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BEFORE THE ARIZONA CORPORATE

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**KRISTIN K. MAYES**  
Chairman  
**GARY PIERCE**  
Commissioner  
**PAUL NEWMAN**  
Commissioner  
**SANDRA D. KENNEDY**  
Commissioner  
**BOB STUMP**  
Commissioner

In the matter of:

Richard M. Schmerman, individually and d/b/a  
Diversified Financial and/or Diversified  
Financial Planners; and Amy Schmerman,  
husband and wife;

Respondents.

DOCKET NO. S-20757A-10-0373

**NOTICE OF APPEARANCE AND  
SUBSTITUTION OF COUNSEL**

Pursuant to A.A.C. R14-3-104, undersigned counsel enters his appearance on behalf of Respondents Richard M. Schmerman ("Mr. Schmerman"), Diversified Financial and/or Diversified Financial Planners ("Diversified") and Amy Schmerman ("Ms. Schmerman") (collectively "Respondents") substituting for Sara R. Ziskin and the law firm of Sara R. Ziskin, PC as counsel of record for Respondents.

RESPECTFULLY SUBMITTED this 14<sup>th</sup> day of October, 2010.

BADE & BASKIN PLC

Arizona Corporation Commission  
DOCKETED

OCT 14 2010

DOCKETED BY

By Michelle M. Jones for  
Alan S. Baskin  
80 East Rio Salado Parkway, Suite 511  
Tempe, Arizona 85281  
Attorneys for Respondents

**BADE & BASKIN PLC**  
80 EAST RIO SALADO PARKWAY  
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TEMPE, ARIZONA 85281  
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FACSIMILE 480-968-6255

1 ORIGINAL and thirteen copies of the foregoing  
2 filed this 14<sup>th</sup> day of October, 2010 with:

3 Docket Control  
4 Arizona Corporation Commission  
5 1200 West Washington Street  
6 Phoenix, AZ 85007

7 COPY of the foregoing hand-delivered  
8 this 14<sup>th</sup> day of October, 2010 to:

9 Hearing Officer  
10 Hearing Division  
11 Arizona Corporation Commission  
12 1200 W. Washington Street  
13 Phoenix, AZ 85007

14 Matthew J. Neubert  
15 Director of Securities  
16 Securities Division  
17 Arizona Corporation Commission  
18 1300 W. Washington Street, 3<sup>rd</sup> Floor  
19 Phoenix, AZ 85007

20 COPY of the foregoing mailed  
21 this 14<sup>th</sup> day of October, 2009 to:

22 Paul Huynh  
23 Securities Division  
24 Arizona Corporation Commission  
25 1300 W. Washington, 3<sup>rd</sup> Floor  
26 Phoenix, AZ 85007

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schmerman.acc/pld/mt appear.doc