Property

In re **Rochdale Securities, LLC**Case No. **14-51485**

Debtor

SCHEDULE B - PERSONAL PROPERTY

(Continuation Sheet)

Type of Property	N O N E	Description and Location of Property	Husband, Wife, Joint, or Community	Current Value of Debtor's Interest in Property, without Deducting any Secured Claim or Exemption
11. Interests in an education IRA as defined in 26 U.S.C. § 530(b)(1) or under a qualified State tuition plan as defined in 26 U.S.C. § 529(b)(1). Give particulars. (File separately the record(s) of any such interest(s). 11 U.S.C. § 521(c).)	X			
12. Interests in IRA, ERISA, Keogh, or other pension or profit sharing plans. Give particulars.	X			
13. Stock and interests in incorporated and unincorporated businesses. Itemize.	X			
14. Interests in partnerships or joint ventures. Itemize.	X			
15. Government and corporate bonds and other negotiable and nonnegotiable instruments.	X			
16. Accounts receivable.	X			
17. Alimony, maintenance, support, and property settlements to which the debtor is or may be entitled. Give particulars.	X			
18. Other liquidated debts owed to debtor including tax refunds. Give particulars.	X			
19. Equitable or future interests, life estates, and rights or powers exercisable for the benefit of the debtor other than those listed in Schedule A - Real Property.	X			
20. Contingent and noncontingent interests in estate of a decedent, death benefit plan, life insurance policy, or trust.	X			
21. Other contingent and unliquidated claims of every nature, including tax refunds, counterclaims of the debtor, and rights to setoff claims. Give estimated value of each.		Claims asserted in pending FINRA arbitration against Pershing LLC (Case No. 14-01061)	-	Unknown
		The debtor continues to evaluate various additional unliquidated claims.	-	Unknown

Sub-Total > **0.00**
(Total of this page)

Sheet 1 of 3 continuation sheets attached
to the Schedule of Personal Property

In re **Rochdale Securities, LLC**Case No. **14-51485**

Debtor

SCHEDULE B - PERSONAL PROPERTY

(Continuation Sheet)

Type of Property	N O N E	Description and Location of Property	Husband, Wife, Joint, or Community	Current Value of Debtor's Interest in Property, without Deducting any Secured Claim or Exemption
22. Patents, copyrights, and other intellectual property. Give particulars.	X			
23. Licenses, franchises, and other general intangibles. Give particulars.	X			
24. Customer lists or other compilations containing personally identifiable information (as defined in 11 U.S.C. § 101(41A)) provided to the debtor by individuals in connection with obtaining a product or service from the debtor primarily for personal, family, or household purposes.	X			
25. Automobiles, trucks, trailers, and other vehicles and accessories.	X			
26. Boats, motors, and accessories.	X			
27. Aircraft and accessories.	X			
28. Office equipment, furnishings, and supplies.		Office Equipment (book value) - a portion of this equipment is to be sold for \$10,000 pursuant to a pre-petition agreement, subject to Court approval	-	360.55
29. Machinery, fixtures, equipment, and supplies used in business.	X			
30. Inventory.	X			
31. Animals.	X			
32. Crops - growing or harvested. Give particulars.	X			
33. Farming equipment and implements.	X			
34. Farm supplies, chemicals, and feed.	X			
35. Other personal property of any kind not already listed. Itemize.		Restitution order against David Miller in the amount of \$5,292,202.50, See Case 3:13-cr- 00075-RNC (Doc. No. 67)	-	Unknown

Sub-Total > **360.55**
(Total of this page)

Sheet **2** of **3** continuation sheets attached
to the Schedule of Personal Property

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE B - PERSONAL PROPERTY

(Continuation Sheet)

Type of Property	N O N E	Description and Location of Property	Husband, Wife, Joint, or Community	Current Value of Debtor's Interest in Property, without Deducting any Secured Claim or Exemption
		Residual interest in indenture issued by Ivy Lane CDO Ltd. and Ivy Lane CDO Corp. (final amount due of \$53,081.88 paid to attorney trust account on 10/2/14-to be delivered to DIP account)	-	53,081.88

Sheet **3** of **3** continuation sheets attached to the Schedule of Personal Property

Sub-Total > **53,081.88**
(Total of this page)
Total > **199,030.27**

(Report also on Summary of Schedules)

In re **Rochdale Securities, LLC**Case No. **14-51485**

Debtor

SCHEDULE D - CREDITORS HOLDING SECURED CLAIMS

State the name, mailing address, including zip code, and last four digits of any account number of all entities holding claims secured by property of the debtor as of the date of filing of the petition. The complete account number of any account the debtor has with the creditor is useful to the trustee and the creditor and may be provided if the debtor chooses to do so. List creditors holding all types of secured interests such as judgment liens, garnishments, statutory liens, mortgages, deeds of trust, and other security interests.

List creditors in alphabetical order to the extent practicable. If a minor child is a creditor, 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 and Fed. R. Bankr. P. 1007(m). If all secured creditors will not fit on this page, use the continuation sheet provided.

If any entity other than a spouse in a joint case may be jointly liable on a claim, place an "X" in the column labeled "Codebtor", include the entity on the appropriate schedule of creditors, and complete Schedule H - Codebtors. If a joint petition is filed, state whether the husband, wife, both of them, or the marital community may be liable on each claim by placing an "H", "W", "J", or "C" in the column labeled "Husband, Wife, Joint, or Community".

If the claim is contingent, place an "X" in the column labeled "Contingent". If the claim is unliquidated, place an "X" in the column labeled "Unliquidated". If the claim is disputed, place an "X" in the column labeled "Disputed". (You may need to place an "X" in more than one of these three columns.)

Total the columns labeled "Amount of Claim Without Deducting Value of Collateral" and "Unsecured Portion, if Any" in the boxes labeled "Total(s)" on the last sheet of the completed schedule. Report the total from the column labeled "Amount of Claim" also on the Summary of Schedules and, if the debtor is an individual with primarily consumer debts, report the total from the column labeled "Unsecured Portion" on the Statistical Summary of Certain Liabilities and Related Data.

☐ Check this box if debtor has no creditors holding secured claims to report on this Schedule D.

CREDITOR'S NAME AND MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B T O R	H U S B A N D W I F E J O I N T C O M M U N I T Y	DATE CLAIM WAS INCURRED, NATURE OF LIEN, AND DESCRIPTION AND VALUE OF PROPERTY SUBJECT TO LIEN	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM WITHOUT DEDUCTING VALUE OF COLLATERAL	UNSECURED PORTION, IF ANY
Account No.								
			Value \$					
Account No.								
			Value \$					
Account No.								
			Value \$					
Account No.								
			Value \$					
Subtotal (Total of this page)								
Total (Report on Summary of Schedules)							0.00	0.00

0 continuation sheets attached

In re **Rochdale Securities, LLC**Case No. **14-51485**

Debtor

SCHEDULE E - CREDITORS HOLDING UNSECURED PRIORITY CLAIMS

A complete list of claims entitled to priority, listed separately by type of priority, is to be set forth on the sheets provided. Only holders of unsecured claims entitled to priority should be listed in this schedule. In the boxes provided on the attached sheets, state the name, mailing address, including zip code, and last four digits of the account number, if any, of all entities holding priority claims against the debtor or the property of the debtor, as of the date of the filing of the petition. Use a separate continuation sheet for each type of priority and label each with the type of priority.

The complete account number of any account the debtor has with the creditor is useful to the trustee and the creditor and may be provided if the debtor chooses to do so. If a minor child is a creditor, 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 and Fed. R. Bankr. P. 1007(m).

If any entity other than a spouse in a joint case may be jointly liable on a claim, place an "X" in the column labeled "Codebtor," include the entity on the appropriate schedule of creditors, and complete Schedule H-Codebtors. If a joint petition is filed, state whether the husband, wife, both of them, or the marital community may be liable on each claim by placing an "H," "W," "J," or "C" in the column labeled "Husband, Wife, Joint, or Community." If the claim is contingent, place an "X" in the column labeled "Contingent." If the claim is unliquidated, place an "X" in the column labeled "Unliquidated." If the claim is disputed, place an "X" in the column labeled "Disputed." (You may need to place an "X" in more than one of these three columns.)

Report the total of claims listed on each sheet in the box labeled "Subtotals" on each sheet. Report the total of all claims listed on this Schedule E in the box labeled "Total" on the last sheet of the completed schedule. Report this total also on the Summary of Schedules.

