

Fill in this information to identify the case:

Debtor \_\_\_\_\_

United States Bankruptcy Court for the Southern District of New York

Case number \_\_\_\_\_

**Official Form 410  
Proof of Claim**

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Other than a claim under 11 U.S.C. § 503(b)(9), this form should not be used to make a claim for an administrative expense arising after the commencement of the case.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies or any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed.

**Part 1: Identify the Claim**

1. Who is the current creditor? 1998 Generation Skipping Trust  
Name of the current creditor (the person or entity to be paid for this claim)  
 Other names the creditor used with the debtor Patricia J. Rettig, Trustee

2. Has this claim been acquired from someone else?  
 No  
 Yes. From whom? \_\_\_\_\_

3. Where should notices and payments to the creditor be sent?  Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent?	Where should payments to the creditor be sent? (if different)
	<u>Patricia J. Rettig, Trustee</u> <small>Name</small> <u>24384 Restive Way</u> <small>Number Street</small> <u>Grass Valley, CA. 95949</u> <small>City State ZIP Code</small> <u>Nevada</u> <small>Country</small> Contact phone <u>530 268-3762</u> Contact email <u>rothies385@hotmail.com</u>	<u>Patricia J. Rettig, Trustee</u> <small>Name</small> <u>24384 Restive Way</u> <small>Number Street</small> <u>Grass Valley, CA. 95949</u> <small>City State ZIP Code</small> <u>Nevada</u> <small>Country</small> Contact phone <u>530 268-3762</u> Contact email <u>rothies385@hotmail.com</u>

Uniform claim identifier for electronic payments in chapter 13 (if you use one): \_\_\_\_\_

4. Does this claim amend one already filed?  
 No  
 Yes. Claim number on court claims registry (if known) \_\_\_\_\_ Filed on \_\_\_\_\_ MM / DD / YYYY

5. Do you know if anyone else has filed a proof of claim for this claim?  
 No  
 Yes. Who made the earlier filing? \_\_\_\_\_

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**Part 2: Give Information About the Claim as of the Date the Case Was Filed**

6. Do you have any number you use to identify the debtor?  No  
 Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 7217

7. How much is the claim? \$ \_\_\_\_\_ Does this amount include interest or other charges?  
 No  
 Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or credit card.  
Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).  
Limit disclosing information that is entitled to privacy, such as health care information.  
\_\_\_\_\_

9. Is all or part of the claim secured?  No  
 Yes. The claim is secured by a lien on property.  
**Nature of property:**  
 Real estate: If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.  
 Motor vehicle  
 Other. Describe: \_\_\_\_\_  
**Basis for perfection:** \_\_\_\_\_  
Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)  
**Value of property:** \$ \_\_\_\_\_  
**Amount of the claim that is secured:** \$ \_\_\_\_\_  
**Amount of the claim that is unsecured:** \$ \_\_\_\_\_ (The sum of the secured and unsecured amount should match the amount in line 7.)  
**Amount necessary to cure any default as of the date of the petition:** \$ \_\_\_\_\_  
**Annual Interest Rate** (when case was filed) \_\_\_\_\_ %  
 Fixed  
 Variable

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10. Is this claim based on a lease?  No  
 Yes. Amount necessary to cure any default as of the date of the petition. \$ \_\_\_\_\_

11. Is this claim subject to a right of setoff?  No  
 Yes. Identify the property: \_\_\_\_\_

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)?

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

- No
- Yes. Check all that apply:
- |   |   |
|---|---|
| <input type="checkbox"/> Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B).  | Amount entitled to priority<br>\$ _____ |
| <input type="checkbox"/> Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7).  | \$ _____                                |
| <input type="checkbox"/> Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4). | \$ _____                                |
| <input type="checkbox"/> Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8).  | \$ _____                                |
| <input type="checkbox"/> Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5).  | \$ _____                                |
| <input type="checkbox"/> Other. Specify subsection of 11 U.S.C. § 507(a)( ) that applies.   | \$ _____                                |

\* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim pursuant to 11 U.S.C. § 503(b)(9)?

- No
- Yes. Indicate the amount of your claim arising from the value of any goods received by the debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim.

\$ \_\_\_\_\_

**Part 3: Sign Below**

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

- I am the creditor.
- I am the creditor's attorney or authorized agent.
- I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.
- I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgement that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have reasonable belief that the information is true and correct.

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

Executed on date 7-8-2019  
MM / DD / YYYY

Patricia J. Rettig, Trustee  
Signature

Print the name of the person who is completing and signing this claim:

Name Patricia Jane Rettig, Trustee  
First name Middle name Last name

Title Trustee

Company \_\_\_\_\_  
Identify the corporate servicer as the company if the authorized agent is a servicer.

Address 24384 Restive Way  
Number Street

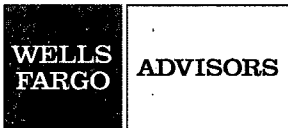
Grass Valley CA 95949 Nevada  
City State ZIP Code Country

Contact phone 530 268-3762 Email rotties385@hotmail.com

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DATED 12/12/14

Account Number 1195-8439  
YOUR FINANCIAL ADVISOR  
MARK CAVALIER

Electronic Delivery

415-396-2318  
800-359-9297

1998 GENERATION SKIPPING  
TRUST TR  
PATRICIA J RETTIG TTEE  
U/A DTD 03/31/1998  
24384 RESTIVE WAY  
GRASS VALLEY CA 95949-8115

BOUGHT		QUANTITY	PRICE	PRINCIPAL
WINDSTREAM HLDGS INC		1,200	8.639900000	10,367.88
SYMBOL	WIN	ACCOUNT TYPE	CASH	CHARGE/COMMISSION*
SECURITY NUMBER	3749-350	TRADE DATE	12/12/14	107.00
CUSIP	97382A-10-1	SETTLEMENT DATE	12/17/14	
UNSOLICITED			<b>NET AMOUNT</b>	<b>\$10,474.88</b>
*INCLUDES \$7.00 TRANSACTION FEE				
<b>MARKET:</b> OVER THE COUNTER.				
<b>SECURITY INFORMATION:</b> QUARTERLY PAY.				

Wells Fargo Advisors, LLC, brokerage account(s) carried by First Clearing, LLC. Wells Fargo Advisors, LLC and First Clearing, LLC, Members FINRA/SIPC are separate registered broker-dealers and non-bank affiliates of Wells Fargo & Company.

Investments and insurance products are: **NOT FDIC-INSURED** **NO BANK GUARANTEE** **MAY LOSE VALUE**

For Address Correction And Payment Due Instructions Please Refer To Contact Information On Page 2 Of This Confirmation

## TERMS OF AGREEMENT

This transaction(s) is subject to the following terms and conditions as well as the terms of any agreements entered into between you (the client) and Wells Fargo Advisors, LLC and its affiliates, including First Clearing, LLC (collectively, "we" or "us").

