



0000146992

BEFORE THE ARIZONA CORPORATION COMMISSION

COMMISSIONERS

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

Arizona Corporation Commission

DOCKETED

JUL 30 2013

DOCKETED BY [Handwritten: hr]

In the matter of
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.

DOCKET NO. S-20860A-12-0414

DECISION NO. 74018

ORDER TO CEASE AND DESIST, ORDER
FOR RESTITUTION, ORDER FOR
ADMINISTRATIVE PENALTIES AND
CONSENT TO SAME
BY: RESPONDENTS PATRICK B.
HAMMONS, PERI ANN HAMMONS, TF6
ADVISORS, LLC, d.b.a. TFG Advisors, and
PACIFIC VENTURES & TRADING LLC

Respondents PATRICK B. HAMMONS, TF6 ADVISORS, LLC, d.b.a. TFG Advisors, and
PACIFIC VENTURES & TRADING LLC ("Respondents") elect to permanently waive any right
to a hearing and appeal under Articles 11 and 12 of the Securities Act of Arizona, A.R.S. § 44-1801
et seq. ("Securities Act") and Articles 7 and 8 of the Arizona Investment Management Act, A.R.S.
§ 44-3101 et seq. ("Investment Management Act") with respect to this Order To Cease And Desist
Order for Restitution, Order for Administrative Penalties and Consent to Same ("Order").
Respondents admit the jurisdiction of the Arizona Corporation Commission ("Commission");
neither admit nor deny the Findings of Fact and Conclusions of Law contained in this Order; and
consent to the entry of this Order by the Commission.

I.

FINDINGS OF FACT

1. Respondent PATRICK B. HAMMONS, CRD #1030468 ("HAMMONS") is an

1 individual who at all relevant times resided in Maricopa County, Arizona.

2 2. Respondent TF6 ADVISORS, LLC, d.b.a. TFG Advisors (“TFG”) is a manager-
3 managed Arizona limited liability company organized by HAMMONS on June 19, 2006.
4 HAMMONS was at all relevant times and currently is the manager of TFG.

5 3. Respondent PACIFIC VENTURES & TRADING LLC (“PVT”) is a manager-
6 managed Arizona limited liability company organized by HAMMONS on June 17, 2009.
7 HAMMONS was at all relevant times and currently is the manager of PVT.

8 4. At all relevant times, Respondents were not licensed by the Commission as
9 investment advisers or investment adviser representatives, or registered by the Commission as
10 securities brokers or securities salesmen.

11 5. Peri Ann Hammons, a.k.a. Peri Ann Brown, was at all relevant times the spouse of
12 HAMMONS. Peri Ann Hammons, who is also referred to as “Respondent Spouse,” is included in
13 this action solely to determine the liability of HAMMONS and Peri Ann Hammons’s marital
14 community pursuant to A.R.S. § 44-2031(C) and A.R.S. § 44-3291(C).

15 **TFG’s Principal Client: Pacific Ventures & Trading**

16 6. HAMMONS organized PVT in October 2009 as a fund that he and his entity,
17 TFG, would manage.

18 7. PVT was funded in large part by selling within and from Arizona membership
19 interests to three outside investors and two trusts for which HAMMONS was the trustee. Two of
20 these investors, a husband and wife who purchased PVT membership interests using their
21 retirement accounts, were located in Maricopa County, Arizona.

22 8. As of January 10, 2010, PVT had acquired investor funds totaling \$116,000. By
23 April 2010, the total reached \$139,000. And in April 2011, PVT acquired an additional investor
24 contribution of \$35,000, bringing the total investment in PVT to \$174,000.

25 9. The majority of the PVT investors paid for their membership interests with
26 checks, money orders or wire transfers payable to PVT. PVT’s funds were deposited in a Chase

1 bank account.

2 10. At all relevant times, TFG's manager, HAMMONS, had custody of PVT's assets.
3 HAMMONS was the manager of PVT and the only signer and contact person for PVT's Chase
4 account.

5 11. The investors did not participate in any of PVT's operations and relied solely on
6 HAMMONS's effort and expertise to realize a return on their investment.

7 12. HAMMONS provided PVT investors with an illustrated packet that described
8 PVT's "Mission" as follows: "Generation of investment income and trading profits by diligent
9 investment of capital resources in financial assets across multiple markets utilizing current risk
10 management protocols and state-of-the-art trading platforms."

