



0000043277

AGENCY RECEIPT

for

NOTICE OF RULEMAKING DOCKET OPENING

FEB 3 10 01 AM '99

SECRETARY OF STATE

- 1. Agency Name: Arizona Corporation Commission, Securities Division
- 2. Title, Chapter, Subchapters (if applicable), the Articles, the Parts (if applicable), and the Sections involved in the rulemaking:

Arizona Corporation Commission
DOCKETED

Title and its Heading: Title 14, Public Service Corporations;
Corporations and Associations; Securities Regulation

JUL 8 1999

Chapter and its Heading: Chapter 6; Investment Management

DOCKETED BY

Articles and their Headings: Article 1. General Provisions Relating to
the Arizona Investment Management Act; Articles 2. Duties of
Investment Advisers and Investment Adviser Representatives

Articles and Sections

Action

A.A.C. R14-6-101	Repeal
A.A.C. R14-6-102	Repeal
A.A.C. R14-6-103	Repeal
A.A.C. R14-6-104	Repeal
A.A.C. R14-6-201	Repeal
A.A.C. R14-6-202	Repeal
A.A.C. R14-6-203	Repeal
A.A.C. R14-6-204	Repeal
A.A.C. R14-6-205	Repeal
A.A.C. R14-6-206	Repeal
A.A.C. R14-6-207	Repeal
A.A.C. R14-6-208	Repeal
A.A.C. R14-6-209	Repeal
A.A.C. R14-6-101	New section
A.A.C. R14-6-102	New section
A.A.C. R14-6-103	New section
A.A.C. R14-6-104	New section
A.A.C. R14-6-106	New section

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A.A.C. R14-6-201	New section
A.A.C. R14-6-202	New section
A.A.C. R14-6-203	New section
A.A.C. R14-6-204	New section
A.A.C. R14-6-205	New section
A.A.C. R14-6-206	New section
A.A.C. R14-6-207	New section
A.A.C. R14-6-208	New section
A.A.C. R14-6-209	New section
A.A.C. R14-6-210	New section
A.A.C. R14-6-211	New section
A.A.C. R14-6-212	New section

Arizona Administrative Register
Notices of Rulemaking Docket Openings

NOTICE OF RULEMAKING DOCKET OPENING

ARIZONA CORPORATION COMMISSION, SECURITIES DIVISION

- 1. **Title and its heading:** 14, Public Service Corporations; Corporations and Associations; Securities Regulation
- Chapter and its heading:** 6, Investment Management
- Articles and their headings:** 1, General Provisions Relating to the Arizona Investment Management Act
2, Duties of Investment Advisers and Investment Adviser Representatives
- Section numbers:** R14-6-101 through R14-6-104, R14-6-106, and R14-6-201 through R14-6-212
(Additional sections may be added, deleted, or modified.)

2. **The subject matter of the proposed rules:**
 A.A.C. R14-6-101 through R14-6-104 and R14-6-201 through R14-6-209, combined with the enforcement Sections (A.A.C. R14-4-301 through R14-4-308) of the Arizona Securities Act, provide a comprehensive framework of regulation as authorized by the IM Act in place of the repealed Sections. The Corporation Commission proposes the repeal of Sections R14-6-101 through R14-6-104 and R14-6-201 through R14-6-209 and the adoption of new Sections R14-6-101 through R14-6-104, R14-6-106, and R14-6-201 through R14-6-212 in order to correct technical errors within the Sections, to reflect amendments to the United States Securities and Exchange Commission rules regarding the regulation of investment advisers and investment adviser representatives, and to prescribe parameters to the term "solicit" as used in the Arizona Investment Management Act adopted in April 1994 ("IM Act").

The agency docket number: Docket Number RS-00000A-98-0240

3. **A citation to all published notices relating to the proceeding:**
 4 A.A.R. 1290, June 5, 1998.

4. **The name and address of agency personnel with whom persons may communicate regarding the rule:**

Name: Cheryl T. Farson, Associate General Counsel

Address: Arizona Corporation Commission, Securities Division
 1300 W. Washington, Third Floor
 Phoenix, Arizona 85007

Telephone: (602) 542-4242

Fax: (602) 594-7470

5. **The time during which the agency will accept written comments and the time and place where oral comments may be made:**
 All comments will be accepted Monday - Friday, 8 a.m. - 5 p.m., and should be addressed to the person listed in question 4. No hearing date has been set.

6. **A timetable for agency decisions or other action on the proceeding, if known:**
 None known.

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