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BEFORE THE ARIZONA CORPORATION COMMISSION

COMMISSIONERS

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

2012 JAN -6 A 11: 32

AZ CORP COMMISSION
DOCKET CONTROL

Arizona Corporation Commission

DOCKETED

JAN 6 2012

DOCKETED BY [Signature]

IN THE MATTER OF:

THOMAS LAURENCE HAMPTON, CRD
#2470192, and STEPHANIE YAGER,
husband and wife,

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

RESPONDENTS.

DOCKET NO. S-20823A-11-0407

PROCEDURAL ORDER
(Schedules Status Conference)

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. (“HCM”), 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 On December 15, 2011, the Division was granted leave to file an Amended T.O. and Notice
8 as stipulated by the parties.

9 On January 5, 2012, at the pre-hearing conference, the Division and Respondents, Thomas
10 Hampton and HCM appeared through counsel. Counsel for Mr. Hampton and HCM indicated that he
11 is not representing Mr. Hampton's spouse and that Mr. Hampton's spouse, , Stephanie Yager, will be
12 represented by separate counsel in the proceeding. The Division and Mr. Hampton and HCM are
13 conducting settlement discussions, but the Division intends to further amend the T.O. and Notice. In
14 the interim, the Division requested that a status conference be scheduled in approximately 90 days.

15 Accordingly, a status conference should be scheduled.

16 IT IS THEREFORE ORDERED that a **status conference** shall be held on **April 26, 2012, at**
17 **10:00 a.m.**, at the Commission's offices, 1200 West Washington Street, Hearing Room No. 2,
18 Phoenix, Arizona.

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

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

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

1 *pro hac vice.*

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

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

6 DATED this 6th day of January, 2012.

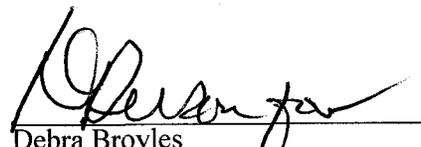
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MARC E. STERN
ADMINISTRATIVE LAW JUDGE

11 Copies of the foregoing mailed/delivered
12 this 6th day of January, 2012 to:

13 Alan S. Baskin
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15 Matt Neubert, Director
16 Securities Division
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19 Phoenix, AZ 85004

20
21 By: 
22 Debra Broyles
Secretary to Marc E. Stern

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