Report the total of amounts entitled to priority listed on each sheet in the box labeled "Subtotals" on each sheet. Report the total of all amounts entitled to priority listed on this Schedule E in the box labeled "Totals" on the last sheet of the completed schedule. Individual debtors with primarily consumer debts report this total also on the Statistical Summary of Certain Liabilities and Related Data.

Report the total of amounts not entitled to priority listed on each sheet in the box labeled "Subtotals" on each sheet. Report the total of all amounts not entitled to priority listed on this Schedule E in the box labeled "Totals" on the last sheet of the completed schedule. Individual debtors with primarily consumer debts report this total also on the Statistical Summary of Certain Liabilities and Related Data.

☒ Check this box if debtor has no creditors holding unsecured priority claims to report on this Schedule E.

TYPES OF PRIORITY CLAIMS (Check the appropriate box(es) below if claims in that category are listed on the attached sheets)☐ **Domestic support obligations**

Claims for domestic support that are owed to or recoverable by a spouse, former spouse, or child of the debtor, or the parent, legal guardian, or responsible relative of such a child, or a governmental unit to whom such a domestic support claim has been assigned to the extent provided in 11 U.S.C. § 507(a)(1).

☐ **Extensions of credit in an involuntary case**

Claims arising in the ordinary course of the debtor's business or financial affairs after the commencement of the case but before the earlier of the appointment of a trustee or the order for relief. 11 U.S.C. § 507(a)(3).

☐ **Wages, salaries, and commissions**

Wages, salaries, and commissions, including vacation, severance, and sick leave pay owing to employees and commissions owing to qualifying independent sales representatives up to \$12,475* per person earned within 180 days immediately preceding the filing of the original petition, or the cessation of business, whichever occurred first, to the extent provided in 11 U.S.C. § 507(a)(4).

☐ **Contributions to employee benefit plans**

Money owed to employee benefit plans for services rendered within 180 days immediately preceding the filing of the original petition, or the cessation of business, whichever occurred first, to the extent provided in 11 U.S.C. § 507(a)(5).

☐ **Certain farmers and fishermen**

Claims of certain farmers and fishermen, up to \$6,150* per farmer or fisherman, against the debtor, as provided in 11 U.S.C. § 507(a)(6).

☐ **Deposits by individuals**

Claims of individuals up to \$2,775* for deposits for the purchase, lease, or rental of property or services for personal, family, or household use, that were not delivered or provided. 11 U.S.C. § 507(a)(7).

☐ **Taxes and certain other debts owed to governmental units**

Taxes, customs duties, and penalties owing to federal, state, and local governmental units as set forth in 11 U.S.C. § 507(a)(8).

☐ **Commitments to maintain the capital of an insured depository institution**

Claims based on commitments to the FDIC, RTC, Director of the Office of Thrift Supervision, Comptroller of the Currency, or Board of Governors of the Federal Reserve System, or their predecessors or successors, to maintain the capital of an insured depository institution. 11 U.S.C. § 507(a)(9).

☐ **Claims for death or personal injury while debtor was intoxicated**

Claims for death or personal injury resulting from the operation of a motor vehicle or vessel while the debtor was intoxicated from using alcohol, a drug, or another substance. 11 U.S.C. § 507(a)(10).

* Amount subject to adjustment on 4/01/16, and every three years thereafter with respect to cases commenced on or after the date of adjustment.

In re **Rochdale Securities, LLC**Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS

State the name, mailing address, including zip code, and last four digits of any account number, of all entities holding unsecured claims without priority against the debtor or the property of the debtor, as of the date of filing of the petition. The complete account number of any account the debtor has with the creditor is useful to the trustee and the creditor and may be provided if the debtor chooses to do so. If a minor child is a creditor, 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 and Fed. R. Bankr. P. 1007(m). Do not include claims listed in Schedules D and E. If all creditors will not fit on this page, use the continuation sheet provided.

If any entity other than a spouse in a joint case may be jointly liable on a claim, place an "X" in the column labeled "Codebtor," include the entity on the appropriate schedule of creditors, and complete Schedule H - Codebtors. If a joint petition is filed, state whether the husband, wife, both of them, or the marital community may be liable on each claim by placing an "H," "W," "J," or "C" in the column labeled "Husband, Wife, Joint, or Community."

If the claim is contingent, place an "X" in the column labeled "Contingent." If the claim is unliquidated, place an "X" in the column labeled "Unliquidated." If the claim is disputed, place an "X" in the column labeled "Disputed." (You may need to place an "X" in more than one of these three columns.)

Report the total of all claims listed on this schedule in the box labeled "Total" on the last sheet of the completed schedule. Report this total also on the Summary of Schedules and, if the debtor is an individual with primarily consumer debts, report this total also on the Statistical Summary of Certain Liabilities and Related Data.

☐ Check this box if debtor has no creditors holding unsecured claims to report on this Schedule F.

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B T O R	H U S B A N D W I F E J O I N T O R	DATE CLAIM WAS INCURRED AND CONSIDERATION FOR CLAIM. IF CLAIM IS SUBJECT TO SETOFF, SO STATE.	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
Account No.							
17a4, LLC Attn Officer Mng or Gen. Agent 15 Breeze Hill P.O. Box 1492 Millbrook, NY 12545		-				X	7,131.11
Account No.							
Abbott Laboratories Attn Officer Mng or Gen. Agent 100 Abbott Park Road Chicago, IL 60604		-				X	25,196.05
Account No.			Claim for return of security deposit				
Abraham Mirman 5 Stonehenge Lane East Northport, NY 11731		-		X			46,434.56
Account No.							
TR Winston & Co Attn: Jack Galuchie 376 Main Street P.O. Box 74 Bedminster, NJ 07921			Abraham Mirman				Notice Only
Subtotal (Total of this page)							78,761.72

18 continuation sheets attached

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

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Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B O R	H U S B A N D, W I F E, J O I N T, O R C O M M U N I T Y	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		DATE CLAIM WAS INCURRED AND CONSIDERATION FOR CLAIM. IF CLAIM IS SUBJECT TO SETOFF, SO STATE.				
Account No.						
Airtech of Stamford Attn Officer Mng or Gen. Agent 21 Anthony Street Stamford, CT 06902	-				X	242.48
Account No.						
Albert Fried & Company, LLC Attn Officer Mng or Gen. Agent 45 Broadway, 24th Floor New York, NY 10006	-				X	236.70
Account No.						
Allied Communications Attn Officer Mng or Gen. Agent 88 Farwell Street West Haven, CT 06516	-				X	4,109.35
Account No.						
AOS Express Attn Officer Mng or Gen. Agent 87 Taylor Avenue Norwalk, CT 06854	-				X	207.38
Account No.						
AT&T Business Service Attn Officer Mng or Gen. Agent 14575 Presidio Square Room CR Houston, TX 77083	-				X	100.61
Sheet no. <u>1</u> of <u>18</u> sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims						
Subtotal (Total of this page)						4,896.52

In re **Rochdale Securities, LLC**

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Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B O R	Husband, Wife, Joint, or Community	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		H W J C				
Account No.						
AT&T Business Service Attn Officer Mng or Gen. Agent 14575 Presidio Square Room CR Houston, TX 77083	-				X	162.52
Account No.						
Bluewater Inv. Mgmt Attn Officer Mng or Gen. Agent 150 King Street West, Ste 1502 Toronto, Ontario M5H 1J9	-		X	X	X	0.00
Account No.						
California State Teacher's Retirement Sys. Attn Officer Mng or Gen. Agent 100 Waterfront Place West Sacramento, CA 95605	-				X	6,489.91
Account No.						
Cardoza Properties, Inc. Attn Officer Mng or Gen. Agent 101 Ellinwood Drive Pleasant Hill, CA 94523	-				X	1,215.00
Account No.						
CDW Direct Attn Officer Mng or Gen. Agent P.O. Box 75723 Chicago, IL 60675-5723	-				X	5,491.86
Sheet no. <u>2</u> of <u>18</u> sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims						
Subtotal (Total of this page)						13,359.29

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

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Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B T O R	Husband, Wife, Joint, or Community	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		H W J C				
Account No.						
Century Link Attn Officer Mng or Gen. Agent P.O. Box 1319 Charlotte, NC 28201-1319	-				X	412.04
Account No.						
Ceridian Benefits Services Attn Officer Mng or Gen. Agent 3201 64th Street South Saint Petersburg, FL 33711	-				X	900.00
Account No.						
Coffee Distributing Corp. Attn Officer Mng or Gen. Agent 200 Broadway Garden City Park, NY 11040	-				X	342.74
Account No.						
Coffee Distributing Corp. Attn Officer Mng or Gen. Agent 200 Broadway New Hyde Park, NY 11040	-				X	42.30
Account No.						
Cogent Communications, Inc. Attn: Billing Dept. 1015 31st Street, NW Washington, DC 20007	-				X	4,634.50
Sheet no. <u>3</u> of <u>18</u> sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims						
Subtotal (Total of this page)						6,331.58

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

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Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B O R	Husband, Wife, Joint, or Community	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		H W J C				
Account No.						
Comcast Attn Officer Mng or Gen. Agent 7394 Lake Worth Road Lake Worth, FL 33467-2500	-				X	1,731.39
Account No.						
Comcast Business Services Attn Officer Mng or Gen. Agent 7475 South Joliet Street Englewood, CO 80112	-				X	199.89
Account No.						
Comcast Business Services Attn Officer Mng or Gen. Agent 7475 South Joliet Street Englewood, CO 80112	-				X	523.71
Account No.						
Corporation Service Company Attn Officer Mng or Gen. Agent 2711 Centerville Road Wilmington, DE 19808	-				X	370.00
Account No.						
Cramer Rosenthal McGlynn Attn Officer Mng or Gen. Agent 520 Madison Avenue New York, NY 10022	-		X	X	X	0.00
Sheet no. 4 of 18 sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims						
Subtotal (Total of this page)						2,824.99

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B T O R	Husband, Wife, Joint, or Community	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		DATE CLAIM WAS INCURRED AND CONSIDERATION FOR CLAIM. IF CLAIM IS SUBJECT TO SETOFF, SO STATE.				
Account No.		Wages owed				
Daniel Crowley 467 N. Wilton Road New Canaan, CT 06840	-					24,475.28
Account No.						
Daniel Crowley 467 N. Wilton Road New Canaan, CT 06840	-		X			25,061.87
Account No.						
Dell Marketing L.P. / Dell USA L.P. P.O. Box 643561 Pittsburgh, PA 15264-3561	-				X	7,763.50
Account No.						
DGA Security Systems, Inc. Attn Officer Mng or Gen. Agent P.O. Box 1920 New York, NY 10101-1920	-				X	479.81
Account No.						
DME Securities, LLC Attn Officer Mng or Gen. Agent 44 Wall Street 12th Floor New York, NY 10005	-				X	143.85
Sheet no. 5 of 18 sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims						
Subtotal (Total of this page)						57,924.31

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B T O R	Husband, Wife, Joint, or Community	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		DATE CLAIM WAS INCURRED AND CONSIDERATION FOR CLAIM. IF CLAIM IS SUBJECT TO SETOFF, SO STATE.				
Account No.						
Dow Jones & Company, Inc. Billing Inquiries N/S P.O. Box 300 Princeton, NJ 08543-0300	-				X	5,801.14
Account No.						
Doyle Inc. c/o Craig Esposito 384 Magnolia Avenue Hillsdale, NJ 07642-1531	-				X	1,287.06
Account No.						
E&J Securities Attn Officer Mng or Gen. Agent 155 Whitewood Drive Massapequa Park, NY 11762	-				X	653.20
Account No.						
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	-	Breach of lease: disputed to the extent claim exceeds amount permitted under § 502(d).			X	1,045,251.96
Account No.						
Stephen G. Walko Ivey Barnum & O'Mara, LLC 170 Mason Street Greenwich, CT 06830		East Main St Equity Partners				Notice Only
Sheet no. <u>6</u> of <u>18</u> sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims						
Subtotal (Total of this page)						1,052,993.36

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B O R	Husband, Wife, Joint, or Community	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		H W J C				
Account No.						
Elite Service Group Attn Officer Mng or Gen. Agent 40 West 27th Street 12th Floor New York, NY 10001	-				X	413.73
Account No.						
Empire Executions Inc. Attn Officer Mng or Gen. Agent 40 Wall Street 17th Floor New York, NY 10005	-				X	412.23
Account No.						
Eric Altschul as Trustee Under Irrevocable Trust Agreement of Lawrence D. Altschul 7210 Ayrshire Lane Boca Raton, FL 33496	-		X			614,502.45
Account No.						
Andrew M. Zeitlin, Esq. Shipman & Goodwin 300 Summer Street 3rd Floor Stamford, CT 06901-3522		Eric Altschul as Trustee Under				Notice Only
Account No.						
Evaluserve Inc. Attn Officer Mng or Gen. Agent 615 South Dupont Highway Dover, DE 19901	-				X	4,252.00
Sheet no. <u>7</u> of <u>18</u> sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims						
Subtotal (Total of this page)						619,580.41

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B T O R	Husband, Wife, Joint, or Community	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		H W J C				
Account No.						
EZE Castle Transaction Service A ConvergeX Group Company Attn Officer Mng or Gen. Agent P.O. Box 13309 Newark, NJ 07101-3309	-				X	12,381.33
Account No.						
Global Crossing Conferencing Attn Officer Mng or Gen. Agent 550 South 24th Street W Suite 103 Billings, MT 59102-6361	-				X	552.77
Account No.						
Gold Seal Car & Limo Inc. Attn Officer Mng or Gen. Agent 2-24 51st Avenue Long Island City, NY 11101	-				X	839.51
Account No.						
Hal Tunick 10 Rose Lane Chappaqua, NY 10514	-		X			521,482.85
Account No.						
Harbor Capital Appreciation Fund Attn Officer Mng or Gen. Agent 111 Soth Wacker Drive Chicago, IL 60606	-					121,463.96
Sheet no. 8 of 18 sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims						
Subtotal (Total of this page)						656,720.42

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B O R	Husband, Wife, Joint, or Community		C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		H W J C	DATE CLAIM WAS INCURRED AND CONSIDERATION FOR CLAIM. IF CLAIM IS SUBJECT TO SETOFF, SO STATE.				
Account No.							
Hawaii Employees Retirement System Attn Officer Mng or Gen. Agent 201 Merchant Street Honolulu, HI 96813	-					X	5,614.30
Account No.							
Interactive Data Pricing and Reference Data LLC Attn Officer Mng or Gen. Agent 32 Crosby Drive Bedford, MA 01730	-					X	9,928.53
Account No.							
IPC Network Services Inc. Attn Officer Mng or Gen. Agent 1 State Street 12th Floor New York, NY 10004	-					X	0.00
Account No.							
IPC Network Services Inc. Attn Officer Mng or Gen. Agent 1 State Street 12th Floor New York, NY 10004	-					X	2,846.81
Account No.							
IPC Systems-Maintenance Attn Officer Mng or Gen. Agent 777 Commerce Drive Floor 2 Fairfield, CT 06825	-					X	18,122.79
Sheet no. 9 of 18 sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims							
Subtotal (Total of this page)							36,512.43

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B T O R	Husband, Wife, Joint, or Community	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		DATE CLAIM WAS INCURRED AND CONSIDERATION FOR CLAIM. IF CLAIM IS SUBJECT TO SETOFF, SO STATE.				
Account No.						
IPREO - BigDough Attn Officer Mng or Gen. Agent 4833 Rugby Avenue Suite 600 Bethesda, MD 20814	-				X	16,000.00
Account No.						
John Ratkoski 11 Whitecedar Lane Holmdel, NJ 07733	-					40,703.00
Account No.						
Karen Altschul as Trustee Unde Irrevocable Trust Agreement of Lawrence D. Altschul 7210 Ayrshire Lane Boca Raton, FL 33496	-		X			614,502.45
Account No.						
Andrew M. Zeitlin, Esq. Shipman & Goodwin 300 Summer Street 3rd Floor Stamford, CT 06901-3522		Karen Altschul as Trustee Unde				Notice Only
Account No.						
Kristen Talgo 14 1st Street Apt. F Stamford, CT 06905	-		X			525,141.11
Sheet no. 10 of 18 sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims						
Subtotal (Total of this page)						1,196,346.56

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B O R	H U S B A N D, W I F E, J O I N T, O R C O M M U N I T Y	DATE CLAIM WAS INCURRED AND CONSIDERATION FOR CLAIM. IF CLAIM IS SUBJECT TO SETOFF, SO STATE.	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM	
Account No.								
Linedata Services, Inc. Attn Officer Mng or Gen. Agent 260 Franklin Street Suite 1300 Boston, MA 02110	-					X	3,350.00	
Account No.								
M. Milestones Attn Officer Mng or Gen. Agent 32 Forest Street New Canaan, CT 06840-4701	-						286.08	
Account No.								
Markit on Demand, Inc. Attn Officer Mng or Gen. Agent 5718 Central Avenue Boulder, CO 80301	-					X	7,000.00	
Account No.								
McCauley Securities, LTD Attn Officer Mng or Gen. Agent 40 Wall Street Suite 1704 New York, NY 10005	-					X	343.35	
Account No.								
Montecito Advisors, Inc. Attn Officer Mng or Gen. Agent 2015B State Street Santa Barbara, CA 93105	-					X	214.80	
Sheet no. 11 of 18 sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims							Subtotal (Total of this page)	11,194.23

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B O R	Husband, Wife, Joint, or Community		C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		H W J C	DATE CLAIM WAS INCURRED AND CONSIDERATION FOR CLAIM. IF CLAIM IS SUBJECT TO SETOFF, SO STATE.				
Account No.							
Morgan Stanley Attn Accounts Receivable P.O. Box 860 New York, NY 10008-0860	-					X	42,946.50
Account No.							
Murphy & Durieu LLP Attn Officer Mng or Gen. Agent 120 Broadway New York, NY 10271	-					X	656.55
Account No.							
National Union Fire Ins. Co. of Pittsburgh, PA Heather L. Leibowitz Esq (AIG) 701 East Gate Drive Mt. Laurel, NJ 08043	-			X			800,000.00
Account No.							
Neovest, Inc. Attn Officer Mng or Gen. Agent 1145 South 800 East Orem, UT 84097	-					X	1,431.69
Account No.							
Nicholas-Applegate Capital Mgm Attn Officer Mng or Gen. Agent 600 W. Broadway San Diego, CA 92101	-			X	X	X	0.00
Sheet no. 12 of 18 sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims							
Subtotal (Total of this page)							845,034.74

In re **Rochdale Securities, LLC**Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS

(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B O R	Husband, Wife, Joint, or Community	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		H W J C				
Account No.						
NYFIX (NYSE Technologies) Attn Officer Mng or Gen. Agent Box 223613 Pittsburgh, PA 15251-2613	-				X	6,298.50
Account No.						
NYSE Market, Inc. Attn Officer Mng or Gen. Agent Box #223695 Pittsburgh, PA 15251-2695	-				X	4,986.37
Account No.						
Omego LLC Attn Officer Mng or Gen. Agent 22 Thomson Place Boston, MA 02210	-				X	2,430.10
Account No.						
Omego LLC Attn Officer Mng or Gen. Agent 22 Thomson Place Boston, MA 02210	-				X	4,556.56
Account No.						
Omego LLC Attn Officer Mng or Gen. Agent 22 Thomson Place Boston, MA 02110	-				X	1,214.70
Sheet no. <u>13</u> of <u>18</u> sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims						
Subtotal (Total of this page)						19,486.23

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B O R	Husband, Wife, Joint, or Community		C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		H W J C	DATE CLAIM WAS INCURRED AND CONSIDERATION FOR CLAIM. IF CLAIM IS SUBJECT TO SETOFF, SO STATE.				
Account No.							
Options Price Reporting Authority LLC Attn Officer Mng or Gen. Agent 400 South LaSalle Chicago, IL 60605	-					X	413.41
Account No.							
Owens Illinois, Inc. Attn Officer Mng or Gen. Agent One Michael Owens Way Perrysburg, OH 43551	-					X	40,977.78
Account No.							
Paragon Micro Inc. Attn Officer Mng or Gen. Agent Dept. 7116 Carol Stream, IL 60122-7116	-					X	323.24
Account No.							
Pat Burke 51 Cobbs Mill Road Wilton, CT 06897	-						150,000.00
Account No.							
Pension Reserves Investment Management Board Attn Officer Mng or Gen. Agent 84 State St., Suite 250 Boston, MA 02109	-					X	4,520.56
Sheet no. 14 of 18 sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims							
Subtotal (Total of this page)							196,234.99

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B T O R	Husband, Wife, Joint, or Community	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		DATE CLAIM WAS INCURRED AND CONSIDERATION FOR CLAIM. IF CLAIM IS SUBJECT TO SETOFF, SO STATE.				
Account No.						
Pershing LLC Attn Officer Mng or Gen. Agent One Pershing Plaza Jersey City, NJ 07399	-				X	524,169.73
Account No.						
Daniel R. Korb, Jr. Bressler, Amery & Ross 325 Columbia Turnpike Suite 301 Florham Park, NJ 07932		Pershing LLC				Notice Only
Account No.						
Pivot Attn Officer Mng or Gen. Agent P.O. Box 5242 New York, NY 10087-5242	-				X	750.00
Account No.						
Rochdale Corporation c/o Carl Acebes P.O. Box 989 Little Compton, RI 02837	-		X			521,482.85
Account No.						
Seamless North America, LLC Attn Officer Mng or Gen. Agent P.O. Box 5439 New York, NY 10087-5439	-				X	4,835.09
Sheet no. 15 of 18 sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims						
Subtotal (Total of this page)						1,051,237.67

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B O R	Husband, Wife, Joint, or Community	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		H W J C				
Account No.						
Stanley Convergent Security Solutions Attn Officer Mng or Gen. Agent 55 Shuman Blvd, Suite 900 Naperville, IL 60563	-				X	551.83
Account No.						
SunGuard Institutional Brokerage Inc. Attn Officer Mng or Gen. Agent 2100 Enterprise Avenue Geneva, IL 60134	-				X	23,261.16
Account No.						
T-Mobile Customer Relations Attn Officer Mng or Gen. Agent P.O. Box 37380 Albuquerque, NM 87178-7380	-				X	652.89
Account No.						
The Financial Library Attn Officer Mng or Gen. Agent P.O. Box 2341 Boca Raton, FL 33427	-				X	315.45
Account No.						
The Macgregor Group, Inc.-ITG Attn Officer Mng or Gen. Agent 100 High Street Boston, MA 02110	-				X	6,475.41
Sheet no. <u>16</u> of <u>18</u> sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims						
Subtotal (Total of this page)						31,256.74

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B O R	Husband, Wife, Joint, or Community		C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		H W J C	DATE CLAIM WAS INCURRED AND CONSIDERATION FOR CLAIM. IF CLAIM IS SUBJECT TO SETOFF, SO STATE.				
Account No.							
The NASDAQ Stock Market LLC c/o Wells Fargo Bank Lockbox 10200 P.O. Box 8500 Philadelphia, PA 19178-0200		-					6,351.95
Account No.							
Thomas Reuters Attn Officer Mng or Gen. Agent 22 Thomson Place Boston, MA 02210		-				X	5,777.20
Account No.							
Time Warner Cable Attn Officer Mng or Gen. Agent 41-61 Kissena Blvd. Flushing, NY 11355-3189		-				X	1,447.21
Account No.							
TSX Inc. - The Exchange Tower Attn Officer Mng or Gen. Agent PO Box 421- 130 King St West Toronto, Ontario M5X 1J2		-				X	981.35
Account No.							
XO Communications Attn Officer Mng or Gen. Agent 8851 Sandy Parkway Sandy, UT 84070		-				X	192.73
Sheet no. <u>17</u> of <u>18</u> sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims							
Subtotal (Total of this page)							14,750.44

B6F (Official Form 6F) (12/07) - Cont.

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE F - CREDITORS HOLDING UNSECURED NONPRIORITY CLAIMS
(Continuation Sheet)

CREDITOR'S NAME, MAILING ADDRESS INCLUDING ZIP CODE, AND ACCOUNT NUMBER (See instructions above.)	C O D E B T O R	Husband, Wife, Joint, or Community	C O N T I N G E N T	U N L I Q U I D A T E D	D I S P U T E D	AMOUNT OF CLAIM
		H W J C				
Account No.						
XO Communications Attn Officer Mng or Gen. Agent 8851 Sandy Parkway Sandy, UT 84070	-				X	8,073.45
Account No.						
Zantaz (an Autonomy Company) Attn Officer Mng or Gen. Agent 5758 W. Las Positas Blvd. Pleasanton, CA 94588	-				X	4,437.93
Account No.						
Account No.						
Account No.						
Sheet no. 18 of 18 sheets attached to Schedule of Creditors Holding Unsecured Nonpriority Claims						
Subtotal (Total of this page)						12,511.38
Total (Report on Summary of Schedules)						5,907,958.01

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE G - EXECUTORY CONTRACTS AND UNEXPIRED LEASES

Describe all executory contracts of any nature and all unexpired leases of real or personal property. Include any timeshare interests. State nature of debtor's interest in contract, i.e., "Purchaser", "Agent", etc. State whether debtor is the lessor or lessee of a lease. Provide the names and complete mailing addresses of all other parties to each lease or contract described. If a minor child is a party to one of the leases or contracts, 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 and Fed. R. Bankr. P. 1007(m).

