

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF NEW YORK

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SECURITIES AND EXCHANGE COMMISSION,

Plaintiff, Case No. 10-CV-457
-against- (GLS/DRH)

McGINN, SMITH & CO., INC., et al.,

Defendants.

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NOTICE OF APPEAL

Notice is hereby given that non-party Jill A. Dunn, Esq. ("Dunn") appeals to the United States Court of Appeals for the Second Circuit from the portions of the Memorandum-Decision and Order issued by United States Magistrate Judge David R. Homer and entered on July 20, 2011 (Dkt. No. 342) ("July 20, 2011, Decision"), which impose sanctions against her, namely: disgorgement of \$5,355 paid on July 31, 2010, public admonishment, and a direction to the Clerk of the Court to forward a copy of the July 20, 2011, Decision to the Committee on Professional Standards for the Appellate Division, Third Department, and from the findings and conclusions underlying the lower court's imposition of sanctions.

Dunn also appeals from the Text Only Order issued by United States District Judge Gary L. Sharpe on August 11, 2011, in its entirety.

Dunn also appeals from the Text Only Order issued by United States District Judge Gary L. Sharpe on August 22, 2011, in its entirety.

Dated: September 15, 2011

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