11 13. Several investors received a one-page document titled "Limited Liability
12 Company Units Term Sheet." This term sheet states that funds obtained from PVT investors will
13 be used for "general operations and the funding of equity, fixed-income and futures/commodities
14 trading accounts."

15 14. HAMMONS further represented to at least two of the PVT investors that
16 HAMMONS would use their investment funds primarily for day-trading stock index futures and
17 other securities and that PVT would pay TFG for HAMMONS's services.

18 **TFG's Financial Services**

19 15. At all relevant times, TFG represented that it and its principals had extensive
20 experience with and at one time was primarily engaged in providing financial services including
21 managing client accounts and portfolios, and advising others as to the value of securities or as to
22 the advisability of investing in, purchasing or selling securities.

23 16. For example, the "Services" page of TFG's website, www.tfgadvisors.com, stated
24 that "TFG Advisors develops financial resource plans and assists clients in obtaining necessary
25 capitalization to meet stated business objectives." The website further stated that "TFG Advisors
26 has managed in excess of \$250 million in private portfolios and \$10 billion of institutional

1 accounts. TFG's approach is centered around maximizing portfolio performance and liquidity."

2 17. Additionally, TFG produced reports and market analysis related to advising others
3 as to the value of securities. For example, over a period of several weeks, TFG frequently sent
4 updates to at least one PVT member. These updates were simple, trading-themed newsletters;
5 they included market news and analysis and charts related to HAMMONS's trading activities and
6 objectives.

7 18. Finally, the illustrated packet given to PVT investors includes a page labeled
8 "Strategic Partners." On this page TFG is described as a "Financial advisory firm whose
9 principal role [as PVT's "strategic partner"] will be to manage trading room operations[.]"

10 **PVT's Agreement with TFG**

11 19. At or around October 2009, PVT entered an agreement with TFG regarding the
12 provision of financial services to PVT (the "Agreement").

13 20. Under the terms of the Agreement, PVT would pay TFG for HAMMONS's
14 services. These services consisted of managing PVT's capital by creating and trading an
15 investment portfolio of equities, futures and other securities; this would include day-trading in
16 these securities.

17 21. In exchange for these services, PVT would pay TFG a monthly payment of \$500
18 for every \$10,000 of capital under management, plus 40% of trading profits earned each month.
19 The remaining 60% of profits would go to PVT and its members.

20 **TFG/HAMMONS's Use of PVT Capital**

21 22. HAMMONS applied approximately \$32,500 of PVT's capital toward day-trading
22 in equities, futures or other securities.

23 23. HAMMONS day-traded with this capital in two different trading platforms.

24 24. PVT's most-used trading platform was TradeStation, Inc. ("TS"). On or around
25 January 12, 2010, PVT opened a TS futures trading account (the "TS Account"). In order to
26 open this account, PVT completed a "Futures Account Application." HAMMONS signed this

1 application on January 4, 2010 as the "Primary Authorized Representative" of PVT. As stated in
2 the terms of the Application, HAMMONS is the only person with authority to give or receive
3 instructions from TS regarding the account and the only person authorized to trade in the
4 account. As explained in this Application, this account provides PVT with a trading platform
5 through which PVT can purchase and sell futures.

6 25. PVT transferred \$10,000 into the TS Account in January 2010, and another
7 \$10,000 on March 31, 2010.

8 26. PVT also opened and transferred \$10,000 to a TS equities account. No trading
9 activity occurred in the equities account and the \$10,000 was later transferred to the TS Account,
10 where it was used in trading activities.

11 27. Beginning in January 2010 and continuing through October 2011, HAMMONS,
12 as the manager of TFG, bought and sold futures contracts and other securities in TS Account.

13 28. HAMMONS's trading in the TS Account resulted in significant net losses. As of
14 December 30, 2011, the market value of the account was \$689.08.

15 29. On January 5, 2010 HAMMONS opened a trading account with Rosenthal Collins
16 Group, LLC. The account is in HAMMONS's name. In order to open the Rosenthal account,
17 HAMMONS signed an "Account Opening Worksheet" which states that the account will be used
18 for speculative trading of futures, foreign currencies and metals.

19 30. The day prior to opening the Rosenthal account, PVT transferred \$2,500 to
20 HAMMONS's checking account. Upon opening the trading account, HAMMONS deposited
21 \$2,500 into the Rosenthal account.

