

1 **EXHIBITS**

2 Please note that exhibits S-4 through S-18 have also been identified as exhibits to be used in
3 two other pending cases: *In the Matter of Wesley Karban Wyatt et al.*, S-03529A-02-0000 and
4 *In the Matter of Kathleen Whorely Sommer*, S-03489A-03-0000.

- 5 1. Certificate of Non-Registration as Dealer or Salesperson for:
- 6 a) Elliot Crosby
- 7 b) Advance Senior Estate Planning
- 8 2. Certificates of Non-Registration of Securities for:
- 9 a) Alpha Telcom, Inc. (Admitted as Exhibit 2a, *In re Global Trust, L.L.C., et*
10 *al.*, No. S-03508A-02-0000);
- 11 b) American Telecommunications, Inc. (Admitted as Exhibit 2b, *In re Global*
12 *Trust, L.L.C., et al.*, No. S-03508A-02-0000).
- 13 3. Crosby contracts produced by the receiver for Alpha Telcom:
- 14 a) Telephone Services Agreement and other documents for Allan Peterson as
15 trustee for The Peterson Family Trust,
- 16 b) Telephone Services Agreement and other documents for William and
17 Dorinda Gedney as trustees for the William J. & Dorinda L. Gedney Rev. Trust dated 5/4/2000,
- 18 c) Telephone Services Agreement and other documents for Charles N. Hagan
19 as trustee for the Hagan Family Trust,
- 20 d) Telephone Services Agreement and other documents for Charles N. Hagan,
- 21 e) Telephone Services Agreement and other documents for Terence M. Jones,
- 22 f) Telephone Services Agreement and other documents for Terence M. Jones,
- 23 g) Telephone Services Agreement and other documents for Roger Howard as
24 trustee for the Howard Family Trust,
- 25 h) Telephone Services Agreement and other documents for Roger Howard,
- 26

1 i) Telephone Services Agreement and other documents for Henry R. Miske as
2 trustee for the Miske Family Trust,

3 j) Telephone Services Agreement and other documents for Evelyn L. Miske,

4 k) Telephone Services Agreement and other documents for Henry R. Miske,

5 l) Telephone Services Agreement and other documents for Claire R. Kittleson,

6 m) Telephone Services Agreement and other documents for Ardis V.
7 Bernadsky as trustee for the Bernadsky Rev. Trust,

8 n) Telephone Services Agreement and other documents for Eugene L. Mull,

9 o) Telephone Services Agreement and other documents for Arthur L.
10 Thornton, trustee,

11 p) Telephone Services Agreement and other documents for Colleen Thornton,

12 q) Telephone Services Agreement and other documents for Arthur L.
13 Thornton,

14 r) Telephone Services Agreement and other documents for Milan Julya,

15 s) Telephone Services Agreement and other documents for Regina A. Julya,

16 t) Telephone Services Agreement and other documents for Zeta K. Stratton,

17 u) Telephone Services Agreement and other documents for George Leonard
18 Fisher,

19 v) Telephone Services Agreement and other documents for Glenn L. Wright,

20 w) Telephone Services Agreement and other documents for Norma Wright,

21 x) Telephone Services Agreement and other documents for Frances E.
22 Doehrer,

23 y) Telephone Services Agreement and other documents for Myda A. Hofman,

24 z) Telephone Services Agreement and other documents for Robert Krause as
25 trustee for the Krause Family Trust,

26 aa) Telephone Services Agreement and other documents for Ethel M. Wolf,

1 ab) Telephone Services Agreement and other documents for George T. Wolf,

2 ac) Telephone Services Agreement and other documents for George T. Wolf

3 and Ethel M. Wolf as trustee for the Wolf Family Trust,

4 ad) Telephone Services Agreement and other documents for Rosalee Sadler as
5 trustee for the Sadler Family Trust,

6 ae) Telephone Services Agreement and other documents for Catherine B. Lush
7 as trustee of the Lush Family Trust.

8 4. Certified copies issued by Pennsylvania Securities Commission, *In the Matter of*
9 *Alpha Telcom, Inc., et al.*, No. 9812-06:

10 a) February 22, 1999, Summary Order to Cease and Desist

11 b) August 2, 2001, Order to Show Cause

12 c) July 24, 2003, Findings of Fact, Conclusions of Law, and Order

13 5. Certified copies of: November 17, 1999, Cease and Desist Order issued by North
14 Carolina Secretary of State, Administrative Petition, Notice of Rights, and March 15, 2001,
15 Consent Order *In the Matter of the North Carolina Securities Division v. Alpha Telcom, Inc., et al.*,
16 No. 99-038-CC.

17 6. Certified copy of June 30, 1999, Temporary Order of Prohibition issued by Illinois
18 Secretary of State, *In the Matter of Alpha Telcom, Inc.*, No. 9900201.

19 7. Certified copy of January 18, 2000, Consent Order of Prohibition issued by Illinois
20 Secretary of State, *In the Matter of Alpha Telcom, Inc.*, No. 9900201, in which Alpha agreed to
21 offer rescission to all Illinois purchasers.

22 8. Certified copy of November 24, 1999, Order of Prohibition and Revocation
23 (Summary) issued by Wisconsin Department of Financial Institutions, *In the Matter of Alpha*
24 *Telcom, Inc. a/k/a ATC, Inc.*, and Petition for Order dated November 18, 1999, for *Alpha Telcom*
25 *Inc. et al.*, No. S-99225(EX).

26

1 9. Certified copy of March 7, 2000, Emergency Order to Cease and Desist and August
2 8, 2002, Decision issued by Rhode Island Department of Business Regulation, *In the Matter of*
3 *Alpha Telcom, Inc. and ATC, Inc.*

4 10. Certified copy of July 17, 2000, Administrative Complaint and Notice of Rights
5 issued by the Florida *Department of Banking and Finance vs. Alpha Telcom, Inc. et al.*, seeking a
6 Cease and Desist Order.

7 11. Certified copies of October 23, 2000, Desist and Refrain Orders issued by
8 California Department of Corporations *To: Paul Rubera et al.*

9 12. Certified copies issued by Ohio Commissioner of Securities *In Re: Alpha Telcom,*
10 *Inc.:*

- 11 a) July 26, 2001, Final Order to Cease and Desist
- 12 b) November 28, 2000, Notice of Opportunity for Hearing
- 13 c) June 27, 2001, Report and Recommendation of Hearing Officer.

14 13. Pleadings from *SEC v. Alpha Telcom, Inc., et al.*, No. CV 01-1283 PA issued by
15 United States District Court, District of Oregon:

- 16 a) Certified copy of Complaint for Violations of the Federal Securities Laws
17 dated August 27, 2001.
- 18 b) Certified copy of August 27, 2001, Temporary Restraining Order
- 19 c) Certified copy of September 6, 2001, Preliminary Injunction
- 20 d) Certified copy of Alpha Telcom consent to entry of Final Judgment of
21 Permanent Injunction, dated October 19, 2001
- 22 e) Certified copy of February 7, 2002, Final Judgment of Permanent Injunction
- 23 f) Opinion dated February 7, 2002, 187 F. Supp. 2d 1250 (D. Or. 2002).
- 24 g) Opinion of the Ninth Circuit Court of Appeals, *SEC v. Rubera*, __ F3d __,
25 2003 WL 22870967 (9th Cir. (OR) December 5, 2003).

1 14. Certified Copy of September 5, 2001, Cease and Desist Order issued by Arkansas
2 Securities Department, *In the Matter of Alpha Telcom, Inc., et al.*, No. 01-36-S.

3 15. Certified copy of January 25, 2002, Order to Cease and Desist and Notice of Right
4 to Hearing issued by Connecticut Department of Banking, *In the Matter of Alpha Telcom, Inc.*
5 *a/k/a Alpha Tel-Com, Inc., et al.* No. CD-2001-6421-S, which became permanent on February 19,
6 2002.

7 16. Certified copy of Administrative Complaint and May 7, 2001, Cease and Desist
8 Order issued by Indiana Office of the Secretary of State, *In the Matter of Alpha Tel-Com, Inc., et*
9 *al.*, No. 01-0091.

10 17. Certified Copy of March 13, 2002, Entry of Findings of Fact and Conclusions of
11 Law and Final Order to Cease and Desist issued by Washington Department of Financial
12 Institutions, *In the Matter of Alpha Telcom, Inc., et al.*, No. SDO-21-02.

13 18. Certified Copy of Alpha Tel-com, Inc. bankruptcy petition, filed in Southern
14 District of Florida on August 24, 2001.

15 19. Printout of investor information received from court-appointed receiver for Alpha
16 Telcom. (Admitted as Exhibit 3, *In re Global Trust, L.L.C., et al.*, No. S-03508A-02-0000.)

17 20. Printout of specific information regarding Crosby investors extracted from
18 information received from court-appointed receiver for Alpha Telcom.

19 21. Printout of specific information regarding Crosby compensation extracted from
20 information received from court-appointed receiver for Alpha Telcom.

21 22. Printout of salesperson compensation information received from court-appointed
22 receiver for Alpha Telcom. (Admitted as Exhibit 5, *In re Global Trust, L.L.C., et al.*, No.
23 S-03508A-02-0000.

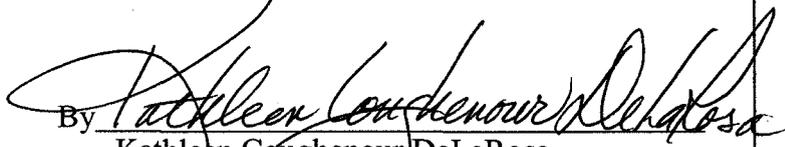
24 ...

25 ...

26 ...

1 DATED this 5th day of January, 2004.

2 ARIZONA CORPORATION COMMISSION
3 SECURITIES DIVISION

4 
5 By Kathleen Coughenour DeLaRosa
6 Kathleen Coughenour DeLaRosa
1300 West Washington, Third Floor
Phoenix, Arizona 85007
Attorney for Securities Division

7 ORIGINAL and 13 copies
8 of the foregoing FILED this
5th day of January, 2004, with:

9 Docket Control
10 Arizona Corporation Commission
1200 West Washington Street
Phoenix, Arizona 85007

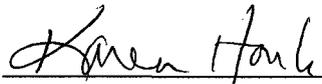
11 and

12 COPY of the foregoing
13 mailed/delivered this 5th day of
January, 2004, to:

14 Hon. Philip Dion III
15 Hearing Division
Arizona Corporation Commission
16 1200 West Washington Street
Phoenix, Arizona 85007

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23 
24 Karen Hauk
Crosby List of Witnesses & Exhibits.doc (KCD)