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BEFORE THE ARIZONA CORPORATION

Arizona Corporation Commission

COMMISSIONERS

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AZ CORP COMMISSION DOCKET CONTROL

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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.

THIRD
PROCEDURAL ORDER
(Vacates 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 On March 13, 2013, a hearing was scheduled on July 1, 2013.

7 On July 1, 2013, the Division filed a Motion to Vacate the hearing because the parties had
8 reached a resolution of the issues raised by the Notice and would submit a proposed Consent Order to
9 the Commission for its approval at its next Open Meeting.

10 Accordingly, the hearing should be vacated.

11 IT IS THEREFORE ORDERED the **hearing** scheduled on **July 1, 2013, is hereby vacated.**

12 IT IS FURTHER ORDERED that **the Division shall file a Motion to Reschedule the**
13 **hearing in the event that the Commission does not approve the proposed Consent Order.**

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

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

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

26 ...

27 ...

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 15th day of July, 2013.

5
6 
7 MARC E. STERN
8 ADMINISTRATIVE LAW JUDGE

9 Copies of the foregoing mailed/delivered
10 this 15th day of July, 2013 to:

11 Mark D. Chester
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15 Attorneys for Respondents

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24 By: 
25 Tammy Velarde
26 Assistant to Marc E. Stern
27
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