22 31. In January, February and July 2010, and November 2011, HAMMONS traded
23 futures contracts and other securities in the Rosenthal account.

24 32. The trading activity for each of these four months resulted in losses. By
25 December 31, 2010, the value of the Rosenthal account was reduced to \$762; by December 30,
26 2011, the account value was reduced to \$461.

1 **PVT's Payment to TFG for TFG's Services**

2 33. In exchange for HAMMONS's financial services of managing and trading PVT's
3 capital, PVT paid TFG monthly fees.

4 34. For the 20-month period beginning in January 2010 and ending August 2011,
5 PVT paid TFG monthly fees totaling \$75,700.

6 35. [Intentionally left blank]

7 36. In August 2011, PVT effectively emptied its Chase bank account when it made a
8 final transfer to TFG in the amount of \$34,000.

9 37. All told, PVT transferred a total of approximately \$112,200 to TFG.

10 **Other Violations**

11 38. HAMMONS represented to some PVT investors that the investors' funds would
12 be used to generate investment income and trading profits, primarily through day-trading and
13 other investing. In fact, only a fraction of investor funds were put into trading accounts. The
14 vast majority of investor funds went to pay TFG.

15 39. HAMMONS failed to disclose to PVT and PVT's members that, in order for
16 PVT's assets to merely maintain their value, TFG's assets would need to experience gains at least
17 equal to the monthly fees paid to TFG.

18 40. HAMMONS represented to two Arizona-based PVT investors that their combined
19 interest in PVT increased in value by 11.63% during 2010. This increase was shown in a written
20 Balance Sheet, provided to these investors. HAMMONS represented to these investors that the
21 increase in value occurred in part due to profitable trading. HAMMONS made these
22 representations without disclosing the following items, which HAMMONS either knew or should
23 have known:

24 a) Only a fraction of PVT's funds were used in trading;

25

26

1 income and trading profits when, in fact, HAMMONS put only approximately \$32,500 of
2 PVT's funds to such use; and

3 b. Failing to disclose to PVT investors that TFG would need to generate gains at
4 least equal to the monthly fees paid in order for PVT's assets not to decrease in value and
5 that, even with a decrease in asset value, TFG would not decrease the fees paid to TFG.

6 4. HAMMONS directly or indirectly controlled PVT within the meaning of A.R.S. §
7 44-1999. As a result, HAMMONS is jointly and severally liable with, and to the same extent as
8 PVT for its violations of the anti-fraud provisions of the Securities Act set forth above.

9 5. TFG and HAMMONS violated A.R.S. § 44-3151 by transacting business in this
10 state as investment advisers or investment adviser representatives while neither licensed nor
11 exempt.

12 6. TFG and HAMMONS violated A.R.S. § 44-3241 by (a) employing a device,
13 scheme, or artifice to defraud, (b) making untrue statements or misleading omissions of material
14 facts, (c) misrepresenting professional qualifications with the intent that the misrepresentation be
15 relied on, and or (d) engaging in transactions, practices, or courses of business that operate or
16 would operate as a fraud or deceit. Respondents TFG and HAMMONS's conduct includes, but is
17 not limited to, the following:

18 a. Failing to have an independent certified public accountant verify all client
19 funds and securities by actual examination at least once during each calendar year without
20 notice as defined by A.A.C. R14-6-206(A)(4)(b)(i);

21 b. Failing to have an independent certified public accountant file a copy of the
22 auditor's report and financial statements with the Commission within 30 days after the
23 completion of the examination along with a letter stating that they examined the funds and
24 securities and describing the nature and extent of the examination as defined by A.A.C.
25 R14-6-206(A)(4)(b)(ii);

26

1 c. Failing to act in the best interest of TFG's client, PVT, by transferring the
2 majority of PVT's funds to TFG and putting only \$32,500 of PVT's funds to a use that had
3 even a possibility of generating investment income or trading profits;

4 d. Failing to disclose to PVT and PVT's members that TFG would need to
5 generate gains at least equal to the monthly fees paid in order for PVT's assets not to
6 decrease in value and that a decrease in asset value may not decrease the fees paid to TFG;
7 and

8 e. Representing to some PVT members that the PVT funds had increased in value
9 in 2010, partly from successful trading, when in fact HAMMONS's trading activities
10 resulted in significant losses and PVT's capital had been reduced by significant, continued
11 payment of fees to TFG throughout 2010.

