

ORIGINAL



0000130316

Transcript Exhibit(s)

Docket #(s): S-20762A-10-0416

Exhibit #: S8, S15, S18, R1

Arizona Corporation Commission

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MAIN (602) 274-9944
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To: Docket Control

Date: October 5, 2011

Re: Ulf Olf Holgersson
S-20762A-10-0416
Evidentiary Hearing taken on 09-21-2011

STATUS OF ORIGINAL EXHIBITS

FILED WITH DOCKET CONTROL

Respondents (R Exhibits)

1

Securities (S Exhibits)

8, 15, 16

EXHIBITS NOT UTILIZED Not given to the court reporter

Securities (S Exhibits)

1 through 7 and 9 through 14

Copy to:

Mr. Marc E. Stern, Administrative Law Judge
Mr. William Black, ACC Securities Division
Mr. Gregory A. Larson, Respondents

Special Investigator
Michael D. Brokaw
Arizona Corporate Commission

Response to request for documents regarding Viking Asset Management (File # 8062)

Dear Investigator Brokaw,

I never had access to any records or electronic data from Viking Asset or any financial activities that Ulf was performing at that time. Regarding any financial aspects or paperwork in question, I am not able to answer those questions as I was privy to any of his trading finances.

Viking Asset Management, was an attempt from my former spouse, Ulf Holgersson, to start some form of investment trading business, which I was not involved in or had any hands on knowledge of its creation.

When I met Ulf Holgersson in 2001, he did mention briefly that he was involved in the stock market performing some trades, which more or less was a hobby of his. He never went into specific details about how it worked or where the funds came from, and I never cared to be noisy or insistent on any information since it was his money.

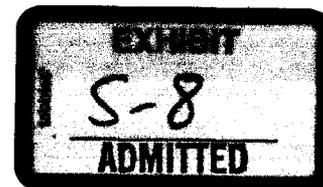
When we got married he continued to trade and I presume all was going well so I never questioned his endeavor. However, I got concerned when some of our friends started to talk about lending Ulf money so he could increase his trading. I got bits and pieces of information but never the full story. I was very firm in telling Ulf that I did not want him borrowing money from any one and he promised he would not do so. I agreed to lend him money from my savings to ensure this would not happen and he agreed to pay me back. Without my knowledge he obviously went ahead and borrowed money from several of our friends and at the same time told me he had not done so.

After the demise of his trading, including the money I lent him, he admitted to me he had been trading for several friends and everyone's money was lost. This caused emotional and financial stress on me and I felt deceived and had no trust in our relationship any longer that I consequently divorced him in 2007.

Even after the divorce this was not the end of my troubles, four of our friends filed two separate lawsuits against Ulf and included me as a spouse since I was married to him at the time. I have spent approximately \$20,000 to date on lawyer fees before both cases were dismissed. Ulf and I had to stay in touch after our divorce since I was also named in the lawsuits, but he eventually moved back to Sweden and what ever records or paperwork he had he took with him.

Sincerely,

LaVerne Abe
LaVerne Abe



ACC003217
VAM FILE#8062

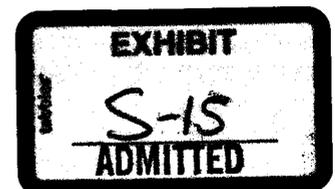
**VIKING ASSET MANAGEMENT
SUMMARY OF RECEIPTS AND DISBURSEMENTS
FOR THE PERIOD DECEMBER 15, 2004 TO JUNE 11, 2009**

<u>RECEIPTS</u>	<u>NOTES</u>	<u>AMOUNTS</u>	<u>PERCENTAGE</u>
INVESTORS	2	\$ 2,233,688	70.1%
ULF HOLGERSSON & LAVERNE J ABE	3	340,037	10.7%
TRADING ACCOUNTS	4	175,736	5.5%
CASH TRANSACTIONS		104,866	3.3%
VIKING ASSET MANAGEMENT LLC		107,000	3.4%
OTHER DEPOSITS	5	55,041	1.7%
HOLGERSSON - FAMILY MEMBERS		44,650	1.4%
AUTOMOBILES		42,667	1.3%
OTHER PYMTS - INDIVIDUALS		29,910	0.9%
CREDIT CARD		20,250	0.6%
UNKNOWN		32,858	1.0%
TOTAL RECEIPTS		<u>\$ 3,186,703</u>	<u>100.0%</u>

