

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF NEW YORK



ELECTRONIC NOTICE OF CIVIL OR PRISONER APPEAL & CLERK'S CERTIFICATION

Dear Clerk of the Court,

Please take notice that on March 7, 2011 the court received a notice of appeal. This notice serves to inform you of the pending appeal and provides you with the information needed to process the appeal.

I, LAWRENCE K. BAERMAN, CLERK, U.S. District Court for the Northern District of New York, DO, HEREBY CERTIFY that the foregoing docket entries, with the exception of the documents listed below, are maintained electronically on the court's CM/ECF system and constitute the Record on Appeal in the below listed action.

The following documents *are not* available electronically in the Albany Clerk's Office. Please notify our office if you need any of the following documents:

Docket No.(s): 193 (Sealed Document), 246 (Sealed Document)

****DOCUMENTS SENT TO USCA ON 3/3/11****

IN TESTIMONY WHEREOF, I have hereunto set my hand and caused the Seal of said Court to be hereto affixed at the City of Albany, New York, this 8th day of March, 2011.

Lawrence K. Baerman, Clerk
U.S. District Court

s/

By: Britney Norton
Deputy Clerk

Case Information

Case Name & Case No. Securities and Exchange Commission v. McGinn, Smith, & Co., Inc., et al. 1:10-cv-457

Docket No. of Appeal: 296

Document Appealed: 254

Fee Status: Paid X

Counsel: Retained X

Time Status: Timely X