☐ Check this box if debtor has no executory contracts or unexpired leases.

Name and Mailing Address, Including Zip Code, of Other Parties to Lease or Contract	Description of Contract or Lease and Nature of Debtor's Interest. State whether lease is for nonresidential real property. State contract number of any government contract.
Abraham Mirman 5 Stonehenge Lane East Northport, NY 11731	Sub-lease of non-residential real property 25 West 45th Street New York, NY
	Nature of Debtor's Interest: Sublessor
WEST 45 APF LLC c/o APF Properties LLC Attn Officer Mng or Gen. Agent 28 West 44th Street New York, NY 10036	Lease of non-residential real property 25 West 45th Street New York, NY
	Nature of Debtor's Interest: Lease

In re **Rochdale Securities, LLC**

Case No. **14-51485**

Debtor

SCHEDULE H - CODEBTORS

Provide the information requested concerning any person or entity, other than a spouse in a joint case, that is also liable on any debts listed by debtor in the schedules of creditors. Include all guarantors and co-signers. If the debtor resides or resided in a community property state, commonwealth, or territory (including Alaska, Arizona, California, Idaho, Louisiana, Nevada, New Mexico, Puerto Rico, Texas, Washington, or Wisconsin) within the eight year period immediately preceding the commencement of the case, identify the name of the debtor's spouse and of any former spouse who resides or resided with the debtor in the community property state, commonwealth, or territory. Include all names used by the nondebtor spouse during the eight years immediately preceding the commencement of this case. If a minor child is a codebtor or a creditor, 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 and Fed. R. Bankr. P. 1007(m).

☐ Check this box if debtor has no codebtors.

NAME AND ADDRESS OF CODEBTOR	NAME AND ADDRESS OF CREDITOR
Daniel Crowley 467 N. Wilton Road New Canaan, CT 06840	Eric & Karen Altschul c/o Andrew M. Zeitlin, Esq. Shipman & Goodwin 300 Summer Street, 3rd Floor Stamford, CT 06901-3522

**United States Bankruptcy Court
District of Connecticut**In re **Rochdale Securities, LLC**

Debtor(s)

Case No. **14-51485**Chapter **11****DECLARATION CONCERNING DEBTOR'S SCHEDULES**

DECLARATION UNDER PENALTY OF PERJURY ON BEHALF OF CORPORATION OR PARTNERSHIP

I, the President of the corporation named as debtor in this case, declare under penalty of perjury that I have read the foregoing summary and schedules, consisting of **30** sheets, and that they are true and correct to the best of my knowledge, information, and belief.

Date **October 21, 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.

B7 (Official Form 7) (04/13)

**United States Bankruptcy Court
District of Connecticut**

In re **Rochdale Securities, LLC**

Debtor(s)

Case No. **14-51485**

Chapter **11**

STATEMENT OF FINANCIAL AFFAIRS

This statement is to be completed by every debtor. Spouses filing a joint petition may file a single statement on which the information for both spouses is combined. If the case is filed under chapter 12 or chapter 13, a married debtor must furnish information for both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed. An individual debtor engaged in business as a sole proprietor, partner, family farmer, or self-employed professional, should provide the information requested on this statement concerning all such activities as well as the individual's personal affairs. To indicate payments, transfers and the like to minor children, 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).

Questions 1 - 18 are to be completed by all debtors. Debtors that are or have been in business, as defined below, also must complete Questions 19 - 25. **If the answer to an applicable question is "None," mark the box labeled "None."** If additional space is needed for the answer to any question, use and attach a separate sheet properly identified with the case name, case number (if known), and the number of the question.

DEFINITIONS

"In business." A debtor is "in business" for the purpose of this form if the debtor is a corporation or partnership. An individual debtor is "in business" for the purpose of this form if the debtor is or has been, within six years immediately preceding the filing of this bankruptcy case, any of the following: an officer, director, managing executive, or owner of 5 percent or more of the voting or equity securities of a corporation; a partner, other than a limited partner, of a partnership; a sole proprietor or self-employed full-time or part-time. An individual debtor also may be "in business" for the purpose of this form if the debtor engages in a trade, business, or other activity, other than as an employee, to supplement income from the debtor's primary employment.

"Insider." The term "insider" includes but is not limited to: relatives of the debtor; general partners of the debtor and their relatives; corporations of which the debtor is an officer, director, or person in control; officers, directors, and any persons in control of a corporate debtor and their relatives; affiliates of the debtor and insiders of such affiliates; and any managing agent of the debtor. 11 U.S.C. § 101(2), (31).

1. Income from employment or operation of business

None



State the gross amount of income the debtor has received from employment, trade, or profession, or from operation of the debtor's business, including part-time activities either as an employee or in independent trade or business, from the beginning of this calendar year to the date this case was commenced. State also the gross amounts received during the **two years** immediately preceding this calendar year. (A debtor that maintains, or has maintained, financial records on the basis of a fiscal rather than a calendar year may report fiscal year income. Identify the beginning and ending dates of the debtor's fiscal year.) If a joint petition is filed, state income for each spouse separately. (Married debtors filing under chapter 12 or chapter 13 must state income of both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

AMOUNT

\$598,033.40

\$833,742.00

\$20,388,009.00

SOURCE

2014 - gross receipts, cash basis as of petition date

2013 - gross receipts reported on tax return based on accrual method

2012 - gross receipts reported on tax return based on accrual method

2. Income other than from employment or operation of business

None



State the amount of income received by the debtor other than from employment, trade, profession, or operation of the debtor's business during the **two years** immediately preceding the commencement of this case. Give particulars. If a joint petition is filed, state income for each spouse separately. (Married debtors filing under chapter 12 or chapter 13 must state income for each spouse whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

AMOUNT

SOURCE

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2

3. Payments to creditors

None ☒ **Complete a. or b., as appropriate, and c.**

a. *Individual or joint debtor(s) with primarily consumer debts:* List all payments on loans, installment purchases of goods or services, and other debts to any creditor made within **90 days** immediately preceding the commencement of this case unless the aggregate value of all property that constitutes or is affected by such transfer is less than \$600. Indicate with an asterisk (*) any payments that were made to a creditor on account of a domestic support obligation or as part of an alternative repayment schedule under a plan by an approved nonprofit budgeting and credit counseling agency. (Married debtors filing under chapter 12 or chapter 13 must include payments by either or both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

NAME AND ADDRESS OF CREDITOR	DATES OF PAYMENTS	AMOUNT PAID	AMOUNT STILL OWING
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None ☐ b. *Debtor whose debts are not primarily consumer debts:* List each payment or other transfer to any creditor made within **90 days** immediately preceding the commencement of the case unless the aggregate value of all property that constitutes or is affected by such transfer is less than \$6,225*. If the debtor is an individual, indicate with an asterisk (*) any payments that were made to a creditor on account of a domestic support obligation or as part of an alternative repayment schedule under a plan by an approved nonprofit budgeting and credit counseling agency. (Married debtors filing under chapter 12 or chapter 13 must include payments and other transfers by either or both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

NAME AND ADDRESS OF CREDITOR	DATES OF PAYMENTS/ TRANSFERS	AMOUNT PAID OR VALUE OF TRANSFERS	AMOUNT STILL OWING
First County Bank	See attached	\$0.00	\$0.00

None ☐ c. *All debtors:* List all payments made within **one year** immediately preceding the commencement of this case to or for the benefit of creditors who are or were insiders. (Married debtors filing under chapter 12 or chapter 13 must include payments by either or both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

NAME AND ADDRESS OF CREDITOR AND RELATIONSHIP TO DEBTOR	DATE OF PAYMENT	AMOUNT PAID	AMOUNT STILL OWING
Daniel Crowley 467 N. Wilton Road New Canaan, CT 06840	Salary from 9/23/2013-9/22/2014 (reduced to \$125,000 as of April 2014) (plus payment of health benefits)	\$224,211.55	\$0.00
Daniel Crowley 467 N. Wilton Road New Canaan, CT 06840	12/5/2013	\$150.25	\$0.00
Daniel Crowley 467 N. Wilton Road New Canaan, CT 06840	1/29/2014	\$1,076.85	\$0.00
Daniel Crowley 467 N. Wilton Road New Canaan, CT 06840	7/23/2014	\$1,057.44	\$0.00
Daniel Crowley 467 N. Wilton Road New Canaan, CT 06840	7/23/2014	\$133.86	\$0.00

* Amount subject to adjustment on 4/01/16, and every three years thereafter with respect to cases commenced on or after the date of adjustment.