DISBURSEMENTS

TRADING ACCOUNTS	6	\$ 1,708,802	53.6%
ULF HOLGERSSON & LAVERNE J ABE	7	455,732	14.3%
INVESTORS	8	375,802	11.8%
CASH TRANSACTIONS	9	182,141	5.7%
OTHER PYMTS - INDIVIDUALS		163,448	5.1%
CREDIT CARD		121,126	3.8%
OTHER DISBURSEMENTS	10	104,775	3.3%
AUTOMOBILES		45,543	1.4%
HOLGERSSON - FAMILY MEMBERS		18,363	0.6%
UNKNOWN		10,972	0.3%
TOTAL DISBURSEMENTS		<u>\$ 3,186,703</u>	<u>100.0%</u>

Note - totals may not equal detail due to rounding



**VIKING ASSET MANAGEMENT
SUMMARY OF RECEIPTS AND DISBURSEMENTS
FOR THE PERIOD DECEMBER 15, 2004 TO JUNE 11, 2009**

1 BANK ACCOUNTS

THE FOLLOWING BANK ACCOUNTS ARE INCLUDED IN THE SUMMARY OF RECEIPTS AND DISBURSEMENTS. THE ACCOUNTS ARE LISTED AS FOLLOWS:

<u>ACCOUNT NAME</u>	<u>FINANCIAL INSTITUTION</u>	<u>ACCOUNT NUMBER</u>	<u>AUTHORIZED SIGNERS</u>
VIKINGS ASSET MANAGEMENT	JPMORGAN CHASE BANK	XXXXXX8219	ULF O HOLGERSSON
ULF O HOLGERSSON	BANK OF AMERICA	XXXXX1029	ULF O HOLGERSSON
ULF O HOLGERSSON / LAVERN J ABE	WELLS FARGO BANK	XXXXXX2861	ULF O HOLGERSSON / LAVERN J ABE

2 INVESTORS

<u>LAST NAME</u>	<u>FIRST NAME</u>		
BEAUCHAMP INVESTMEN	(ROBERT & FAMILY)	\$	147,500
CURRY	BARBARA		120,000
FARMER	KEN		198,500
HURD	JEFF		27,785
INGVARRSON	LYLE		195,000
KASTANJEVAGEN	URBAN ZENK		102,403
LINTON	DICK (RICHARD) J		125,000
MANOR	DALE		675,000
MARKUSFELD	GUY P & KATHLEEN B		17,500
MARSELOS	ANDREW N		50,000
MORELLI	DAVE		50,000
MUDRICK	BRIAN E		50,000
ORSARGOS, JR.	MICHAEL		300,000
STERLING	BROOKE		175,000
		\$	2,233,688

3 ULF HOLGERSSON & LAVERNE ABE

LINE OF CREDIT	\$	193,887
ULF HOLGERSSON		118,243
LAVERNE J ABE		23,830
TAX AGENCIES		4,077
	\$	340,037

4 TRADING ACCOUNTS

<u>FINANCIAL INSTITUTION</u>		
VELOCITY FUTURES	\$	103,800
TRADESTATION (R.J. O'BRIEN)		55,936
DORMAN TRADING LLC		16,000
	\$	175,736

Note - totals may not equal detail due to rounding

**VIKING ASSET MANAGEMENT
SUMMARY OF RECEIPTS AND DISBURSEMENTS
FOR THE PERIOD DECEMBER 15, 2004 TO JUNE 11, 2009**

5 OTHER DEPOSITS

TRANSFER FROM UNKNOWN ACCOUNT XXXXXXXXX9060	\$ 28,407
MONTE VISTA HOMES	12,000
VIKING MARINE LTD	9,700
BEGINNING ACCOUNT BALANCES	2,662
FOUR SEASONS MAINTENANCE	1,600
OTHER ITEMS < \$1000	673
	<u>\$ 55,041</u>

6 TRADING ACCOUNTS

<u>FINANCIAL INSTITUTION</u>	
VELOCITY FUTURES	\$ 1,095,700
TRADESTATION (R.J. O'BRIEN)	346,871
DORMAN TRADING LLC	266,231
	<u>\$ 1,708,802</u>

