



0000116962

30LW ORIGINAL

BEFORE THE ARIZONA CORPORATION COMMISSION

2002 FEB 25 P 2:36

WILLIAM A. MUNDELL
Chairman
JIM IRVIN
Commissioner
MARC SPITZER
Commissioner

Arizona Corporation Commission

DOCKETED

FEB 25 2002

AZ CORP COMMISSION
DOCUMENT CONTROL

DOCKETED BY	<i>[Signature]</i>
-------------	--------------------

DOCKET NO. S-03413A-01-0000

In the matter of:

CLAY EUGENE LAMBERT
3711 East Minton Place
Mesa, Arizona 85215
CRD No. 1959853,

Respondent.

**DIVISION'S LIST OF WITNESSES
AND EXHIBITS**

The Securities Division ("Division") of the Arizona Corporation Commission hereby submits the following list of witnesses and exhibits.

I.

WITNESSES

1. The Division intends on calling the following individuals to testify at the hearing:

- a. Tommy and/or Becky Woods – Mr. and Mrs. Woods are Arizona residents who invested with Clay Eugene Lambert.
- b. Brandon Woods – Brandon Woods is the adult son of Tommy and Becky Woods and worked in the Respondent's office.
- c. Alan Kreitl – Criminalist #4823 with the Arizona Department of Public Safety – Mr. Kreitl conducted a forensic document examination of checks and other documents bearing Tommy Woods' signature.
- d. Lisa Busse – Ms. Busse is an investigator with the Division and is familiar with this case.
- e. Frank Samprone – Mr. Samprone is an investigator with the Division.

1 The Division reserves the right to call the Respondent as a witness and any other witness listed
 2 by the Respondent, whether or not the witness is called by the Respondent, and to call any person
 3 necessary to lay a proper foundation for an exhibit. The Division further reserves the right to call one
 4 or more witnesses not named here, for purposes of rebuttal.

5 **II.**
 6 **EXHIBITS**

7 2. The Division intends to use the following exhibits at the hearing:

Exhibit No.	Description
<i>Division Exhibits</i>	
S-1	Certificate of Registration – Salesman
S-2	Certificate of Non-Registration – Promissory Notes
S-3	Certificate of Non-Registration as a dealer– Clay Lambert
<i>INVESTMENTS:</i>	
S-4	Promissory Note for \$150,000 dated October 3, 1994
S-5	First Interstate check from Tommy Woods for \$50,000 dated October 3, 1994
S-6	2 State Street Research checks from Woods. \$50,000 each dated October 3, 1994
S-7	State Street Research check register dated 10/3
S-8	State Street Research facsimile of 1994 transcripts of Woods’ account
S-9	Promissory Note for \$200,000 dated May 15, 1996
S-10	First Interstate check from Tommy Woods for \$100,000
S-11	AIM Money Market Fund check from Tommy Woods for \$101,700
S-12	Contract Values dated 04/10/95
S-13	Contract Values dated 11/12/95
<i>CHECKS:</i>	
S-14	Bank of America Checks from Direct Utility Contractors dated 01/20/99-10/01/99
S-15	Bank of America Checks from Direct Utility Contractors dated 11/01/99-12/05/99 and repayment by Lambert with Cashier’s Check
S-16	Bank of America Checks from Direct Utility Contractors dated 05/05/99-10/23/99
<i>ANNUITY:</i>	
S-17	Allianz Annuity documents
<i>CIVIL COMPLAINT CV2000-011966:</i>	
S-18	Complaint
S-19	Affidavit of Clay E. Lambert
S-20	Stipulated Judgment
<i>WIRE TRANSFER:</i>	
S-21	05/03/96 Transaction Log. Outgoing wire transfer of \$100,000 from Tommy Woods to Clay Lambert
<i>FARM LAND:</i>	
S-22	Articles of Incorporation for Lambert Farms, Inc. dated January 28, 1995
S-23	Norwest Bank Commercial Mortgage documents dated March 8, 1995 for \$75,000
S-24	Norwest Bank Commercial Mortgage documents dated 08/15/95 for \$73,958.35

1 Original and ten copies
2 of the foregoing hand-delivered
3 this 25th day of February, 2002 to:

3 Docket Control
4 Arizona Corporation Commission
5 1200 W. Washington St.
6 Phoenix, AZ 85007

6 A copy of the foregoing hand-delivered
7 this 25th day of February, 2002 to:

7 Philip J. Dion III
8 Administrative Law Judge
9 Arizona Corporation Commission
10 1200 W. Washington St.
11 Phoenix, AZ 85007

10 Michael Salcido
11 Gust Rosenfeld P.L.C.
12 201 N. Central Ave., Ste. 3300
13 Phoenix, AZ 85073-3300
14 Attorneys for Respondent

13
14
15
16
17
18
19
20
21
22
23
24

25 N:\ENFORCE\CASES\LAMBERT.MN\PLEADING>List of witnesses and exhibits.doc

26