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4. Suits and administrative proceedings, executions, garnishments and attachments

- None ☐ a. List all suits and administrative proceedings to which the debtor is or was a party within **one year** immediately preceding the filing of this bankruptcy case. (Married debtors filing under chapter 12 or chapter 13 must include information concerning either or both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

CAPTION OF SUIT AND CASE NUMBER	NATURE OF PROCEEDING	COURT OR AGENCY AND LOCATION	STATUS OR DISPOSITION
East Main St. Equity Partners, LLC v. Rochdale Securities, LLC CV 1007823		Connecticut Superior Court Housing Session	Stayed per Stipulation of Parties
Rochdale Securities, LLC v. Pershing LLC, FINRA Case No. 14-01061	Arbitration	Financial Industry Regulatory Authority	Pending
Rochdale Securities, LLC v. Helios Advisors LLC, FINRA Case N. 14-01876	Arbitration	Financial Industry Regulatory Authority	Voluntarily Withdrawn
Rochdale Securities, LLC v. HGK Asset Management, Inc. CV-14-6041443-S	Civil	Connecticut Superior Court at Bridgeport	Voluntarily Withdrawn/Settled
Rochdale Securities, LLC v. Open Road Lending, LLC CV 3:13-cv-04355-B	Civil	United States District Court Northern District of Texas	Voluntarily Withdrawn/Settled
Glover et al v. Rochdale Securities LLC & Daniel Crowley FINRA Case No. 12-04321	Arbitration	Financial Industry Regulatory Authority	Award entered in Claimants' Favor as Against Rochdale Only (settled in full)
Dormant Regulatory Matter			(Ordered Confidential)
Karen & Eric Altschul, as Trustees v. Rochdale Securities & Daniel Crowley FINRA Case No. 13-00285	Arbitration	Financial Industry Regulatory Authority	Award entered in Claimants' Favor (outstanding)
Karen & Eric Altschul, as Trustees v. Rochdale Securities & Daniel Crowley Case No. 502012CA021951XXXXMB Division: AA		Circuit Court of the 15th Judicial Circuit in and for Palm Beach County, Florida	(confirmation of arbitration award)
Karen & Eric Altschul, as Trustees v. Rochdale Securities & Daniel Crowley Case No. FST-CV-14-4026790		Connecticut Superior Court Judicial District of Fairfield at Stamford	(domestication of judgment confirming arbitration award)

- None ☒ b. Describe all property that has been attached, garnished or seized under any legal or equitable process within **one year** immediately preceding the commencement of this case. (Married debtors filing under chapter 12 or chapter 13 must include information concerning property of either or both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

NAME AND ADDRESS OF PERSON FOR WHOSE BENEFIT PROPERTY WAS SEIZED	DATE OF SEIZURE	DESCRIPTION AND VALUE OF PROPERTY
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5. Repossessions, foreclosures and returns

- None ☒ List all property that has been repossessed by a creditor, sold at a foreclosure sale, transferred through a deed in lieu of foreclosure or returned to the seller, within **one year** immediately preceding the commencement of this case. (Married debtors filing under chapter 12 or chapter 13 must include information concerning property of either or both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

NAME AND ADDRESS OF CREDITOR OR SELLER	DATE OF REPOSSESSION, FORECLOSURE SALE, TRANSFER OR RETURN	DESCRIPTION AND VALUE OF PROPERTY
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6. Assignments and receiverships

- None ☒ a. Describe any assignment of property for the benefit of creditors made within **120 days** immediately preceding the commencement of this case. (Married debtors filing under chapter 12 or chapter 13 must include any assignment by either or both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

NAME AND ADDRESS OF ASSIGNEE	DATE OF ASSIGNMENT	TERMS OF ASSIGNMENT OR SETTLEMENT
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- None ☒ b. List all property which has been in the hands of a custodian, receiver, or court-appointed official within **one year** immediately preceding the commencement of this case. (Married debtors filing under chapter 12 or chapter 13 must include information concerning property of either or both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

NAME AND ADDRESS OF CUSTODIAN	NAME AND LOCATION OF COURT CASE TITLE & NUMBER	DATE OF ORDER	DESCRIPTION AND VALUE OF PROPERTY
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7. Gifts

- None ☒ List all gifts or charitable contributions made within **one year** immediately preceding the commencement of this case except ordinary and usual gifts to family members aggregating less than \$200 in value per individual family member and charitable contributions aggregating less than \$100 per recipient. (Married debtors filing under chapter 12 or chapter 13 must include gifts or contributions by either or both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

NAME AND ADDRESS OF PERSON OR ORGANIZATION	RELATIONSHIP TO DEBTOR, IF ANY	DATE OF GIFT	DESCRIPTION AND VALUE OF GIFT
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8. Losses

- None ☒ List all losses from fire, theft, other casualty or gambling within **one year** immediately preceding the commencement of this case **or since the commencement of this case**. (Married debtors filing under chapter 12 or chapter 13 must include losses by either or both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

DESCRIPTION AND VALUE OF PROPERTY	DESCRIPTION OF CIRCUMSTANCES AND, IF LOSS WAS COVERED IN WHOLE OR IN PART BY INSURANCE, GIVE PARTICULARS	DATE OF LOSS
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9. Payments related to debt counseling or bankruptcy

- None ☐ List all payments made or property transferred by or on behalf of the debtor to any persons, including attorneys, for consultation concerning debt consolidation, relief under the bankruptcy law or preparation of the petition in bankruptcy within **one year** immediately preceding the commencement of this case.

NAME AND ADDRESS OF PAYEE	DATE OF PAYMENT, NAME OF PAYER IF OTHER THAN DEBTOR	AMOUNT OF MONEY OR DESCRIPTION AND VALUE OF PROPERTY
Zeisler & Zeisler, P.C. 10 Middle Street 15th Floor Bridgeport, CT 06604	Various dates (applied first to balances due on petition date)	\$75,000.00

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10. Other transfers

- None ☐ a. List all other property, other than property transferred in the ordinary course of the business or financial affairs of the debtor, transferred either absolutely or as security within **two years** immediately preceding the commencement of this case. (Married debtors filing under chapter 12 or chapter 13 must include transfers by either or both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

NAME AND ADDRESS OF TRANSFEREE, RELATIONSHIP TO DEBTOR	DATE	DESCRIBE PROPERTY TRANSFERRED AND VALUE RECEIVED
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- None ☐ b. List all property transferred by the debtor within **ten years** immediately preceding the commencement of this case to a self-settled trust or similar device of which the debtor is a beneficiary.

NAME OF TRUST OR OTHER DEVICE	DATE(S) OF TRANSFER(S)	AMOUNT OF MONEY OR DESCRIPTION AND VALUE OF PROPERTY OR DEBTOR'S INTEREST IN PROPERTY
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11. Closed financial accounts

- None ☐ List all financial accounts and instruments held in the name of the debtor or for the benefit of the debtor which were closed, sold, or otherwise transferred within **one year** immediately preceding the commencement of this case. Include checking, savings, or other financial accounts, certificates of deposit, or other instruments; shares and share accounts held in banks, credit unions, pension funds, cooperatives, associations, brokerage houses and other financial institutions. (Married debtors filing under chapter 12 or chapter 13 must include information concerning accounts or instruments held by or for either or both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

NAME AND ADDRESS OF INSTITUTION	TYPE OF ACCOUNT, LAST FOUR DIGITS OF ACCOUNT NUMBER, AND AMOUNT OF FINAL BALANCE	AMOUNT AND DATE OF SALE OR CLOSING
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12. Safe deposit boxes

- None ☐ List each safe deposit or other box or depository in which the debtor has or had securities, cash, or other valuables within **one year** immediately preceding the commencement of this case. (Married debtors filing under chapter 12 or chapter 13 must include boxes or depositories of either or both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

NAME AND ADDRESS OF BANK OR OTHER DEPOSITORY	NAMES AND ADDRESSES OF THOSE WITH ACCESS TO BOX OR DEPOSITORY	DESCRIPTION OF CONTENTS	DATE OF TRANSFER OR SURRENDER, IF ANY
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13. Setoffs

- None ☐ List all setoffs made by any creditor, including a bank, against a debt or deposit of the debtor within **90 days** preceding the commencement of this case. (Married debtors filing under chapter 12 or chapter 13 must include information concerning either or both spouses whether or not a joint petition is filed, unless the spouses are separated and a joint petition is not filed.)

NAME AND ADDRESS OF CREDITOR	DATE OF SETOFF	AMOUNT OF SETOFF
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14. Property held for another person

- None ☐ List all property owned by another person that the debtor holds or controls.