12 7. Respondents' conduct is grounds for a cease and desist order pursuant to A.R.S.
13 § 44-2032 and A.R.S. § 44-3292.

14 8. Respondents' conduct is grounds for an order of restitution pursuant to A.R.S. § 44-
15 2032 and A.R.S. § 44-3292.

16 9. Respondents' conduct is grounds for administrative penalties under A.R.S. § 44-
17 2036 and A.R.S. § 44-3296.

18 10. Respondent HAMMONS acted for the benefit of his marital community and,
19 pursuant to A.R.S. §§ 25-214 and 25-215, this Order of restitution and administrative penalties is a
20 debt of the community.

21 **III.**

22 **ORDER**

23 THEREFORE, on the basis of the Findings of Fact, Conclusions of Law, and Respondents'
24 consent to the entry of this Order, attached and incorporated by reference, the Commission finds
25 that the following relief is appropriate, in the public interest, and necessary for the protection of
26 investors:

1 IT IS ORDERED, pursuant to A.R.S. § 44-2032 and A.R.S. § 44-3292, that Respondents,
2 and any of Respondents' agents, employees, successors and assigns, permanently cease and desist
3 from violating the Securities Act and the Investment Management Act.

4 IT IS FURTHER ORDERED that Respondents comply with the attached Consent to Entry
5 of Order.

6 IT IS FURTHER ORDERED, pursuant to A.R.S. § 44-2032 and A.R.S. § 44-3292, that
7 Respondents and the marital community of HAMMONS and Respondent Spouse shall jointly and
8 severally pay restitution to the Commission in the principal amount of \$174,000. Payment is due in
9 full on the date of this Order. Payment shall be made to the "State of Arizona" to be placed in an
10 interest-bearing account controlled by the Commission. Any principal amount outstanding shall
11 accrue interest at the rate of the lesser of (i) ten percent per annum or (ii) at a rate per annum that is
12 equal to one per cent plus the prime rate as published by the board of governors of the federal
13 reserve system in statistical release H.15 or any publication that may supersede it on the date that
14 the judgment is entered. Interest in the amount of \$21,887.97 has accrued from the date of
15 purchase to July 17, 2013.

16 The Commission shall disburse the funds on a pro-rata basis to investors shown on the
17 records of the Commission. Any restitution funds that the Commission cannot disburse because an
18 investor refuses to accept such payment, or any restitution funds that cannot be disbursed to an
19 investor because the investor is deceased and the Commission cannot reasonably identify and
20 locate the deceased investor's spouse or natural children surviving at the time of the distribution,
21 shall be disbursed on a pro-rata basis to the remaining investors shown on the records of the
22 Commission. Any funds that the Commission determines it is unable to or cannot feasibly disburse
23 shall be transferred to the general fund of the state of Arizona.

24 IT IS FURTHER ORDERED, pursuant to A.R.S. § 44-2036 and A.R.S. § 44-3296, that
25 Respondents and the marital community of HAMMONS and Respondent Spouse shall jointly and
26 severally pay an administrative penalty in the amount of \$20,000. Payment is due in full on the

1 date of this Order. Payment shall be made to the "State of Arizona." Any amount outstanding shall
2 accrue interest at the rate of the lesser of (i) ten percent per annum or (ii) at a rate per annum that is
3 equal to one per cent plus the prime rate as published by the board of governors of the federal
4 reserve system in statistical release H.15 or any publication that may supersede it on the date that
5 the judgment is entered.

6 IT IS FURTHER ORDERED that payments received by the state of Arizona shall first be
7 applied to the restitution obligation. Upon payment in full of the restitution obligation, payments
8 shall be applied to the penalty obligation.

9 IT IS FURTHER ORDERED, that if any Respondent fails to comply with this order, the
10 Commission may bring further legal proceedings against that Respondent, including application to
11 the superior court for an order of contempt.

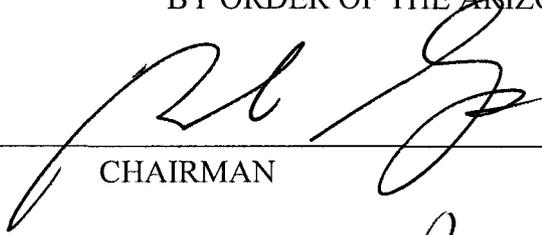
12 IT IS FURTHER ORDERED, that no finding of fact or conclusion of law contained in this
13 Order shall be deemed binding against any Respondent under this Docket Number who has not
14 consented to the entry of this Order.