7 ULF HOLGERSSON & LAVERNE ABE

ULF HOLGERSSON	\$ 250,249
LAVERNE J ABE	81,061
LINE OF CREDIT	60,765
MORTGAGE & HOA EXPENSES	34,174
LABTECH	29,370
SPA / PERSONAL EXPENSES	114
	<u>\$ 455,732</u>

8 INVESTORS

<u>LAST NAME</u>	<u>FIRST NAME</u>	
BEAUCHAMP INVESTMEN	(ROBERT & FAMILY)	\$ 70,736
INGVARRSON	LYLE	11,000
KASTANJEVAGEN	URBAN ZENK	5,000
MANOR	DALE	172,500
MARKUSFELD	GUY P & KATHLEEN B	42,900
MARSELOS	ANDREW N	30,000
MUDRICK	BRIAN E	22,348
STERLING	BROOKE	21,318
		<u>\$ 375,802</u>

9 CASH TRANSACTIONS

WITHDRAWALS - CASH	\$ 172,336
WITHDRAWALS - ATM	9,604
WITHDRAWALS - CHECKS TO CASH	200
	<u>\$ 182,141</u>

Note - totals may not equal detail due to rounding

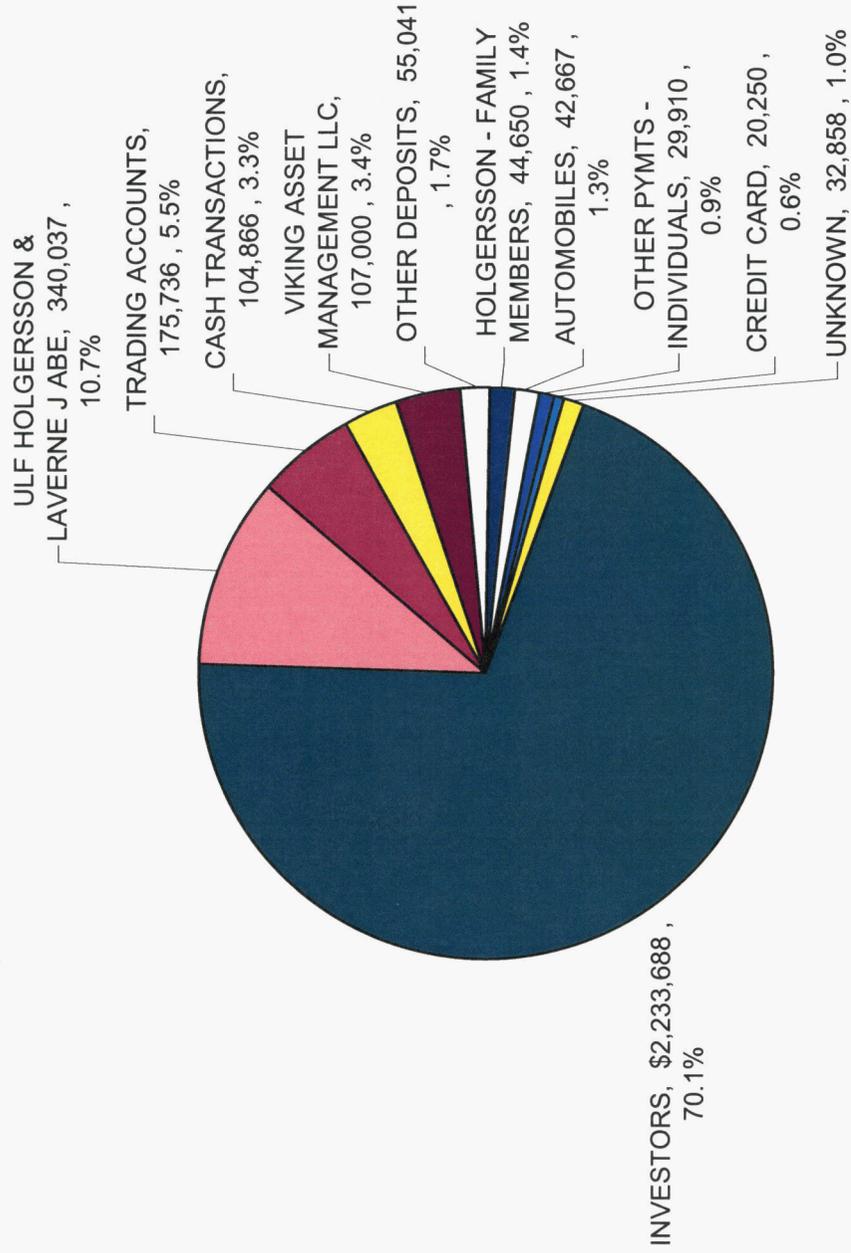
**VIKING ASSET MANAGEMENT
SUMMARY OF RECEIPTS AND DISBURSEMENTS
FOR THE PERIOD DECEMBER 15, 2004 TO JUNE 11, 2009**

10 OTHER DISBURSEMENTS

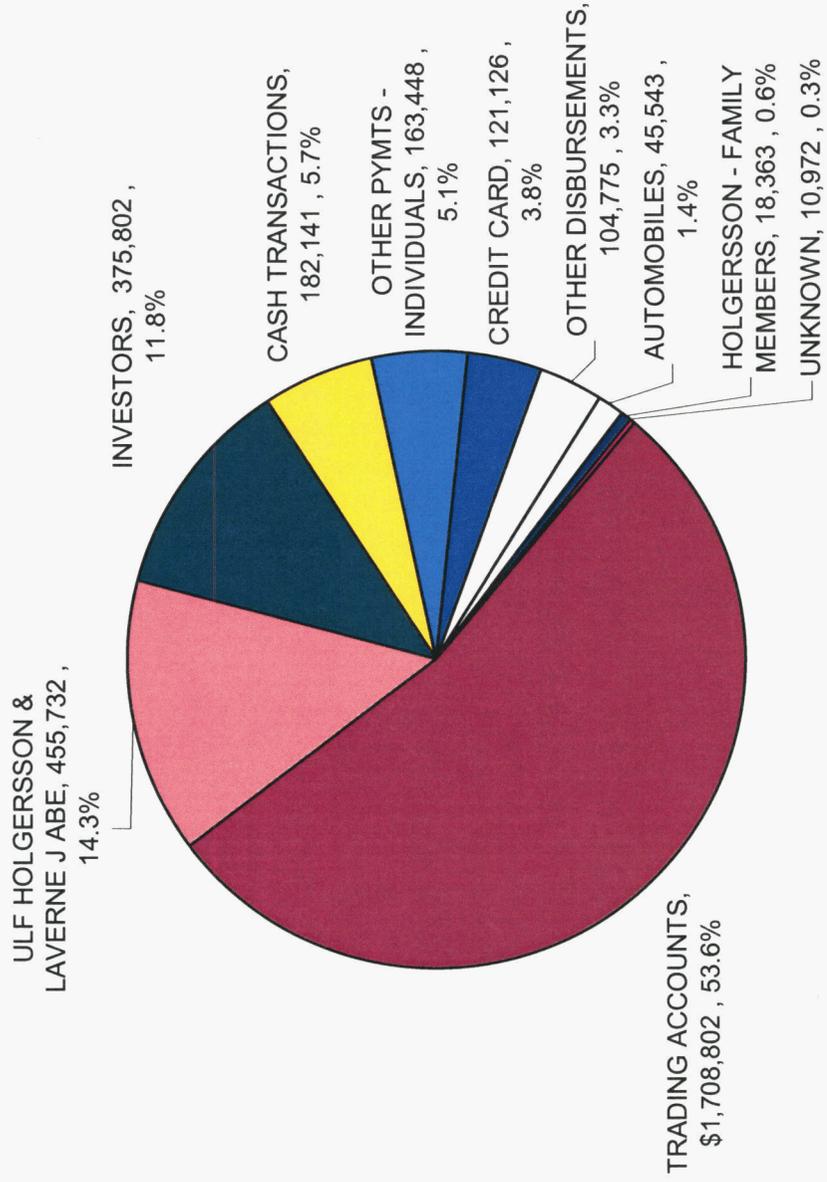
OTHER	\$ 28,933
GROCERY STORES	15,253
RETAIL STORES	14,849
LEGAL	9,498
RESTAURANTS	7,618
TRAVEL EXPENSES	6,797
INSURANCE	6,493
BANK CHARGES/FEEES/ADJ	6,162
CONVENIENCE STORES	5,316
UTILITIES	1,587
MEDICAL	788
STORAGE EXPENSES	608
POSTAGE / SHIPPING	498
ENTERTAINMENT	323
DEPARTMENT STORES	66
ENDING BALANCES OF ACCOUNTS	(13)
	<u><u>\$ 104,775</u></u>