NAME AND ADDRESS OF OWNER	DESCRIPTION AND VALUE OF PROPERTY	LOCATION OF PROPERTY
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15. Prior address of debtor

None ☐ If the debtor has moved within **three years** immediately preceding the commencement of this case, list all premises which the debtor occupied during that period and vacated prior to the commencement of this case. If a joint petition is filed, report also any separate address of either spouse.

ADDRESS	NAME USED	DATES OF OCCUPANCY
757 East Main Street Stamford, CT 06902		
1 Landmark Square, 15th Floor Stamford, CT 06901		
141 W Front Street Red Bank, NJ 07701		
151 Bodman Place Red Bank NJ 07701		
25 West 45th Street Second Floor NY, NY 10036		
23 Altarinda Road Suite #207 Orinda, CA 94563		
1037 South State Road 7 Suite #213 Wellington, FL 33414		
15955 N. Florida Avenue Lutz, Florida 33549		

16. Spouses and Former Spouses

None ☐ If the debtor resides or resided in a community property state, commonwealth, or territory (including Alaska, Arizona, California, Idaho, Louisiana, Nevada, New Mexico, Puerto Rico, Texas, Washington, or Wisconsin) within **eight years** immediately preceding the commencement of the case, identify the name of the debtor's spouse and of any former spouse who resides or resided with the debtor in the community property state.

NAME

17. Environmental Information.

For the purpose of this question, the following definitions apply:

"Environmental Law" means any federal, state, or local statute or regulation regulating pollution, contamination, releases of hazardous or toxic substances, wastes or material into the air, land, soil, surface water, groundwater, or other medium, including, but not limited to, statutes or regulations regulating the cleanup of these substances, wastes, or material.

"Site" means any location, facility, or property as defined under any Environmental Law, whether or not presently or formerly owned or operated by the debtor, including, but not limited to, disposal sites.

"Hazardous Material" means anything defined as a hazardous waste, hazardous substance, toxic substance, hazardous material, pollutant, or contaminant or similar term under an Environmental Law

None ☐ a. List the name and address of every site for which the debtor has received notice in writing by a governmental unit that it may be liable or potentially liable under or in violation of an Environmental Law. Indicate the governmental unit, the date of the notice, and, if known, the Environmental Law:

SITE NAME AND ADDRESS	NAME AND ADDRESS OF GOVERNMENTAL UNIT	DATE OF NOTICE	ENVIRONMENTAL LAW
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None ☐ b. List the name and address of every site for which the debtor provided notice to a governmental unit of a release of Hazardous Material. Indicate the governmental unit to which the notice was sent and the date of the notice.

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SITE NAME AND ADDRESS	NAME AND ADDRESS OF GOVERNMENTAL UNIT	DATE OF NOTICE	ENVIRONMENTAL LAW
None <input checked="" type="checkbox"/>	c. List all judicial or administrative proceedings, including settlements or orders, under any Environmental Law with respect to which the debtor is or was a party. Indicate the name and address of the governmental unit that is or was a party to the proceeding, and the docket number.		
NAME AND ADDRESS OF GOVERNMENTAL UNIT	DOCKET NUMBER	STATUS OR DISPOSITION	
18. Nature, location and name of business			
None <input checked="" type="checkbox"/>	a. <i>If the debtor is an individual</i> , list the names, addresses, taxpayer identification numbers, nature of the businesses, and beginning and ending dates of all businesses in which the debtor was an officer, director, partner, or managing executive of a corporation, partner in a partnership, sole proprietor, or was self-employed in a trade, profession, or other activity either full- or part-time within six years immediately preceding the commencement of this case, or in which the debtor owned 5 percent or more of the voting or equity securities within six years immediately preceding the commencement of this case.		
<i>If the debtor is a partnership</i> , list the names, addresses, taxpayer identification numbers, nature of the businesses, and beginning and ending dates of all businesses in which the debtor was a partner or owned 5 percent or more of the voting or equity securities, within six years immediately preceding the commencement of this case.			
<i>If the debtor is a corporation</i> , list the names, addresses, taxpayer identification numbers, nature of the businesses, and beginning and ending dates of all businesses in which the debtor was a partner or owned 5 percent or more of the voting or equity securities within six years immediately preceding the commencement of this case.			
NAME	LAST FOUR DIGITS OF SOCIAL-SECURITY OR OTHER INDIVIDUAL TAXPAYER-I.D. NO. (ITIN)/ COMPLETE EIN	ADDRESS	BEGINNING AND ENDING DATES
None <input checked="" type="checkbox"/>	b. Identify any business listed in response to subdivision a., above, that is "single asset real estate" as defined in 11 U.S.C. § 101.		
NAME	ADDRESS		

The following questions are to be completed by every debtor that is a corporation or partnership and by any individual debtor who is or has been, within **six years** immediately preceding the commencement of this case, any of the following: an officer, director, managing executive, or owner of more than 5 percent of the voting or equity securities of a corporation; a partner, other than a limited partner, of a partnership, a sole proprietor, or self-employed in a trade, profession, or other activity, either full- or part-time.

(An individual or joint debtor should complete this portion of the statement **only** if the debtor is or has been in business, as defined above, within six years immediately preceding the commencement of this case. A debtor who has not been in business within those six years should go directly to the signature page.)

19. Books, records and financial statements	
None <input type="checkbox"/>	a. List all bookkeepers and accountants who within two years immediately preceding the filing of this bankruptcy case kept or supervised the keeping of books of account and records of the debtor.
NAME AND ADDRESS Elizabeth Johnson 76 Wendt Avenue Apt. 2A Larchmont, NY 10538	DATES SERVICES RENDERED Current
Flavio Rausei 429 West 24th Street Apt. 5D New York, NY 10011	Through Spring 2013

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NAME AND ADDRESS

Richard Mole
Weisberg, Mole', Krantz & Goldfarb, LLP
185 Crossawys Park Drive
Woodbury, NY 11797

DATES SERVICES RENDERED

Current

- None ☒ b. List all firms or individuals who within the **two years** immediately preceding the filing of this bankruptcy case have audited the books of account and records, or prepared a financial statement of the debtor.

NAME

ADDRESS

DATES SERVICES RENDERED

- None ☐ c. List all firms or individuals who at the time of the commencement of this case were in possession of the books of account and records of the debtor. If any of the books of account and records are not available, explain.

NAME

Elizabeth Johnson

ADDRESS

76 Wendt Avenue
Apt. 2A
Larchmont, NY 10538

Richard Mole

Weisberg, Mole', Krantz & Goldfarb, LLP
185 Crossways Park Drive
Woodbury, NY 11797

- None ☐ d. List all financial institutions, creditors and other parties, including mercantile and trade agencies, to whom a financial statement was issued by the debtor within **two years** immediately preceding the commencement of this case.

NAME AND ADDRESS

Eric & Karen Altschul
c/o Andrew M. Zeitlin, Esq.
Shipman & Goodwin
300 Summer Street, 3rd Floor
Stamford, CT 06901-3522

DATE ISSUED

January 26, 2014

Craig Bonder, Brandon Dunn &
Michael Glover - c/o Jonathon Sack
Sack & Sack
110 East 59th Street, 19th Floor
New York, NY 10022

December 23, 2013

20. Inventories

- None ☒ a. List the dates of the last two inventories taken of your property, the name of the person who supervised the taking of each inventory, and the dollar amount and basis of each inventory.

DATE OF INVENTORY

INVENTORY SUPERVISOR

DOLLAR AMOUNT OF INVENTORY

(Specify cost, market or other basis)

- None ☒ b. List the name and address of the person having possession of the records of each of the inventories reported in a., above.

DATE OF INVENTORY

NAME AND ADDRESSES OF CUSTODIAN OF INVENTORY RECORDS

21 . Current Partners, Officers, Directors and Shareholders

- None ☒ a. If the debtor is a partnership, list the nature and percentage of partnership interest of each member of the partnership.

NAME AND ADDRESS

NATURE OF INTEREST

PERCENTAGE OF INTEREST

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None ☐ b. If the debtor is a corporation, list all officers and directors of the corporation, and each stockholder who directly or indirectly owns, controls, or holds 5 percent or more of the voting or equity securities of the corporation.

