

**UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF ILLINOIS  
EASTERN DIVISION**

**Civil Action No. 19-cv-05957**

**UNITED STATES SECURITIES  
AND EXCHANGE COMMISSION,  
Plaintiff,**

**Hon. John Z. Lee**

**v.  
NORTHRIDGE HOLDINGS, LTD., ET AL.,  
Defendants.**

**Magistrate Judge Susan E. Cox**

**PROOF OF CLAIM FORM**

Please refer to the Notice of Claims Bar Date and Procedures for Submitting Proof of Claim for Instructions on how to submit a claim

**CLAIMANT INFORMATION**

Claimant ID No. *(Populated for mailed claims)*

Name

Street Address

City/State/Zip Code/Country

Telephone Number

Email Address

Last four digits of TAX. ID No or SSN

Check this box if you are updating your address

Check this box if you are representing the Claimant - Provide YOUR information below

Name

Name of Firm

Street Address

City/State/Zip Code/Country

Telephone Number

Email Address

**CLAIM INFORMATION**

Check this box if this claim is an Investor Claim

An Investor Claim is a Claim against any Northridge Entity based on an investment transaction in, with, or through a Northridge Entity, including but not limited to transactions based on or related to: (a) promissory notes or other money loaned to a Northridge Entity, or (b) investments (by subscription or otherwise) in a Northridge Entity.

**If you AGREE with the information and amounts in the attachments to the Notice of Receiver's Initial Determination, then you do not need to submit this form. Please check the "agree" box on the response form attached to the Notice of Receiver's Initial Determination and return to the Claims Agent as instructed in the Notice of Receiver's Initial Determination.**

Name of entity your claim is against: \_\_\_\_\_

Investor Claim Amount \$ \_\_\_\_\_

Check this box if this claim is a General Creditor Claim

A General Creditor Claim is a Claim against a Northridge Entity that is not an Investor Claim.

Name of entity your claim is against: \_\_\_\_\_

General Creditor Claim Amount \$ \_\_\_\_\_

Check this box if this claim is an Administrative Claim

An Administrative Claim is a Claim based on: (a) the provision of goods or services for the benefit of the Receivership Estate or at the request of the Receiver beginning on or after September 12, 2019, which remain unpaid, (b) any taxes arising from or attributable to tax periods beginning on or after September 12, 2019, including those that may be asserted by federal, state, local or other governmental entities or authorities, which remain unpaid, (c) an uncashed check issued on or after September 12, 2019 for a refund on account of a healthcare account receivable overpayment or student loan account receivable overpayment or any other overpayment, or (d) any current, future or contingent contractual obligations (including indemnification obligations) arising from any contract entered into by or on behalf of the Receivership Estate.

Name of entity your claim is against: \_\_\_\_\_

Administrative Creditor Claim Amount \$ \_\_\_\_\_

**SUPPORTING DOCUMENTS:**

**Investor Claimants:** Please Review the NOTICE OF RECEIVER'S INITIAL DETERMINATION for instructions of supporting documents to attach to your Proof of Claim Form. DO NOT SEND ORIGINAL DOCUMENTS.

**General Creditor Claimants and Administrative Claimants:** Please review the NOTICE OF CLAIMS BAR DATE AND PROCEDURES FOR SUBMITTING A PROOF OF CLAIM for instructions of supporting documents to attach to your Proof of Claim. DO NOT SEND ORIGINAL DOCUMENTS.

