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BEFORE THE ARIZONA CORPORATION COMMISSION

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2011 DEC 12 P 4: 11

AZ CORP COMMISSION
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Arizona Corporation Commission

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DEC 12 2011

DOCKETED BY *[Signature]*

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

**JOINT STIPULATION REGARDING THE
DIVISION'S MOTION TO FILE AN
AMENDED NOTICE**

The Securities Division of the Arizona Corporation Commission and Richard M. Schmerman ("Respondent") and Amy Schmerman ("Respondent Spouse"), through their counsel Alan Baskin, Esq. hereby stipulate to the following matters regarding the Division's December 6, 2011, Motion to File an Amended Notice of Opportunity for Hearing Regarding Proposed Order to Cease and Desist, For Restitution, For Administrative Penalties, Order of Revocation, Order of Denial, and for Other Affirmative Action ("Amended Notice").

First, the Respondent and Respondent Spouse do not object to the Division's filing of the Amended Notice and the parties stipulate to an agreement on an Administrative Law Judge's ("ALJ") order granting leave to the Division to file the Amended Notice and waive any response timelines thereto.

Second, the parties agree to stipulate that Respondent's and Respondent Spouse's request for a hearing filed September 20, 2010, applies also to the Amended Notice, without need to file a supplemental request for a hearing, upon the entry of the ALJ's order granting the Division leave to file the Amended Notice.

1 Finally, the parties stipulate that upon the entry of the ALJ's order granting leave to file the
2 Amended Notice that Respondents are provided at least thirty days to file an Answer.

3 Respectfully submitted this 12th day of December, 2011.

4
5 By: 
6 ~~Phong (Paul) Huynh~~
7 Attorney for the Securities Division of the
8 Arizona Corporation Commission

9 By: Paul Huynh for
10 Alan Baskin
11 Attorney for Respondent and Respondent
12 Spouse

13 ORIGINAL AND thirteen (13) COPIES of the foregoing
14 filed this 12th day of September, 2011 with:

15 Docket Control
16 Arizona Corporation Commission
17 1200 W. Washington St.
18 Phoenix, AZ 85007

19 COPY of the foregoing hand-delivered this
20 12th day of September, 2011 to:

21 Mr. Marc E. Stern
22 Administrative Law Judge
23 Arizona Corporation Commission/Hearing Division
24 1200 W. Washington St.
25 Phoenix, AZ 85007

26 COPY of the foregoing mailed this
12th day of September, 2011 to:

Richard M. Schmerman and Amy Schmerman
C/O Alan Baskin, Esq.
Bade & Baskin, PLC
80 East Rio Salado Parkway, Suite 511
Tempe, Arizona 85281
Attorney for Respondents

By: Veronica Sandoval