Note - totals may not equal detail due to rounding

**VIKING ASSET MANAGEMENT
SUMMARY OF RECEIPTS
FOR THE PERIOD DECEMBER 15, 2004 TO JUNE 11, 2009**



**VIKING ASSET MANAGEMENT
SUMMARY OF DISBURSEMENTS
FOR THE PERIOD DECEMBER 15, 2004 TO JUNE 11, 2009**



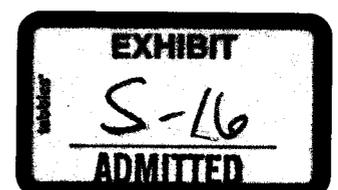
**VIKING ASSET MANAGEMENT
SUMMARY OF RECEIPTS AND DISBURSEMENTS - CREDIT CARDS
FOR THE PERIOD NOVEMBER 11, 2004 TO MAY 13, 2009**

<u>PURCHASES/CASH ADVANCES/FINANCE CHARGES</u>	<u>NOTES</u>	<u>AMOUNTS</u>	<u>PERCENTAGE</u>
Cash Advance		\$ 72,500	54.4%
Transfers		10,000	7.5%
Holgerson/Abe Purchases		656	0.5%
Stock Trading Expenses		1,077	0.8%
Finance Charges & Fees		17,133	12.9%
Other Activity		31,910	23.9%
	TOTAL	<u>\$ 133,277</u>	<u>100.0%</u>

PAYMENTS/CREDITS

Credit Card Payments		\$ 124,231	91.2%
Bank Charge Off		12,055	8.8%
	TOTAL	<u>\$ 136,286</u>	<u>100.0%</u>

Note - totals may not equal detail due to rounding



1 **BRITT LAW GROUP, P.C.**
Edward H. Britt, #021689
2 2525 East Camelback Road, Suite 900
Phoenix, Arizona 85016
3 Tele.: (602) 258-7474
Fax: (602) 258-7479
4 Attorney for Petitioner

5
6 **IN THE SUPERIOR COURT OF THE STATE OF ARIZONA**
7 **IN AND FOR THE COUNTY OF MARICOPA**

8 In re the Marriage of:

Case Number: *FN2007-*
002720

9 LAVERNE J. ABE,

**DECREE OF DISSOLUTION OF
MARRIAGE WITHOUT CHILDREN**

10 Petitioner,

11 and

12 ULF O. HOLGERSSON,

13 Respondent.

14 **THE COURT FINDS:**

- 15 1. **This case has come before this Court for a Dissolution of Marriage Without**
16 **Children.** The Court has taken all testimony needed to enter a Decree, or the Court
17 has determined testimony is not needed to enter the Decree. There has been
18 sufficient evidence discovered to justify entering a Decree.
- 19 2. **This Court has jurisdiction over the parties under the law, the provisions of this**
20 **Decree are fair and reasonable under the circumstances, and the division of property**
21 **and debt is fair and equitable.**
- 22 3. **90 Day Requirement.** At the time this action was filed, at least one of the parties
23 had maintained his or her residence in the County of Maricopa, in the State of
24 Arizona.

25
26
27
28

EXHIBIT

B-1
ADMITTED

1 The parties are personally responsible for the timely payments referenced in this
2 Decree.

3 i) **Unknown debts and liabilities:** WIFE is ordered to pay all debts and
4 liabilities unknown to Respondent ULF O. HOLGERSSON, hereinafter
5 "HUSBAND," and/or incurred in WIFE's name alone and hold HUSBAND
6 harmless therefrom,

7 AND

8 HUSBAND is ordered to pay all debts and liabilities unknown to WIFE and/or
9 incurred in HUSBAND's name alone and hold HUSBAND harmless
10 therefrom.

11 ii) **Debts:** In addition to those debts and liabilities referred to herein, WIFE shall
12 be responsible for the following debts and shall hold HUSBAND harmless
13 therefrom:

14 a. Navy Federal Credit Union Mortgage;

15 b. Countrywide Mortgage; and

16 c. Debts in WIFE's name alone.

17 HUSBAND shall be responsible and hold WIFE harmless from the debt as
18 follows:

19 a. Debts in HUSBAND's name.

20 iii) **Personal/Real Property:** WIFE is confirmed as her sole and separate property
21 the following:

22 a. Certain real property located at 15236 N 6 Circle, Phoenix, Arizona,
23 85023, hereinafter "SUBJECT PROPERTY;"

24 b. All personal property items and furniture located and found within the
25 SUBJECT PROPERTY;

26 c. WIFE's 401(k) held with Fidelity Investments;

1 d. WIFE's 401(b) held with Valic; and

2 e. All bank accounts in WIFE's name alone.

3 HUSBAND is confirmed as her sole and separate property the following:

4 a. All bank accounts, stocks and IRA's in HUSBAND's name alone.

5 iv) **Vehicles:** WIFE shall be confirmed as her sole and separate property and be
6 entitled to transfer title to the following vehicles:

7 a. 2005 Ford F-150 Crew Cab

8 b. 1967 Shelby Cobra

9 v) **401(k)/Profit Sharing Plan, Stock Options and Employment Benefits:**
10 HUSBAND forever waives his interest in WIFE's retirement and employment
11 related benefits. WIFE forever waives her interest in HUSBAND's retirement
12 and employment related benefits.

13 vi) **Waste/Unpaid debt:** Each party waives against the other the issue of unpaid
14 debt and/or waste and the other party is forever barred from raising said issue.

15 C. **ATTORNEYS' FEES AND COSTS:** Each party shall pay his or her
16 attorney fees.

17 D. **SPOUSAL MAINTENANCE/SUPPORT:** Neither party shall pay the other spousal
18 maintenance and spousal maintenance shall be hereafter forever waived by both
19 parties.

20 E. **RELEASE OF CLAIMS:** Each party hereby (a) releases the other from all further
21 claims, right, liabilities or obligations arising out of their marriage, the dissolution of
22 marriage, or the division of property and obligations herein provided; and (b) releases
23 any and all interest estate, claim or otherwise, he or she may now or hereafter have,
24 in any earnings and all property, real personal, and mixed, wheresoever situated, now
25 owned, or hereafter acquired by or on behalf of the other party. Except as otherwise
26 provided for herein, all property assigned to either party subsequent to this Decree of
27

1 provided for herein, all property assigned to either party subsequent to this Decree of
2 Divorce shall be the sole and separate property of the party receiving the same, free
3 and clear from any claim or right of the other party. Each party may convey or
4 otherwise dispose of or deal with their property and income now owned, hereafter
5 acquired, or assigned to them herein as if he or she had never been married to the
6 other.

7 **F. REPRESENTATION BY COUNSEL:** In the preparation and execution of this
8 Decree, WIFE has been represented by Edward H. Britt, Esq., who has prepared this
9 Decree and who has provided WIFE with advice as to the terms and conditions of this
10 Decree.

11 The parties have given full and mature thought to the making of this agreement
12 and Decree along with all of the obligations contained herein. The parties understand
13 that the agreements and obligations assumed by the other with the express
14 understanding and agreement that they are in full satisfaction of all obligations with
15 each of said parties now has or might hereafter have towards the other.

16 Edward H. Britt, Esq., on behalf of WIFE has not provided any advice with
17 regard to any tax consequences. Each party have had the opportunity to seek such
18 advice from an accountant or tax expert of his or her choosing prior to entering into
19 this Decree.

20 **G. FINAL APPEALABLE ORDER:** Pursuant to Rule 81, *Arizona Rules of Family Law*
21 *Procedure*, this final judgment/decree is settled, approved, and signed by the Court
22 and shall be entered by the clerk.

23
24 **DONE IN OPEN COURT** this 7TH day of SEPTEMBER, 2007.

25 S/ SAM MYERS

26 Judge of the Maricopa County Superior Court

1 APPROVED BY:

2 June 19, 2007
Date

Laverne J. Abe
LAVERNE ABE, Respondent

4 Approved as to form:

5 BRITT LAW GROUP, P.C.

6 By: [Signature]
Edward H. Britt, Esq.
Attorney for Petitioner

9 STATE OF ARIZONA)
10) ss.
County of Maricopa)

11 OATH OR AFFIRMATION AND VERIFICATION

12 I swear or affirm that the information on this document is true and correct under penalty of perjury.

13 Laverne J. Abe
LAVERNE J. ABE

14 SUBSCRIBED AND SWORN to before me this 19th day of June, 2007, by
15 Laverne J. Abe.

16 Andrea M. Saldivar
Notary Public

17 Notary Expiration Date:

