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BEFORE THE ARIZONA CORPORATION COMMISSION

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2006 NOV -1 A 11:49

Arizona Corporation Commission

COMMISSIONERS

DOCKETED

AZ CORP COMMISSION

NOV -1 2006

JEFF HATCH-MILLER, Chairman DOCUMENT CONTROL

WILLIAM A. MUNDELL

MIKE GLEASON

KRISTIN K. MAYES

BARRY WONG

DOCKETED BY [Signature]

In the matter of:
GARY WAYNE HARDY, CRD# 1298371, dba HARDY ASSEST MANAGEMENT, and SHERRY HARDY, husband and wife 1711 W. Gary Drive Chandler, AZ 85224
HARDY ASSET MANAGEMENT, a sole Proprietorship 4625 S. Wendler Drive, Ste. 111 Tempe, AZ 85282
Respondents.

DOCKET NO. S-20426A-05-0768

SECURITIES DIVISION'S LIST OF WITNESSES AND EXHIBITS

The Securities Division of the Arizona Corporation Commission hereby submits the following list of witnesses and exhibits.

I.

WITNESSES

- 1. The Division may call the following individuals to testify at hearing:
a. Meg Kennedy - Ms. Kennedy is a Legal Assistant with the Division.
b. Representative(s) of VeraVest Investments, Inc. fka Allmerica Investments, Inc. and/or SunAmerica Securities, Inc.
c. Respondent Gary Wayne Hardy
d. One or more investors who paid investment funds to Hardy Asset Management.

The Division reserves the right to call any witness listed by Respondents.

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II.
EXHIBITS

2. The Division intends to use the following exhibits at hearing:

Exhibit No.	Description	
S-1	Certificate of registration as a securities salesman with the Arizona Corporation Commission for Gary Wayne Hardy	
S-2	Certificate of licensing as an investment adviser with the Arizona Corporation Commission for Hardy Asset Management	
S-3	Certified Copy of National Association of Securities Dealers (NASD) Letter of Acceptance, Waiver and Consent dated April 11, 2006, with letter from NASD to Gary Wayne Hardy dated 3/09/2006.	
S-4	CRD records for Gary Wayne Hardy	
S-5	CRD records for Hardy Asset Management, Inc.	
S-6	Affidavit of Phillip A. Hofling, Vice President, Legal and an officer of AIG Financial Advisors, Inc. (AIG), formerly SunAmerica Securities, Inc., certifying the authenticity of Exhibits S-6a through S-6g herein as AIG business records.	
S-6a	General Release and Affidavit of Investor John and Shirley Andrews, with attached exhibits.	
S-6b	General Release and Affidavit of Investor Rhonda Bellar, with attached exhibits.	
S-6c	General Release and Affidavit of Investor Samuel A. Edmondson, with attached exhibits.	
S-6d	General Release and Affidavit of Investor Arthur Goudreau, with attached exhibits.	
S-6e	General Release and Affidavit of Investor Marie McCadden, with attached exhibits.	
S-6f	General Release and Affidavit of Investor Carol Walsh, with attached exhibits.	
S-6g	March 24, 2006 letter from Jamie Burgess to Elda Beutel re investments placed with Hardy Asset Management by Investor Elda Beutel.	

1	S-7	Documents evidencing investments placed with Hardy Asset Management by Investors Milton & Helen Zehr.	
2	S-8	Certified copy of Motion for Entry of Default Judgment with attached Affidavit of Margot K. Wallin in Support of Sum Certain Damages, with exhibit, re investment of Rachel R. Baca.	
3	S-9	List of Investors with Hardy Asset Management, with amounts and dates of investments, prepared by the Securities Division.	
4	S-10	Certified copy of Tempe Police Department Incident Report dated 6/20/05 re Incident Number 05-102531, including Supplements, Witness Statements and Victim Summary.	

8 The Division reserves the right to use any exhibits listed by Respondents whether or not
9 introduced by Respondents, and any additional exhibits identified before or at hearing or for
10 purposes of rebuttal.

11 This list is subject to amendment and/or supplement at any time prior to or during the
12 scheduled hearing.

13 RESPECTFULLY SUBMITTED this 1st day of November, 2006.

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16 By: 
17 Pamela T. Johnson
18 Attorney for the Securities Division of
19 the Arizona Corporation Commission

20 ORIGINAL and 13 copies of the foregoing
21 hand-delivered this 1st day of November, 2006 to:

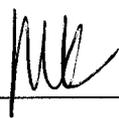
22 Docket Control
23 Arizona Corporation Commission
24 1200 West Washington Street
25 Phoenix AZ 85007

26 COPY of the foregoing hand-delivered
this 1st day of November, 2006 to:

1 Mark Stern, Esq.
2 Administrative Law Judge
3 Arizona Corporation Commission
4 1200 West Washington Street
5 Phoenix AZ 85007

6 COPY of the foregoing mailed
7 this 1st day of November, 2006 to:

8 Gary Wayne Hardy
9 c/o Allen and Betty Hardy
10 8322 E. Dutchman Drive
11 Mesa, AZ 85208

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