

AO 440 (Rev. 06/12) Summons in a Civil Action

UNITED STATES DISTRICT COURT

for the

Southern District of New York

HARRINGTON GLOBAL OPPORTUNITY FUND, LIMITED

Plaintiff(s)

v.

CIBC WORLD MARKETS CORP., CIBC WORLD MARKETS INC, BANK OF AMERICA SECURITIES, INC., MERRILL LYNCH CANADA INC., (continued on next page)

Defendant(s)

Civil Action No.

SUMMONS IN A CIVIL ACTION

To: (Defendant's name and address) See rider, attached.

A lawsuit has been filed against you.

Within 21 days after service of this summons on you (not counting the day you received it) — or 60 days if you are the United States or a United States agency, or an officer or employee of the United States described in Fed. R. Civ. P. 12 (a)(2) or (3) — you must serve on the plaintiff an answer to the attached complaint or a motion under Rule 12 of the Federal Rules of Civil Procedure. The answer or motion must be served on the plaintiff or plaintiff's attorney,

whose name and address are: Alan M. Pollack Felicia S. Ennis Warshaw Burstein, LLP 575 Lexington Avenue, 7th Floor New York, New York 10022 Tel: (212) 984-7700

If you fail to respond, judgment by default will be entered against you for the relief demanded in the complaint. You also must file your answer or motion with the court.

CLERK OF COURT

Date: _____

Signature of Clerk or Deputy Clerk

(continued from page 1)

MERRILL LYNCH PROFESSIONAL CLEARING CORP.,
TD SECURITIES, INC., TD SECURITIES(USA) LLC,
CORMARK SECURITIES, INC., UBS FINANCIAL
SERVICES, INC., UBS SECURITIES CANADA, INC.,
SOCIETE GENERALE CAPITALE CANADA, INC., SG
AMERICAS SECURITIES, LLC, AND JOHN DOES 1
THROUGH 10,

Defendants.

RIDER TO SUMMONS -DEFENDANTS' NAMES AND ADDRESSES

CIBC World Markets Corp., 425 Lexington Ave Ste C2, New York, NY 10017.

CIBC World Markets Inc., 161 Bay Street, Toronto, Ontario, M5J 2S8.

Bank of America Securities, Inc., One Bryant Park, New York, NY.

Merrill Lynch Canada Inc., 181 Bay St 4, Toronto, Ontario, M5J 2T3.

Merrill Lynch Professional Clearing Corp., 222 Broadway, 6th Floor, New York, NY.

TD Securities, Inc., 66 Wellington Street West Toronto, Ontario, Canada.

TD Securities (USA) LLC, 31 W 52nd St, New York, NY 10019.

Cormark Securities, Inc., 200 Bay Street, Suite 2800, Toronto, Ontario, Canada.

UBS Financial Services, Inc., 1285 Avenue of the Americas, New York, NY.

UBS Securities Canada, Inc., 154 University Avenue Toronto, Ontario, Canada.

Societe Generale Capitale Canada, Inc., 130 King Street West, Suite 2200, Toronto, Ontario, Canada.

SG Americas Securities, LLC, 245 Park Avenue, New York, NY; and

John Does 1 through 10 ("John Doe-Canada," "John Doe-U.S.").

Civil Action No. _____

PROOF OF SERVICE

(This section should not be filed with the court unless required by Fed. R. Civ. P. 4 (l))

This summons for *(name of individual and title, if any)* _____
was received by me on *(date)* _____.

I personally served the summons on the individual at *(place)* _____
_____ on *(date)* _____; or

I left the summons at the individual's residence or usual place of abode with *(name)* _____
_____, a person of suitable age and discretion who resides there,
on *(date)* _____, and mailed a copy to the individual's last known address; or

I served the summons on *(name of individual)* _____, who is
designated by law to accept service of process on behalf of *(name of organization)* _____
_____ on *(date)* _____; or

I returned the summons unexecuted because _____; or

Other *(specify):* _____

My fees are \$ _____ for travel and \$ _____ for services, for a total of \$ _____ 0.00 .

I declare under penalty of perjury that this information is true.

Date: _____

Server's signature

Printed name and title

Server's address

Additional information regarding attempted service, etc: