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BEFORE THE ARIZONA CORPORATIO

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Arizona Corporation Commission

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AZ CORP COMMISSION
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COMMISSIONERS

BOB STUMP - Chairman
GARY PIERCE
BRENDA BURNS
BOB BURNS
SUSAN BITTER SMITH

In the matter of:

DOCKET NO. S-20860A-12-0414

PATRICK B. HAMMONS, CRD#1030468,
and PERI ANN HAMMONS a.k.a. Peri Ann
Brown, husband and wife;

TF6 ADVISORS, LLC, an Arizona limited
liability company, d.b.a. TFG ADVISORS;
and

PACIFIC VENTURES & TRADING LLC,
an Arizona limited liability company;

Respondents.

SECOND
PROCEDURAL ORDER
(Schedules Hearing)

BY THE COMMISSION:

On September 12, 2012, the Securities Division ("Division") of the Arizona Corporation Commission ("Commission") filed a Notice of Opportunity for Hearing ("Notice") against Patrick B. Hammons and Peri Ann Hammons a.k.a. Peri Ann Brown, husband and wife; TF6 Advisors, LLC d.b.a. TFG Advisors ("TFG"); and Pacific Ventures & Trading LLC ("PVT") (collectively "Respondents"), in which the Division alleged multiple violations of the Arizona Securities Act ("Act") and the Arizona Investment Management Act ("IM Act") in connection with the offer and sale of securities in the form of membership interests.

The spouse ("Respondent Spouse") of Respondent Patrick B. Hammons is joined in the action pursuant to A.R.S. §§ 44-2031(C) and 44-3291(C) solely for the purpose of determining the liability of the marital community.

The Respondents were duly served with copies of the Notice.

On November 28, 2012, Respondents through counsel filed an Answer, but did not file a request for hearing in this matter pursuant to A.R.S. § 44-1972 and A.A.C. R14-4-306.

On January 10, 2013, the Division filed a Motion to Set a Status Conference.

1 On February 6, 2013, by Procedural Order, a pre-hearing conference was scheduled on March
2 6, 2013, as the Respondents' Answer satisfied the requirement of a request for a hearing.

3 On March 6, 2013, at the pre-hearing conference, the parties appeared through counsel, and
4 although the parties are discussing a possible resolution of the issues, they agreed upon a hearing
5 being scheduled in July in the event a settlement cannot be concluded.

6 Accordingly, a hearing should be scheduled.

7 IT IS THEREFORE ORDERED a **hearing** shall be held on **July 1, 2013, at 10:00 a.m.**, at
8 the Commission's offices, 1200 West Washington Street, Hearing Room 1, Phoenix, Arizona.

9 IT IS FURTHER ORDERED that **the parties shall reserve July 2, 3, and 5, 2013, for**
10 **additional days of hearing**, if necessary.

11 IT IS FURTHER ORDERED that **the Division and Respondents shall exchange copies of**
12 **their Witness Lists and copies of their Exhibits by May 17, 2013**, with courtesy copies provided to
13 the presiding Administrative Law Judge.

14 IT IS FURTHER ORDERED that **the Division shall file a Motion to Vacate the hearing in**
15 **the event that the parties conclude a settlement prior to the scheduled date of the hearing.**

16 IT IS FURTHER ORDERED that the Ex Parte Rule (A.A.C. R14-3-113-Unauthorized
17 Communications) is in effect and shall remain in effect until the Commission's Decision in this
18 matter is final and non-appealable.

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

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

28 ...

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

4 DATED this 13th day of March, 2013.

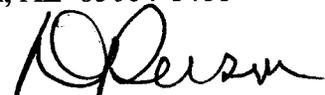
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6 _____
7 MARC E. STERN
8 ADMINISTRATIVE LAW JUDGE

9 Copies of the foregoing mailed/delivered
10 this 13th day of March, 2013 to:

11 Mark D. Chester
12 CHESTER & SHEIN, P.C.
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15 Attorneys for Respondents

16 Matt Neubert, Director
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19 1300 West Washington Street
20 Phoenix, AZ 85007

21 ARIZONA REPORTING SERVICE, INC.
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23 Phoenix, AZ 85004-1481

24 By: 
25 _____
26 Debbi Person
27 Assistant to Marc E. Stern
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