1. All transactions are subject to the rules and customs of the market or exchange and its clearing house, if any, where such transactions are executed and where appropriate, of the Financial Industry Regulatory Authority ("FINRA").
2. This transaction(s) is confirmed with the understanding that securities purchased are to be paid for and securities sold are to be delivered.
3. Report any errors associated with this confirmation immediately. Failure to notify us in writing within ten (10) calendar days of receipt of this confirmation constitutes your acceptance of the transaction. Please retain this confirmation for tax purposes.
4. Remittance of funds or securities for this transaction is due on or before settlement date. If payment for securities purchased, or delivery of securities sold, is not received on or before the date required by Regulation T of the Federal Reserve Board, we may cancel the transaction and/or sell the securities purchased, or buy in the securities sold, and you will be liable for any resulting loss and not entitled to any resulting gain.
5. We may lend or pledge any margin securities in your account to others until the amount you have borrowed, plus interest, has been repaid.
6. The time of this transaction, the name of the buyer or seller, and the source and amount of any commission or fee will be furnished upon written request.
7. We may receive compensation for directing option orders to particular broker-dealers and options exchanges for execution. In the event we receive such compensation, it may include cash payments as well as non-cash items such as discounts, reductions, or credits against fees that would otherwise be payable in full. The source and amount of any compensation will be furnished upon written request.
8. If the transaction involves callable securities, the call feature could affect yield. Additional information will be provided upon request.
9. All trades are subject to applicable tax withholding and reporting obligations.
10. This confirmation shall be construed in accordance with the laws of the State of New York.
11. We may from time to time have a long or short position and buy or sell the securities transacted.
12. Open unfilled orders will be canceled before the opening of the next business day following the 180th day from date entered or the good-through date listed on the front of the confirm. Buy orders, sell stop orders and sell stop limit orders are reduced in price by the amount of the dividend on the day a security sells ex-dividend unless we are specifically instructed otherwise. Sell orders, buy stop orders and buy stop limit orders are not reduced in price when a security sells ex-dividend.
13. Transactions may have been effected through an affiliated market maker who may have acted as principal, have a long or short position in this security, and/or have a profit or loss in connection with this transaction.
14. Unless noted as principal we acted as agent. If noted as principal, we have sold to or bought from you and may have received a profit from the transaction and any amount provided in the CHARGE/COMMISSION field is a commission equivalent. For open end Mutual Fund transactions we may act as agent for your account through an arrangement directly with the fund company.
15. Other Fee is the amount we charge you on certain executed orders that is designed to offset certain handling charges or activity assessments we incur for executing orders. This charge is intended to approximate the amount we expect to directly or indirectly pay FINRA, a foreign tax authority, the New York Stock Exchange or other trade reporting market centers where your order is executed. We may collect more or less from you than we pay to such market centers and these differences are retained or paid for by us, as the case may be.
16. You may obtain current market data, including transaction prices for equities and options, debt securities and mutual funds, as well as company and other economic news at [www.finra.org/marketdata/](http://www.finra.org/marketdata/). This information is available at no charge to you for your non-commercial use only.
17. Some securities may have variable coupon rates. Additional information related to calculations of the corporate debt security's interest and principal payments is available upon written request. Request must be made not later than six months from the date of settlement.
18. All new issue transactions are completed pursuant to Registration Statement or where a Prospectus is otherwise required.
19. If a transaction indicates a foreign security, the purchase or sale of that security may have been made outside the U.S. in the currency of the country where it was executed. If the transaction was executed in a foreign market, our agent charges a fee to complete the transaction, and these fees are included in the price on this confirmation. Details of the currency exchange and any fees included in the price are available upon request. Also, the values of foreign securities are affected by changes in currency rates, foreign tax laws, government policies, relations between nations and trading, settlement, custodial and other operational risks. The costs of investing abroad are generally higher than in the U.S., and foreign securities markets may be less liquid, more volatile and less subject to regulatory and governmental supervision than U.S. markets.
20. Long term ratings for municipal insurance companies are not guaranteed, and subject to change. Purchases of insured municipal bonds should be made based upon current status of the insurance company, underlying ratings and client's Investment Objectives.
21. Multiple Capacity indicates that the firm acted in a principal and agency capacity when executing the transaction. As a result, a reportable trade price could not be calculated. Information regarding the trade price, the capacity in which the firm acted for each execution and details regarding remuneration are available upon request.

All Investments are subject to fluctuation in principal value resulting from market or interest rate changes.

Please write your account number on the face of your check and forward to WELLS FARGO ADVISORS, LLC, 401 SOUTH TYRON STREET CHARLOTTE, NC 28288-1167. When remittances/securities are due, they must be received by us at the address above on or before the payment/settlement date. Please make all checks payable to First Clearing, LLC.

For questions or concerns regarding your account please contact First Clearing, LLC, at ATTN: H0005-087, 1 N. Jefferson Ave, St. Louis, MO 63103, 1-800-727-0304.

If you have moved or plan to move, please notify the office servicing your account of your new address.

### Common Abbreviations:

ADJ Adjustable	FC	First Coupon	REG	Registered
AMT Alternative Minimum Tax	G/O LTD	General Obligation Limited Tax	REV	Revenue Bond
B/E Book Entry	G/O UNLTD	General Obligation Unlimited Tax	RFDG	Refunding
B/Q Bank Qualified	GTD	Guaranteed	VAR	Variable
CPN Coupon	OID	Original Issue Discount	DB	G/O REV
DTD Dated Due	OY	Original Yield	MWC	Make Whole Call
BAB Build America Bond				