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BEFORE THE ARIZONA CORPORATION COMMISSION

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COMMISSIONERS

GARY PIERCE, Chairman
BOB STUMP
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2012 SEP -4 P 1:16

Arizona Corporation Commission

CORP COMMISSION
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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 COMPLIANCE WITH
PROCEDURAL ORDER

On May 14, 2012, by procedural order, the Securities Division of the Arizona Corporation Commission (the "Division") and Respondent Richard M. Schmerman, were ordered to exchange their witness list and exhibits by August 20, 2012. On August 17, 2012, the parties filed a joint stipulation to extend the exchange deadline to August 27, 2012, because the parties were still negotiating a resolution. The Division hereby gives notice that, on August 28, 2012, the Respondents picked up a copy of the Division's preliminary witness list and intended exhibits.

Respectfully submitted this 4th day of September, 2011.

By:

[Signature]
Phong (Paul) Huynh
Attorney for the Securities Division of the
Arizona Corporation Commission

1 ORIGINAL AND thirteen (13) COPIES of the foregoing
2 filed this 4th day of September, 2011 with:

3 Docket Control
4 Arizona Corporation Commission
1200 W. Washington St.
Phoenix, AZ 85007

5 COPY of the foregoing hand-delivered this
6 4th day of September, 2011 to:

7 Mr. Marc E. Stern
8 Administrative Law Judge
Arizona Corporation Commission/Hearing Division
1200 W. Washington St.
Phoenix, AZ 85007

9 COPY of the foregoing mailed this
10 4th day of September, 2011 to:

11 Alan Baskin, Esq.
12 Bade Baskin Richards
13 80 East Rio Salado Parkway, Suite 511
Tempe, Arizona 85281

14 COPY of the foregoing mailed this
15 4th day of September, 2011 to:

16 Richard & Amy Schmerman
2613 E. Mitchell Dr.
17 Phoenix, AZ 85016

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20 Karen Houde
21 By:

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23
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