

**IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF NORTHERN DISTRICT OF NEW YORK**

Securities & Exchange Commission,)	
Plaintiff(s))	
v.)	CASE NO. <u>10-cv-00457 (CFH)</u>
McGinn, Smith & Co. Inc.,)	
Defendant(s))	

REQUEST FOR TRANSCRIPT

TO: Theresa J. Casal, RPR, CRR, Court Reporter / Transcriber.

Notice is hereby given that an official transcript¹ of a proceeding has been requested of the following portion(s) of the proceedings:

Hearing held on November 22, 2014 before Judge Hummel (Ref. Docket No. 649)

The party requesting the transcript must also provide the Court Reporter / Transcriber with a FORM AO 435 Transcript Order². This form is available on the Court's website at www.nynd.uscourts.gov.

Please note that if the Transcript request is for an appeal, the requestor must also file the appropriate transcript appeal forms that are available on the 2nd Circuit Webpage at <http://www.ca2.uscourts.gov>.

s/ William J. Brown Digitally signed by William J. Brown
DN: cn=William J. Brown, o=Pinhas Lytle LLP, ou=Partner,
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Date: 2014.02.24 12:43:22 -0500
 Attorney for Receiver
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 Address: One Canalside, 125 Main Street, Buffalo, NY 14203

¹Upon the filing of the official transcript with the Clerk of Court in a civil or criminal proceeding by the court reporter, the parties will have five (5) business days to file a Notice of Intent to Request Redaction. For additional information on the Court's Policy concerning redaction of transcripts please visit the Court website at www.nynd.uscourts.gov.

²For Criminal transcript requests by a CJA Panel Member please request from the Clerk's Office a CJA-24 Transcript Voucher form and have it approved by the presiding judge prior to filing this form.

Certificate of Service

I hereby certify that on 2/25/2013, I electronically filed the foregoing with the Clerk of Court using the CM/ECF system which will send notification to the following:
All parties receiving CM/ECF noticing in this case.

and that I mailed by United States Postal Service the document to the following non CM/ECF participants: _____.

S/Karen M. Ludlow Digitally signed by Karen M. Ludlow
DN: cn=Karen M. Ludlow, o=Phillips Lytle LLP, ou=Legal
Secretary: email=k.ludlow@phillipslytle.com, c=US
Date: 2014.02.24 12:49:35 -0500

ndny notice of filing of official transcript 1/16/06

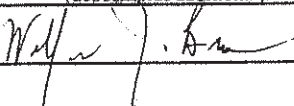
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AO 435 (Rev. 04/11)		Administrative Office of the United States Courts		FOR COURT USE ONLY	
TRANSCRIPT ORDER				DUE DATE:	
<i>Please Read Instructions:</i>					
1. NAME William J. Brown, as Receiver		2. PHONE NUMBER (716) 847-7089		3. DATE 2/24/2014	
4. MAILING ADDRESS One Canalside, 125 Main Street		5. CITY Buffalo		6. STATE NY	7. ZIP CODE 14203
8. CASE NUMBER 10-cv-00457		9. JUDGE Christian F. Hummel		DATES OF PROCEEDINGS	
				10. FROM 11/22/2013	11. TO 11/22/2013
12. CASE NAME Securities & Exchange Commission v. McGinn, Smith & Co				LOCATION OF PROCEEDINGS	
		13. CITY Albany		14. STATE NY	
15. ORDER FOR					
<input type="checkbox"/> APPEAL		<input type="checkbox"/> CRIMINAL		<input type="checkbox"/> CRIMINAL JUSTICE ACT	
<input type="checkbox"/> NON-APPEAL		<input checked="" type="checkbox"/> CIVIL		<input type="checkbox"/> IN FORMA PAUPERIS	
				<input type="checkbox"/> BANKRUPTCY	
				<input type="checkbox"/> OTHER	
16. TRANSCRIPT REQUESTED (Specify portion(s) and date(s) of proceeding(s) for which transcript is requested)					
PORTIONS		DATE(S)		PORTION(S)	
<input type="checkbox"/> VOIR DIRE				<input type="checkbox"/> TESTIMONY (Specify Witness)	
<input type="checkbox"/> OPENING STATEMENT (Plaintiff)					
<input type="checkbox"/> OPENING STATEMENT (Defendant)					
<input type="checkbox"/> CLOSING ARGUMENT (Plaintiff)				<input type="checkbox"/> PRE-TRIAL PROCEEDING (Specy)	
<input type="checkbox"/> CLOSING ARGUMENT (Defendant)					
<input type="checkbox"/> OPINION OF COURT					
<input type="checkbox"/> JURY INSTRUCTIONS				<input type="checkbox"/> OTHER (Specify)	
<input type="checkbox"/> SENTENCING					
<input type="checkbox"/> BAIL HEARING					
17. ORDER					
CATEGORY	ORIGINAL <small>(Includes Certified Copy to Clerk for Records of the Court)</small>	FIRST COPY	ADDITIONAL COPIES	NO. OF PAGES ESTIMATE	COSTS
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CERTIFICATION (18. & 19.) By signing below, I certify that I will pay all charges (deposit plus additional).				ESTIMATE TOTAL	0.00
18. SIGNATURE 			PROCESSED BY		
19. DATE 2/24/2014			PHONE NUMBER		
TRANSCRIPT TO BE PREPARED BY			COURT ADDRESS		
ORDER RECEIVED		DATE	BY		
DEPOSIT PAID				DEPOSIT PAID	
TRANSCRIPT ORDERED				TOTAL CHARGES	0.00
TRANSCRIPT RECEIVED				LESS DEPOSIT	0.00
ORDERING PARTY NOTIFIED TO PICK UP TRANSCRIPT				TOTAL REFUNDED	
PARTY RECEIVED TRANSCRIPT				TOTAL DUE	0.00