

SICHENZIA ROSS FRIEDMAN FEL



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AZ CORP COMMISSION
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August 1, 2002

VIA FEDERAL EXPRESS

Docket Control
Arizona Corporation Commission
Securities Division
1200 West Washington
Phoenix, Arizona 85007

Arizona Corporation Commission

DOCKETED

AUG 02 2002

DOCKETED BY	<i>MR</i>
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Re: In the Matter of James Verbic (CRD# 2125770)

Dear Sir:

As you know, this firm represents Mr. James Verbic ("Verbic") in connection with the above-referenced matter. Enclosed for filing please find an original and ten (10) copies of Mr. Verbic's Witness and Exhibit List.

By copy of this letter, Mr. Verbic is contemporaneously transmitting a copy of this Witness and Exhibit List to Administrative Law Judge Philip J. Dion III and Special Assistant Attorney General, Amy Leeson, Esq.

Thank you for your attention in this regard.

Very truly yours,

Michael Ference

Michael H. Ference

Encl.

cc: Administrative Law Judge, Philip J. Dion III
Amy J. Leeson, Esq., Special Assistant Attorney General
Mr. James T. Verbic

BEFORE THE ARIZONA CORPORATION COMMISSION

-----X
WILLIAM A. MUNDELL :

Chairman :

JIM IRVIN : No. S-03435A-01-0000

Commissioner :

MARC SPITZER :

Commissioner :

In the matter of: :

JAMES T. M. VERBIC : **RESPONDENT'S WITNESS**

(CRD #2125770) : **AND EXHIBIT LIST**

7880 n. 71ST Street :

Paradise Valley, Arizona 85253 :

Respondent. :

-----X

Respondent James T. M. Verbic ("Verbic"), by and through his counsel, Sichenzia Ross

Friedman Ference LLP, submits the foregoing Witness and Exhibit List:

Witnesses

- A. Gary Paster;
- B. Richard Pello;
- C. Bruce Schwartz;
- D. Robert Kandamoori;
- E. Brian Scully;
- F. Beverly Williams-Ervin;
- G. Carol Kennedy;
- H. Ron Scott;
- I. Doug Smith;
- J. John Gee; and

Arizona Corporation Commission

DOCKETED

AUG 02 2002

DOCKETED BY	<i>KAR</i>
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K. All individuals listed on the Arizona Corporation Commission's Witness List

Exhibits

1. Letter from Gary Paster to Ron Scott, dated July 12, 1994;
2. Monthly Activity Reviews of Gary Paster's account, dated 1996;
3. James Verbic's Notes relating to Gary Paster, dated 1997;
4. Electronic mail from Gary Paster to James Verbic relating to NUKO, dated 1997;
5. Handwritten IOU to Gary Paster for \$50K signed by Brenda Verbic, dated August 8, 1997;
6. Letter from Kerry M. Kleissle to Gary and Cynthia Paster, dated October 13, 1997;
7. Letter from Kerry M. Kleissle to Gary and Cynthia Paster, dated February 17, 1998;
8. Insurance documents for James Verbic for the benefit of Gary Paster;
9. Merrill Lynch Outside Interest Questionnaire executed by James T. Verbic, dated January 5, 1999;
10. Promissory note to Gary Paster for \$30,000 signed by James and Brenda Verbic, dated January 18, 1999;
11. Promissory note for \$23,000 signed by James and Brenda Verbic, dated January 18, 1999;
12. Letter from Jesse Simpson to Gary Paster, dated May 20, 1999;
13. Letter from Gary Paster to Jesse Simpson, dated June 16, 1999;
14. Memorandum from James T. Verbic to Todd Zuckerbroad, Esq., dated September 10, 1999;
15. Merrill Lynch's Statement of Answer in Gary Paster, Cynthia Paster, and the Paster Family Trust v. Merrill Lynch, Pierce, Fenner & Smith, Inc., and James T. Verbic, NASD Arb. No. 99-03480, dated October 29, 1999;
16. Settlement Agreement between Gary and Cynthia Paster, et al. and Merrill Lynch, Pierce Fenner & Smith, Inc., James Verbic, et al., dated January 4, 2000;

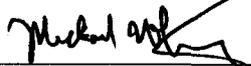
17. Statement of Claim in James T. Verbic v. Merrill Lynch, Pierce, Fenner & Smith, Inc.; John Gee and Susan Gee, husband and wife, NASD Arb. No. 00-04819, dated October 25, 2000;
18. Response to Arizona Corporation Commission request for documents, dated November 13, 2000;
19. James Verbic's Request for a Hearing and Response to Notice of Opportunity for Hearing, dated December 31, 2001;
20. Deposition of Gary Paster, dated April 29, 2002;
21. Deposition of Richard J. Pello in the case of James Verbic, et ux. v. Janet W. Lord, et ux., et al., dated May 13, 2002.

Respondent Verbic reserves his right to supplement the foregoing Witness and Exhibit List in the event that additional information or documents becomes available through any production from any party or non-party prior to the Hearing in this matter.

Dated: New York, New York
August 1, 2002

Respectfully submitted,

SICHENZIA ROSS FRIEDMAN FERENCE LLP

By:  _____

Michael H. Ference, Esq.
1065 Avenue of the Americas, 21st Floor
New York, New York 10018
(212) 930-9700

Attorneys for Respondent James T.M. Verbic

TO: Administrative Law Judge, Philip J. Dion III
Amy J. Leeson, Esq., Special Assistant Attorney General

BEFORE THE ARIZONA CORPORATION COMMISSION

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JAMES T. M. VERBIC : **RESPONDENT'S WITNESS**
(CRD #2125770) : **AND EXHIBIT LIST**
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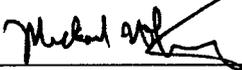
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Dated: New York, New York
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SICHENZIA ROSS FRIEDMAN FERENCE LLP

By: 

Michael H. Ference, Esq.
1065 Avenue of the Americas, 21st Floor
New York, New York 10018
(212) 930-9700

Attorneys for Respondent James T.M. Verbic

TO: Administrative Law Judge, Philip J. Dion III
Amy J. Leeson, Esq., Special Assistant Attorney General