

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, Karen M. Ludlow, being at all times over 18 years of age, hereby certify that on June 5, 2019, a true and correct copy of the (i) Notice of Motion and 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), (ii) Declaration of William J. Brown, as Receiver, and (iii) Memorandum of Law (Docket No. 1056) (collectively, "Seventh Claims Motion"), together with a copy of the May 23, 2019 "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, were caused to be served by First Class Mail to the party indicated below:

Monica Thrasher  
3 Sweet Fern Lane  
Sandwich, MA 02563

Dated: June 5, 2019

/s/ Karen M. Ludlow  
Karen M. Ludlow

Doc #01-3672984.2