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BEFORE THE ARIZONA CORPORATION COMMISSION

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Arizona Corporation Commission

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AZ CORP COMMISSION  
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COMMISSIONERS

GARY PIERCE – Chairman  
BOB STUMP  
SANDRA D. KENNEDY  
PAUL NEWMAN  
BRENDA BURNS

IN THE MATTER OF:

THOMAS LAURENCE HAMPTON, CRD  
#2470192, and JANE DOE HAMPTON,  
husband and wife,

HAMPTON CAPITAL MARKETS, LLC,  
an Arizona limited liability company,

RESPONDENTS.

DOCKET NO. S-20823A-11-0407

**PROCEDURAL ORDER**  
**(Grants Motion to File Amended**  
**Temporary Order and Notice)**

**BY THE COMMISSION:**

On November 10, 2011, the Securities Division (“Division”) of the Arizona Corporation Commission (“Commission”) filed a Temporary Order to Cease and Desist (“T.O.”) and a Notice of Opportunity for Hearing (“Notice”) against Thomas Laurence Hampton and Jane Doe Hampton, husband and wife, and Hampton Capital Markets, L.L.C., an Arizona limited liability company (collectively “Respondents”) in which the Division alleged multiple violations of the Arizona Securities Act (“Act”) in connection with the offer and sale of securities in the form of stock or investment contracts.

The spouse (“Respondent Spouse”) of Respondent Thomas Hampton is joined in the action pursuant to A.R.S. § 44-2031(C) solely for the purpose of determining the liability of the marital community.

The Respondents were duly served with copies of the T.O and Notice.

On November 30, 2011, a request for hearing was filed on behalf of the Respondents.

On December 6, 2011, by Procedural Order, a pre-hearing conference was scheduled on January 5, 2012. Subsequently, the Division filed a Motion to File Amended T.O. and Notice in order to state the correct name of Mr. Hampton’s spouse.

1 On December 12, 2011, the Division and Respondent filed a Joint Stipulation regarding the  
2 Amended T.O. and Notice. Respondents had no objections to the filing of the Amended T.O. and  
3 Notice to correct the name of Mr. Hampton's spouse and the parties stipulated that Respondents'  
4 initial request for hearing filed November 30, 2011, would be applicable as to the Amended T.O. and  
5 Notice. Additionally, the parties stipulated that Respondents' would have at least 30 days to file an  
6 Answer from the date of an Order which authorizes the filing of the Amended T.O. and Notice.

7 Accordingly, the Division should be authorized to file the Amended T.O. and Notice as  
8 stipulated by the parties.

9 IT IS THEREFORE ORDERED that the Division is hereby authorized to file the Amended  
10 T.O. and Notice is hereby granted.

11 IT IS FURTHER ORDERED that Respondents are hereby relived of filing an additional  
12 request for hearing and shall have 30 days from the effective date of this Procedural Order to file an  
13 Amended Answer.

14 IT IS FURTHER ORDERED that a **pre-hearing conference** shall be held on **January 5,**  
15 **2012, at 10:00 a.m.,** at the Commission's offices, 1200 West Washington Street, Room 100,  
16 Phoenix, Arizona, as previously ordered.

17 IT IS FURTHER ORDERED that the Ex Parte Rule (A.A.C. R14-3-113-Unauthorized  
18 Communications) applies to this proceeding as the matter is now set for public hearing.

19 IT IS FURTHER ORDERED that withdrawal or representation must be made in compliance  
20 with A.A.C. R14-3-104(E) and Rule 1.16 of the Rules of Professional Conduct (under Rule 42 of the  
21 Rules of the Arizona Supreme Court). Representation before the Commission includes appearances  
22 at all hearings and procedural conferences, as well as all Open Meetings for which the matter is  
23 scheduled for discussion, unless counsel has previously been granted permission to withdraw by the  
24 Administrative Law Judge or the Commission.

25 IT IS FURTHER ORDERED that all parties must comply with Rules 31 and 38 of the Rules  
26 of the Arizona Supreme Court and A.R.S. § 40-243 with respect to practice of law and admission  
27 *pro hac vice*.

28 ...

1 IT IS FURTHER ORDERED that Respondent's request for discovery shall be taken under  
2 advisement.

3 IT IS FURTHER ORDERED that the Presiding Officer may rescind, alter, amend, or waive  
4 any portion of this Procedural Order either by subsequent Procedural Order or by ruling at hearing.

5 DATED this 15<sup>TH</sup> day of December, 2011.

6  
7  
8   
9 MARC E. STERN  
ADMINISTRATIVE LAW JUDGE

10 Copies of the foregoing mailed/delivered  
11 this 15<sup>th</sup> day of December, 2011 to:

12 Alan S. Baskin  
13 BADE & BASKIN PLC  
14 80 East Rio Salado Parkway, Suite 511  
15 Tempe, AZ 85281-9106  
16 Attorneys for Respondents

17 Matt Neubert, Director  
18 Securities Division  
19 ARIZONA CORPORATION COMMISSION  
20 1300 West Washington Street  
21 Phoenix, AZ 85007

22 ARIZONA REPORTING SERVICE, INC.  
23 2200 North Central Avenue, Suite 502  
24 Phoenix, AZ 85004

25  
26 By:   
27 Debra Broyles  
28 Secretary to Marc E. Stern