

ORIGINAL

NEW APPLICATION



0000095860

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26

BEFORE THE ARIZONA CORPORATION COMMISSION

COMMISSIONERS

2009 APR 17 A 8:34

KRISTIN K. MAYES, Chairman
GARY PIERCE
PAUL NEWMAN
SANDRA D. KENNEDY
BOB STUMP

AZ CORP COMMISSION
DOCKET CONTROL

In the matter of
BANC OF AMERICA SECURITIES LLC
One Bryant Park
New York, NY 10036
BANC OF AMERICA INVESTMENT
SERVICES, INC.
100 Federal Street
Headquarters
Boston, MA 02110
Respondents.

DOCKET NO. S-20668A-09-0181

FILING TO OPEN DOCKET

The Securities Division of the Arizona Corporation Commission requests that a Docket be opened for the purpose of assigning a docket number to a proposed Order to Cease and Desist, Order for Administrative Penalties, and Consent to Same by the above-referenced respondents.

Respondents' mailing addresses are:

Banc of America Securities LLC
One Bryant Park
NY1-100-17-07
New York, NY 10036

Banc of America Investment Services, Inc.
101 S. Tryon Street, 19th Floor
NC1-002-19-44
Charlotte, NC 28255

Dated this 16th day of April 2009.

ARIZONA CORPORATION COMMISSION

Arizona Corporation Commission
DOCKETED
APR 17 2009

By
Cheryl T. Farson
General Counsel for the Securities Division
of the Arizona Corporation Commission

DOCKETED BY