

UNITED STATES DISTRICT COURT
NORTHERN DISTRICT OF NEW YORK

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SECURITIES AND EXCHANGE COMMISSION,

Plaintiff,

-against-

McGUINN, SMITH & CO., INC. *et al.*,

Defendants.
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Case No. 10-CV-457 (GLS/DRH)

CERTIFICATE OF SERVICE

I hereby certify that on September 15, 2011, I filed a Notice of Appeal dated September 15, 2011, on the Court's ECF system and caused true copies to be mailed to the following:

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September 15, 2011

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