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BEFORE THE ARIZONA CORPORATION COMMISSION RECEIVED

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3 WILLIAM A. MUNDELL
Chairman
4 JIM IRVIN
Commissioner
5 MARC SPITZER
Commissioner

NEW

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AZ CORP COMMISSION
DOCUMENT CONTROL

6 In the matter of:) DOCKET NO. S-03485A-02-0000
7)
8 **ALAN BRUCE STONER**) **NOTICE OF OPPORTUNITY FOR**
(CRD #2742542)) **HEARING REGARDING PROPOSED**
9 7154 W. Eugie Avenue) **ORDER OF REVOCATION AND**
Peoria, Arizona 85381) **FOR OTHER AFFIRMATIVE ACTION**
10 Respondent.)

11
12 **NOTICE: RESPONDENT HAS 10 DAYS TO REQUEST A HEARING**

13 The Securities Division ("Division") of the Arizona Corporation Commission ("Commission")
14 alleges that facts exist that warrant revocation of Respondent's registration as a securities salesman in
15 Arizona, pursuant to the Securities Act of Arizona, A.R.S. § 44-1801 *et seq.* ("Securities Act").

16 **I.**

17 **JURISDICTION**

18 1. The Commission has jurisdiction over this matter pursuant to Article XV of the Arizona
19 Constitution and the Securities Act.

20 **II.**

21 **RESPONDENT**

22 2. Respondent Alan Bruce Stoner ("STONER") first became a registered securities
23 salesman in Arizona on or about July 15, 1996, in association with Salomon Smith Barney Inc. until
24 November 5, 1998. On or about September 27, 2000, STONER became registered in Arizona in
25 association with Charles Schwab & Co., Inc., until his termination on or about March 5, 2002.
26 STONER's Arizona registration is currently suspended because he is not associated with a

1 registered dealer, pursuant to A.R.S. § 44-1949. STONER's last known address is 7154 W. Eugie
2 Avenue, Peoria, Arizona 85381.

3 **III.**

4 **FACTS**

5 3. On February 12, 2002, STONER was convicted in Superior Court of the State of
6 Arizona in and for the County of Maricopa, in Maricopa County Cause Number CR2001-008808B,
7 of Count II: Forgery, a class 4 felony, after entering a plea of guilty. STONER was placed on
8 probation for a term of four years beginning March 7, 2002; incarceration in Maricopa County Jail
9 for six months beginning March 7, 2002, to be released August 6, 2002; 200 hours community
10 service beginning September 1, 2002, and restitution in the amount of \$6,000.

11 **IV.**

12 **REVOCAION PURSUANT TO A.R.S. § 44-1962**

13 **(Denial, Revocation or Suspension of Registration of Salesman)**

14 4. STONER's conduct is grounds to revoke STONER's registration as a securities salesman
15 with the Commission pursuant to A.R.S. § 44-1962. Specifically, STONER:

- 16 i) Has been convicted within ten years preceding the date of filing the
17 application for registration as a salesman, or at anytime thereafter, of a felony
18 of which fraud is an essential element; and/or
19 ii) Is lacking in integrity, as specified in A.R.S. § 44-1962(A)(4), in that he
20 conducted himself in a manner demonstrating lack of integrity in that his
21 conduct resulted in a felony conviction for forgery.

22 **V.**

23 **REQUESTED RELIEF**

24 The Division requests that the Commission grant the following relief against
25 STONER:

