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COMMISSIONER

WILLIAM A. MUNDELL
COMMISSIONER



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ARIZONA CORPORATION COMMISSION

MEMORANDUM

TO: Chairman Carl J. Kunasek
Commissioner Jim Irvin
Commissioner William A. Mundell

FROM: Mark Sendrow *MS*
Director of Securities

DATE: October 4, 2000

RE: Notice of Docket Opening; RS-00000A-00-0752

cc: Brian C. McNeil, Executive Secretary

Arizona Corporation Commission

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The Securities Division is opening a new docket for consideration of the repeal and remaking of A.A.C. R14-4-301 through R14-4-308 ("Article 3").

Article 3 contains rules relating to procedures governing enforcement of the Arizona Securities Act and the Investment Management Act.

Attached is a copy of the notice that the Securities Division will be filing with the office of the secretary of state for noticing in the Arizona Administrative Register.

NOTICE OF RULEMAKING DOCKET OPENING

ARIZONA CORPORATION COMMISSION, SECURITIES DIVISION

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 3. Provisions Relating to Enforcement
Section numbers: R14-4-301, R14-4-302, R14-4-303, R14-4-304, R14-4-305, R14-4-306, R14-4-307, and R14-4-308 (Other Sections may be added, deleted, or modified)
2. **Subject matter of proposed rules:** The rulemaking proposal includes the repeal of Sections R14-4-301 through R14-4-308 and new Sections R14-4-301 through R14-4-307. Currently, Section R14-4-301 describes the scope of article 3, R14-4-302 contains definitions of terms used in article 3, R14-4-303 provides for confidentiality of specified information or documents, R14-4-304 provides methods of service, R14-4-305 provides the rights of witnesses and interview procedures, R14-4-306 provides procedures for noticing an opportunity for a hearing and for the hearing, R14-4-307 provides for temporary cease-and-desist orders, and R14-4-308 provides procedures for rescission and restitution.
Agency docket number: Docket Number RS-00000A-00-0752.
3. **A citation to all published notices relating to the proceeding:** None
4. **Agency contact person:**

Name: Cheryl T. Farson, General Counsel
Address: Arizona Corporation Commission, Securities Division
1300 W. Washington, Third Floor
Phoenix, AZ 85007

Phone: (602) 542-4242
Fax: (602) 594-7470

5. **Time during which 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.