NAME AND ADDRESS	TITLE	NATURE AND PERCENTAGE OF STOCK OWNERSHIP
Daniel Crowley 467 N. Wilton Road New Canaan, CT 06840	President/Chief Executive Officer/Member	20.0132% membership interest
Carl Acebes P.O. Box 989 Little Compton, RI 02837	Manager	
Rochdale Corporation c/o Carl Acebes P.O. Box 989 Little Compton, RI 02837	Member	24.8515 % membership interest
Hal Tunick 10 Rose Lane Chappaqua, NY 10514	Member	22.3624% membership interest
Kristen Talgo 14 1st Street Apt. F Stamford, CT 06905	Member	22.3264% membership interest

22. Former partners, officers, directors and shareholders

None ☒ a. If the debtor is a partnership, list each member who withdrew from the partnership within **one year** immediately preceding the commencement of this case.

NAME	ADDRESS	DATE OF WITHDRAWAL
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None ☒ b. If the debtor is a corporation, list all officers, or directors whose relationship with the corporation terminated within **one year** immediately preceding the commencement of this case.

NAME AND ADDRESS	TITLE	DATE OF TERMINATION
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23. Withdrawals from a partnership or distributions by a corporation

None ☒ If the debtor is a partnership or corporation, list all withdrawals or distributions credited or given to an insider, including compensation in any form, bonuses, loans, stock redemptions, options exercised and any other perquisite during **one year** immediately preceding the commencement of this case.

NAME & ADDRESS OF RECIPIENT, RELATIONSHIP TO DEBTOR	DATE AND PURPOSE OF WITHDRAWAL	AMOUNT OF MONEY OR DESCRIPTION AND VALUE OF PROPERTY
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24. Tax Consolidation Group.

None ☒ If the debtor is a corporation, list the name and federal taxpayer identification number of the parent corporation of any consolidated group for tax purposes of which the debtor has been a member at any time within **six years** immediately preceding the commencement of the case.

NAME OF PARENT CORPORATION	TAXPAYER IDENTIFICATION NUMBER (EIN)
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25. Pension Funds.

None ☐ If the debtor is not an individual, list the name and federal taxpayer-identification number of any pension fund to which the debtor, as an employer, has been responsible for contributing at any time within **six years** immediately preceding the commencement of the case.

NAME OF PENSION FUND	TAXPAYER IDENTIFICATION NUMBER (EIN)
Rochdale Securities LLC 401(k) Plan	EIN 20-1093348, Plan Number 001

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DECLARATION UNDER PENALTY OF PERJURY ON BEHALF OF CORPORATION OR PARTNERSHIP

I declare under penalty of perjury that I have read the answers contained in the foregoing statement of financial affairs and any attachments thereto and that they are true and correct to the best of my knowledge, information and belief.

Date October 21, 2014

Signature /s/ Daniel J. Crowley
Daniel J. Crowley
President

[An individual signing on behalf of a partnership or corporation must indicate position or relationship to debtor.]

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

SOFA - QUESTION 3b

Payment Detail

90 Days

First County Bank

Date	Check #	Amount	Transaction	Description
06/30/14		(7.50)	FedEx	
06/30/14	2108	(10,033.14)	West 45 APF LLC	NY Rent
06/30/14	2176	(5,461.60)	Oxford Health Plan	Insurance - Medical
06/30/14		(9.26)	Service Charge Assessed	
07/03/14		(4,906.56)	Ceridian - Payroll	
07/07/14	2175	(337.52)	Provident Life & Accident	Insurance - LTD (Employee paid via payroll deduction)
07/08/14	2177	(13,376.99)	West 45 APF LLC	NY Rent
07/14/14		(152.05)	Ceridian - Invoice	
07/14/14		(25.00)	Ceridian - Invoice	
07/17/14		(4,410.09)	Ceridian - Payroll	
07/25/14		(992.92)	ING - 401K	
07/31/14		(7,958.54)	Ceridian - Payroll	
07/31/14		11,292.67	Deposit	
07/31/14	2179	(5,461.60)	Oxford Health Plan	Insurance - Medical
07/31/14		(8.74)	Service Charge Assessed	
08/04/14		(16.97)	FedEx	
08/04/14	2178	(1,057.44)	Dan Crowley - T&E	
08/04/14	2180	(133.85)	Dan Crowley - T&E	
08/12/14	2183	(2,283.73)	Elizabeth Johnson	1099 employee - Accounting
08/12/14	2181	(11,061.80)	West 45 APF LLC	NY Rent
08/14/14		(229.03)	Ceridian - Invoice	
08/14/14		(4,853.02)	Ceridian - Payroll	
08/28/14		(5,001.01)	Ceridian - Payroll	
08/29/14		(9.82)	Service Charge Assessed	
09/02/14		(18.86)	FedEx	
09/02/14	2184	(16,474.80)	Oxford Health Plan	Insurance - Medical
09/08/14		(203.00)	Amazon - Download of QuickBooks	Accounting software
09/11/14		(4,853.02)	Ceridian - Payroll	
09/15/14	2185	(10,161.72)	West 45 APF LLC	
09/22/14	2186	1,417.99		
09/22/14		4,447.55	Dan Crowley	Payroll through 9/22

**UNITED STATES BANKRUPTCY COURT
DISTRICT OF CONNECTICUT
BRIDGEPORT DIVISION**

In re:	:	CHAPTER 11
	:	
ROCHDALE SECURITIES, LLC,	:	CASE NO. 14-51485 (AHWS)
	:	
Debtor.	:	

**DISCLOSURE OF COMPENSATION OF ZEISLER &
ZEISLER, P. C. IN ACCORDANCE WITH § 329 OF
THE BANKRUPTCY CODE AND BANKRUPTCY RULE 2016(b)**

Pursuant to 11 U.S.C. § 329 and Fed. R. Bankr. P. 2016(b), Zeisler & Zeisler, P.C. (“Z&Z”), counsel for the Debtor, Rochdale Securities, LLC (the “Debtor”), represents as follows:

1. On September 23, 2014, the Debtor filed its voluntary petition for bankruptcy relief under Chapter 7 of the United States Bankruptcy Code, 11 U.S.C. §§ 101-1532 (the “Bankruptcy Code”). Pursuant to §§ 1107(a) and 1108 of the Bankruptcy Code, the Debtor continues to operate its business and manage its property and affairs as debtor-in-possession.
2. Z&Z does not have any adverse interest to the Debtor or its estate.
3. Prior to the Petition Date, Z&Z received a retainer in the amount of \$75,000.00 from the Debtor.
4. Said retainer will first be applied on account of legal fees and expenses incurred by Z&Z prior to the Petition Date which includes amounts incurred in representing the Debtor in contemplation of this case, and thereafter to the legal fees and expenses incurred by Z&Z on behalf of the Debtor in connection with this case. Z&Z may seek the payment of reasonable fees and costs incurred on and after the Petition Date in amounts in excess of the paid retainer. All of Z&Z’s legal fees and costs incurred on behalf of the Debtor in this case are subject to this Court’s approval.

5. Z&Z has not agreed to share compensation with any other person, except as permitted by the exceptions set forth in § 504(b) of the Bankruptcy Code and Bankruptcy Rule 2016.

Dated this 21st day of October, 2014, at Bridgeport, Connecticut.

THE DEBTOR,
ROCHDALE SECURITIES, LLC

By: /s/ Stephen M. Kindseth
Stephen M. Kindseth (ct14640)
ZEISLER & ZEISLER, P.C.
10 Middle Street, 15th Floor
P.O. Box 1220
Bridgeport, CT 06604-1220
Tel. 203-368-4234
Fax. 203-367-9678
Email skindseth@zeislaw.com
Its Attorneys

**United States Bankruptcy Court
District of Connecticut**

In re **Rochdale Securities, LLC**,
Debtor

Case No. **14-51485**

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
Daniel Crowley 467 N. Wilton Road New Canaan, CT 06840	Voting	20.013200%	Membership
Hal Tunick 10 Rose Lane Chappaqua, NY 10514	Voting	22.362400%	Membership
Kevin Cassidy 30 Birch Road Darien, CT 06820	Non-Voting	0.939700%	Membership
Kristen Talgo 14 1st Street Apt. F Stamford, CT 06905	Voting	22.362400%	Membership
Matt Simpson 35 Hammond Ridge Road Bedford Corners, NY 10549	Non-Voting	0.939700%	Membership
Patrick Burke, Jr. 51 Cobbs Mill Road Wilton, CT 06897	Non-Voting	2.799200%	Membership
Richard Bennett 2 Heath Parkway Middletown, NJ 07748	Non-Voting	1.060900%	Membership
Richard D. Oddo 145 Johanna Lane Staten Island, NY 10309	Non-Voting	4.671000%	Membership
Rochdale Corporation c/o Carl Acebes P.O. Box 989 Little Compton, RI 02837	Voting	24.851500%	Membership

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Debtor

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 **October 21, 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.