

UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF NEW YORK



**ELECTRONIC NOTICE OF CIVIL APPEAL & CLERK'S CERTIFICATION**

Dear Clerk of the Court,

Please take notice that on April 08, 2022 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, JOHN M. DOMURAD, 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, and 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. Please notify the Albany Clerk's Office if you need any of the following documents:

Docket No.(s): 180, 193, 369, 401, 410, 411, 412, 415, 416, 538, 547, 549, 554, 556, 560, 561, 578, 606, 625, 864, 865, 948, 886, 878

IN TESTIMONY WHERE OF, 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 11<sup>th</sup> day of April, 2022.

*John Domurad*  
Clerk of Court



By: Elizabeth Render  
Deputy Clerk

**Case Information**

Case Name & Case No. Securities and Exchange Commission v. David L. Smith  
1:10-cv-457

Docket No. of Appeal: 1225  
Document Appealed: 1222

Fee Status: Paid  Receipt Number ANYNDC-5866643 Due \_\_\_  
Waived (IFP/CJA) \_\_\_ IFP revoked \_\_\_  
Application Attached \_\_\_ IFP pending before USDJ \_\_\_

Counsel: Retained  Pro Se \_\_\_

Time Status: Timely  Untimely \_\_\_