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2009 MAR 16 P 4: 49

Arizona Corporation Commission

DOCKETED

AZ CORP COMMISSION
DOCKET CONTROL

MAR 18 2009

4 Attorneys for Respondents

DOCKETED BY

6 BEFORE THE ARIZONA CORPORATION COMMISSION

7 In the matter of

8 WACHOVIA SECURITIES, LLC
9 One North Jefferson Avenue
10 St. Louis, Missouri 63103

Docket No. S-20655A-09-0071

11 WACHOVIA CAPITAL MARKETS, LLC
12 301 South College Street
Charlotte, North Carolina 28288-0601

NOTICE OF APPEARANCE

13 Respondents.

14 NOTICE IS HEREBY GIVEN, pursuant to Rule 5.1(a)(1) of the Arizona Rules of
15 Civil Procedure, that Keith Beauchamp of the law firm of Lewis and Roca LLP and
16 Douglas L. Kelly of Wachovia Securities. LLC will appear in this action as counsel of
17 record for Respondents Wachovia Securities, LLC and Wachovia Capital Markets, LLC.
18 The Commission is scheduled to consider the Order to Cease and Desist, Order for
19 Administrative Penalties, and Consent to Same by Wachovia Securities, LLC and
20 Wachovia Capital Markets, LLC at the open meeting on March 19, 2009 at 10:00 a.m.
21 Mr. Kelly's Application for Appearance *Pro Hac Vice* has been submitted to the State Bar
22 of Arizona. A Motion and Consent of Local Counsel for Temporary *Pro Hac Vice*
23 Admission of Douglas L. Kelly is being filed with the Commission, along with a proposed
24 Procedural Order Granting Admission *Pro Hac Vice*.
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RESPECTFULLY SUBMITTED this 16th day of March, 2009.

LEWIS AND ROCA LLP

By 
Keith Beauchamp
Attorneys for Respondents

COPY of the foregoing hand-delivered
this 16th day of March, 2009, to:

Cheryl Farson
General Counsel
Securities Division
Arizona Corporation Commission
1300 West Washington Avenue
Phoenix, Arizona 85007

COPY of the foregoing mailed
this 16th day of March, 2009, to:

State Bar of Arizona
4201 North 24th Street, Suite 200
Phoenix, Arizona 85016

