



Docket No. 39
RS-60000A-99-0691

ARIZONA ORIGINAL



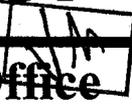
Arizona Corporation Commission

DOCKETED

Administrative Register

MAY 31 2000

DOCKETED BY



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Mimi Griffiths
Director
Public Services Department

BETSEY BAYLESS
Secretary of State

John J. Kyl
Acting Editor
Arizona Administrative Register

NOTICES OF RULEMAKING DOCKET OPENING

The Administrative Procedure Act (APA) requires the publication of Notices of Rulemaking Docket Opening whenever an agency opens a rulemaking docket to consider rulemaking. Under the APA effective January 1, 1995, agencies must submit a Notice of Rulemaking Docket Opening before beginning the formal rulemaking process.

NOTICE OF RULEMAKING DOCKET OPENING

OFFICE OF THE SECRETARY OF STATE

1. **Title and its heading:** 2, Administration
Chapter and its heading: 12, Office of the Secretary of State
Articles and their heading: 10, Campaign Contributions and Expenses; Standing Political Committees
Section numbers: R2-12-1001
2. **The subject matter of the proposed rule:**
The proposed rule establishes an annual \$250 fee that will be paid by Standing Political Committees (as defined in A.R.S. § 16-901(23)) with the Secretary of State, as authorized by A.R.S. § 16-902.01(E).
3. **A citation to all published notices relating to the proceeding:**
None published
4. **The name and address of agency personnel with whom persons may communicate regarding the rule:**
Name: Richard Slaughaupt
Campaign Finance Training and Enforcement Supervisor

Address: Office of the Secretary of State
1700 W. Washington, 7th Floor
Phoenix, Arizona 85007

Telephone: (602) 542-6169
Fax: (602) 542-6172
E-mail: rslaugenhaupt@mail.sosaz.com
5. **The time during which the agency will accept written comments and the time and place where oral comments may be made:**
The public comment period will commence on May 12, 2000 and will conclude on July 12, 2000 at 5:00 p.m. A public hearing has not been scheduled. Proceedings will be scheduled if five or more individuals request them by sending a written request to Richard Slaughaupt at the above address before 5:00 p.m. on Wednesday, June 26, 2000.
6. **A timetable for agency decisions or other action on the proceeding, if known:**
The final rule is to be in effect to permit prospective Standing Political Committees to be able to file campaign finance reports for the Pre-Primary Election Period (due to be filed no later than August 31, 2000 with the Secretary of State).

NOTICE OF RULEMAKING DOCKET OPENING

CORPORATION COMMISSION - SECURITIES

1. **Title and its heading:** 14, Public Service Corporations; Corporations and Associations; Securities Regulation
Chapter and its heading: 4, Securities
Articles and their headings: 2, Canadian Dealers and Salesmen
Section numbers: R14-4-201 through R14-4-209
2. **The subject matter of the proposed rule:**
Proposed R14-2-201 through R14-4-209 provide for a limited registration for Canadian dealers and their salesmen to operate in Arizona under specific and limited circumstances. The rules detail registration prerequisites, filing requirements, limitations on authorized activity, maintenance of registration, and provisions for denial and revocation of the limited registration. The content of the Article is patterned after Section 201 of the Uniform Securities

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Act as adopted by the North American Securities Administrator's Association membership in 1995. Additional Sections may be added, deleted, or modified.

Agency docket number: Docket Number RS-00000A-99-0691

3. A citation to all published notices relating to the proceeding:

None

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

Name: Sharleen A. Day, Associate General Counsel
Address: Arizona Corporation Commission, Securities Division
1300 W. Washington, Third Floor
Phoenix, Arizona 85007
Telephone: (602) 542-4242
Fax: (602) 594-7471

5. The time during which the agency will accept written comments and the time and place where oral comments may be made:

Monday through Friday, 8:00 a.m. to 5:00 p.m.

6. A timetable for agency decisions or other action on the proceeding, if known:

Monday through Friday, 8:00 a.m. to 5:00 p.m. at the Securities Division as noted in Question 4. No hearing date has been set.

Docket No.
RS-00000A-99-0691

AGENCY RECEIPT

for

NOTICE OF RULEMAKING DOCKET OPENING

RECEIVED
MAY 23 2 10 PM '00
OFFICE OF THE
SECRETARY OF STATE

1. **Agency Name:** Arizona Corporation Commission, Securities Division
2. **Title and its Heading:** Title 14. Public Service Corporations; Corporations and Associations; Securities Regulation

Chapter and its Heading: Chapter 4. Corporation Commission - Securities

Article and its Heading: Article 2, Canadian Dealers and Salesmen

<u>Sections</u>	<u>Action</u>
R14-4-201	New Section
R14-4-202	New Section
R14-4-203	New Section
R14-4-204	New Section
R14-4-205	New Section
R14-4-206	New Section
R14-4-207	New Section
R14-4-208	New Section
R14-4-209	New Section

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Reg RW-169

NOTICE OF RULEMAKING DOCKET OPENING

ARIZONA CORPORATION COMMISSION, SECURITIES DIVISION

APR 20 3 26 PM '00

SECRETARY OF STATE

1. **Title and its heading:** Title 14; Public Service Corporations; Corporations and Associations; Securities Regulation

Chapter and its heading: Chapter 4; Securities

Article and its heading: Article 2. Canadian Dealers and Salesmen

Section numbers: R14-4-201 through R14-4-209

2. **Subject matter of proposed rules:** Proposed R14-2-201 through R14-4-209 provide for a limited registration for Canadian dealers and their salesmen to operate in Arizona under specific and limited circumstances. The rules detail registration prerequisites, filing requirements, limitations on authorized activity, maintenance of registration, and provisions for denial and revocation of the limited registration. The content of the article is patterned after Section 201 of the Uniform Securities Act as adopted by the North American Securities Administrator's Association membership in 1995. Additional sections may be added, deleted, or modified.

Agency docket number: Docket Number RS-00000A-99-0691

3. **A citation to all published notices relating to the proceeding:** None

4. **The name and address of agency personnel with whom persons may**

communicate regarding the rule:

Name: Sharleen A. Day, Associate General Counsel
Address: Arizona Corporation Commission, Securities Division
1300 W. Washington, Third Floor
Phoenix, AZ 85007
Phone: (602) 542-4242
Fax: (602) 594-7471

5. Time during which the agency will accept written comments: Monday – Friday,
8:00 a.m. – 5:00 p.m.

Time and place where oral comments may be made: Monday - Friday, 8:00
a.m. - 5:00 p.m. at the Securities Division as noted in Question 4. No Hearing Date
has been set.

6. A timetable for agency decisions or other action on the proceeding, if known:

Not known.