

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF NEW YORK

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SECURITIES AND EXCHANGE COMMISSION

Plaintiff,

vs.

Case No. 1:10-CV-457
(GLS/CFH)

McGINN, SMITH & CO., INC.,
McGINN, SMITH ADVISORS, LLC
McGINN, SMITH CAPITAL HOLDINGS CORP.,
FIRST ADVISORY INCOME NOTES, LLC,
FIRST EXCELSIOR INCOME NOTES, LLC,
FIRST INDEPENDENT INCOME NOTES, LLC,
THIRD ALBANY INCOME NOTES, LLC,
TIMOTHY M. MCGINN, AND
DAVID L. SMITH, GEOFFREY R. SMITH,
Individually and as Trustee of the David L. and
Lynn A. Smith Irrevocable Trust U/A 8/04/04,
LAUREN T. SMITH, and NANCY MCGINN,

Defendants,

LYNN A. SMITH and
NANCY MCGINN,

Relief Defendants. and

GEOFFREY R. SMITH, Trustee of the
David L. and Lynn A. Smith Irrevocable
Trust U/A 8/04/04,

Intervenor.
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CERTIFICATE OF SERVICE

I, Dawn M. Spires, being at all times over 18 years of age, hereby certify that on May 23, 2019, I mailed, via first class mail using the United States Postal Service, a true and correct copy of the "Text Only Notice" posted to the docket of the above-referenced case scheduling certain response and reply deadlines with respect to the Seventh Claims Motion of William J. Brown, as Receiver, for an Order (A) Disallowing Preferred Investor Paper Claims and (B) Applying Recovery Offset to Preferred Investor Claims (Investment Fund Redemptions) (Docket No. 1056) to the individuals listed below:

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Dated: May 23, 2019

/s/ Dawn M. Spires
Dawn M. Spires