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BEFORE THE ARIZONA CORPORATION COMMISSION

Arizona Corporation Commission

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COMMISSIONERS

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

IN THE MATTER OF:

UBS SECURITIES LLC AND UBS FINANCIAL SERVICES, INC.,

RESPONDENT.

DOCKET NO. S-2073²A-10-0095

PROCEDURAL ORDER
GRANTING ADMISSION
PRO HAC VICE

BY THE COMMISSION:

On April 14, 2010, pursuant to Arizona Supreme Court Rule 38(a), Jesse B. Simpson, an attorney with Lewis and Roca LLP filed with the Arizona Corporation Commission ("Commission") a Motion to Associate Counsel Pro Hac Vice for Therese L. Surprenant of UBS Financial Services, Inc. in the above-captioned matter ("Motion"), on behalf of Respondent, UBS Securities LLC and UBS Financial Services, Inc. The Motion lists Mr. Simpson as the designated member of the Arizona State Bar with whom communications may be made and upon whom papers should be served. Attached to the Motion is a copy of the Application for Appearance Pro Hac Vice filed with the State Bar of Arizona for Ms. Surprenant; a copy of her certificate of good standing from the jurisdiction in which she has been admitted to practice law; and a copy of the Notice of Receipt of Complete Application from the State Bar of Arizona.

On April 20, 2010, the Commission's Securities Division filed its response to the Motion indicating that it has no objection to the admission of Ms. Surprenant as counsel *pro hac vice* in this matter.

In the discretion of the Commission, Therese L. Surprenant should be permitted to appear and participate in the above-captioned matter on behalf of Respondent, UBS Securities LLC and UBS Financial Services, Inc.

IT IS THEREFORE ORDERED that Therese L. Surprenant shall be admitted *pro hac vice* in the above-captioned matter.

1 IT IS FURTHER ORDERED that the address for service of papers and other communications
2 for Ms. Surprenant shall be:

3 Therese L. Surprenant
4 UBS FINANCIAL SERVICES, INC.
5 98 San Jacinto Blvd., Suite 600
6 Austin, TX 78701

7 IT IS FURTHER ORDERED that the address for service of papers and other communications
8 for the Arizona-licensed attorney shall be:

9 Jesse B. Simpson
10 LEWIS AND ROCA LLP
11 40 North Central Avenue, 19th Floor
12 Phoenix, AZ 85007-4429

13 IT IS FURTHER ORDERED that withdrawal of representation must be made in compliance
14 with A.A.C. R14-3-104(E) and Rule 1.16 of the Rules of Professional Conduct (under Rule 42 of the
15 Rules of the Arizona Supreme Court). Representation before the Commission includes the obligation
16 to appear at all hearings and procedural conferences, as well as all Open Meetings for which the
17 matter is scheduled for discussion, unless counsel has previously been granted permission to
18 withdraw by the Administrative Law Judge.

19 DATED this 22nd day of April, 2010.

20 
21 LYN FARMER
22 CHIEF ADMINISTRATIVE LAW JUDGE

23 Copies of the foregoing mailed/delivered
24 this 22nd day of April, 2010 to:

25 Therese L. Surprenant
26 UBS FINANCIAL SERVICES, INC.
27 98 San Jacinto Blvd., Suite 600
28 Austin, TX 78701
Counsel Pro Hac Vice for Respondent

Matt Neubert, Director
Securities Division
ARIZONA CORPORATION COMMISSION
1300 West Washington Street
Phoenix, AZ 85007

Jesse B. Simpson
LEWIS AND ROCA LLP
40 North Central Avenue, 19th Floor
Phoenix, AZ 85007-4429
Attorneys for Respondent

By: 
Debra Broyles
Secretary to Lyn Farmer