

Edgar Filing: TROY GROUP INC - Form SC 13G

TROY GROUP INC
Form SC 13G
February 12, 2004

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

SCHEDULE 13G
Under the Securities Exchange Act of 1934

Troy Group, INC.

(Name of Issuer)

Common Stock, \$.01 par value

(Title of Class of Securities)

89733N106

(CUSIP Number)

Kellogg Capital Group, LLC
(formerly Performance Capital Group, LLC)
14 Wall Street, 27th Floor
New York, New York, 10005
(212) 433-7777

(Name, Address and Telephone Number of Person Authorized to
Receive Notices and Communications)

September 10, 2003

(Date of Event Which Requires Filing of this Statement)

Check the appropriate box to designate the rule pursuant to which this Schedule
is filed:

Rule 13d-1(b)

Rule 13d-1(c)

Rule 13d-1(d)

*The remainder of this cover page shall be filled out for a
reporting person's initial filing on this form with respect
to the subject class of securities, and for any subsequent
amendment containing information which would alter
the disclosures provided in a prior cover page.

The information required in the remainder of this cover page
shall not be deemed to be "filed" for the purpose of
Section 18 of the Securities Exchange Act of 1934("Act")
or otherwise subject to the liabilities of that
section of the Act but shall be subject to all other
provisions of the Act (however, see the Notes).

CUSIP NO. 89733N106

Page 2 of 5 Pages

NAMES OF REPORTING PERSONS

1 I.R.S. IDENTIFICATION NOS. OF ABOVE PERSONS (ENTITIES ONLY)
Kellogg Capital Group, LLC

Edgar Filing: TROY GROUP INC - Form SC 13G

Tax I.D.: 13-4067067
Charles Kellogg
Lee Kellogg

2 CHECK THE APPROPRIATE BOX IF A MEMBER OF A GROUP (SEE INSTRUCTIONS)
(a)
(b)

3 SEC USE ONLY

4 CITIZENSHIP OR PLACE OF ORGANIZATION
Kellogg Capital Group, LLC- New York
Charles Kellogg - USA
Lee Kellogg - USA

5 SOLE VOTING POWER
NUMBER OF
Kellogg Capital Group, LLC - 601,871
Charles Kellogg - 3,040
SHARES

6 SHARED VOTING POWER
BENEFICIALLY
OWNED BY Charles and Lee Kellogg - 49,015

7 SOLE DISPOSITIVE POWER
EACH
REPORTING Kellogg Capital Group, LLC - 601,871
Charles Kellogg - 3,040
PERSON

8 SHARED DISPOSITIVE POWER
WITH: Charles & Lee Kellogg 49015

9 AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING PERSON
Kellogg Capital Group, LLC - 601,871
Charles Kellogg - 3,040
Charles and Lee Kellogg-49,015

10 CHECK BOX IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN
SHARES (SEE INSTRUCTIONS)

11 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW (9)
6.1%

12 TYPE OF REPORTING PERSON (SEE INSTRUCTIONS)
Kellogg Capital Group, LLC BD
Charles Kellogg CP
Lee Kellogg CP

Item 1.

(a) Name of Issuer

Troy Group, Inc.

(b) Address of Issuer's Principal Executive Offices

2331 South Pullman Street
Santa Ana, California 92705

Item 2.

(a) Name of Person Filing

Edgar Filing: TROY GROUP INC - Form SC 13G

Kellogg Capital Group, LLC
Charles Kellogg
Lee Kellogg

(b) Address of Principal Business Office or, if none, Residence

14 Wall Street, 27th Floor
New York, NY 10005

(c) Citizenship

Kellogg Capital-New York
Charles Kellogg-USA
Lee Kellogg-USA

(d) Title of Class of Securities

Common Stock, \$.01 par value

(e) CUSIP Number

89733N16

Item 3.

If This Statement is Filed Pursuant to Rule 13d-1(b), or 13d-2(b) or (c), Check Whether the Person Filing is a:

- (a) Broker or dealer registered under Section 15 of the Exchange Act.
- (b) Bank as defined in Section 3(a)(6) of the Exchange Act
- (c) Insurance company as defined in Section 3(a)(19) of the Exchange Act.
- (d) Investment company registered under Section 8 of the Investment Company Act.
- (e) An investment adviser in accordance with Rule 13d-1(b)(1)(ii)(E);
- (f) An employee benefit plan or endowment fund in accordance with Rule 13d-1(b)(1)(ii)(F);
- (g) A parent holding company or control person in accordance with Rule 13d-1(b)(1)(ii)(G);
- (h) A savings association as defined in Section 3(b) of the Federal Deposit Insurance Act;
- (i) A church plan that is excluded from the definition of an investment company under Section 3(c)(14) of the Investment Company Act;
- (j) Group, in accordance with Rule 13d-1(b)(1)(ii)(J).

Item 4. Ownership.

(a) Amount beneficially owned: Kellogg Capital Group, LLC - 601,871
Charles Kellogg - 3,040
Charles and Lee Kellogg: 49,015

(b) Percent of class: 6.1%

(c) Number of shares as to which the persons has:

Edgar Filing: TROY GROUP INC - Form SC 13G

Kellogg Capital Group, LLC - 601,871
Charles Kellogg - 3,040
Charles and Lee Kellogg - 49,015

- (i) Sole power to vote or to direct the vote -
Kellogg Capital Group, LLC - 601,871
Charles Kellogg - 3,040
- (ii) Shared power to vote or to direct the vote -
Charles and Lee Kellogg - 49,015
- (iii) Sole power to dispose or to direct the disposition of -
Kellogg Capital Group, LLC - 601,871
Charles Kellogg - 3,040
- (iv) Shared power to dispose or to direct the disposition of -
Charles and Lee Kellogg - 49,015

Item 5. Ownership of Five Percent or Less of a Class.

This Schedule 13G is not being filed to report that the reporting person has ceased to be the owner of more than 5% of the outstanding shares of common stock of the company.

Item 6. Ownership of More than Five Percent On behalf of another person. No other person has the right to receive or the power to direct the receipt of dividends from, or the proceeds from the sale of, the securities of Troy Group, Inc. Held by Kellogg Capital Group, LLC. or with respect to the 3040 shares as to which Charles Kellogg has sole power to vote and to dispose. With respect to the 49,015 shares as to which Charles and Lee Kellogg have shared power to vote and dispose other persons have the right to receive or the power to direct the receipt of dividends from, or the proceeds from the sale of securities of Troy Group, Inc, but none of any such persons interest relates to more than five percent of the class.

Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on by the Parent Holding Company. This Schedule 13G is not being filed by a parent holding company or a control person pursuant to Rule 13d-1(b) (1) (ii) (G).

Item 8. Identification and Classification of Members of the Group.

This Schedule is not being filed by a group pursuant to Rule 13d-1(b) (1) (ii) (J).

Item 9. Notice of Dissolution of a Group.

Not applicable.

Item 10. Certification.

(b) This Schedule 13G is being filed pursuant to Rule 13d-1(b):

By signing below I certify that, to the best of my knowledge and belief, the securities referred to above were acquired and are held in the ordinary course of business and were not acquired and are not held for the purpose of or with the effect of changing or influencing the control of the issuer of the securities and were not acquired and are not held in connection with or as a participant in any transaction having that purpose or effect.

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

February 12, 2004

Edgar Filing: TROY GROUP INC - Form SC 13G

Date

/s/ Matthew Brand

Matthew Brand
Title: Managing Director