15 ///
16 ///
17 ///
18 ///
19 ///
20 ///
21 ///
22 ///
23 ///
24 ///
25 ///
26 ///

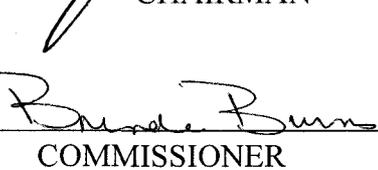
1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26

IT IS FURTHER ORDERED that this Order shall become effective immediately.

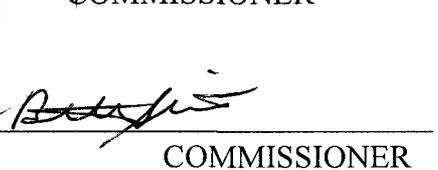
BY ORDER OF THE ARIZONA CORPORATION COMMISSION

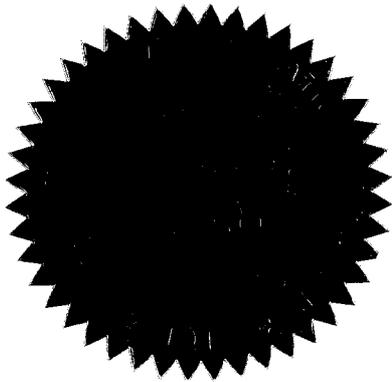

CHAIRMAN


COMMISSIONER


COMMISSIONER


COMMISSIONER


COMMISSIONER



IN WITNESS WHEREOF, I, JODI JERICH, Executive Director of the Arizona Corporation Commission, have hereunto set my hand and caused the official seal of the Commission to be affixed at the Capitol, in the City of Phoenix, this 30th day of July, 2013.


JODI JERICH
EXECUTIVE DIRECTOR

DISSENT

DISSENT

This document is available in alternative formats by contacting Shaylin A. Bernal, ADA Coordinator, voice phone number 602-542-3931, e-mail sabernal@azcc.gov.

(RJM)

CONSENT TO ENTRY OF ORDER

1
2 1. Respondent PATRICK B. HAMMONS (“HAMMONS”) and Peri Ann Hammons
3 (“Respondent Spouse”) admit the jurisdiction of the Commission over the subject matter of this
4 proceeding. HAMMONS and Respondent Spouse acknowledge that they have been fully advised
5 of their right to a hearing to present evidence and call witnesses and HAMMONS and Respondent
6 Spouse knowingly and voluntarily waive any and all rights to a hearing before the Commission and
7 all other rights otherwise available under Article 11 of the Securities Act Article 7 of the
8 Investment Management Act and Title 14 of the Arizona Administrative Code. HAMMONS and
9 Respondent Spouse acknowledge that this Order to Cease and Desist, Order for Restitution, Order
10 for Administrative Penalties and Consent to Same (“Order”) constitutes a valid final order of the
11 Commission.

12 2. HAMMONS and Respondent Spouse knowingly and voluntarily waive any right
13 under Article 12 of the Securities Act and Article 8 of the Investment Management Act to judicial
14 review by any court by way of suit, appeal, or extraordinary relief resulting from the entry of this
15 Order.

16 3. HAMMONS and Respondent Spouse acknowledge and agree that this Order is
17 entered into freely and voluntarily and that no promise was made or coercion used to induce such
18 entry.

19 4. HAMMONS and Respondent Spouse acknowledge that they have been represented
20 by an attorney in this matter, they has reviewed this Order with their attorney, **Mark Chester**, and
21 understands all terms it contains. HAMMONS and Respondent Spouse acknowledge that they
22 have each given their informed consent to such representation.

23 5. HAMMONS and Respondent Spouse neither admit nor deny the Findings of Fact
24 and Conclusions of Law contained in this Order. HAMMONS and Respondent Spouse agree that
25 they shall not contest the validity of the Findings of Fact and Conclusions of Law contained in this
26 Order in any present or future proceeding in which the Commission or any other state agency is a

1 party concerning the denial or issuance of any license or registration required by the state to engage
2 in the practice of any business or profession.

3 6. By consenting to the entry of this Order, HAMMONS and Respondent Spouse agree
4 not to take any action or to make, or permit to be made, any public statement denying, directly or
5 indirectly, any Finding of Fact or Conclusion of Law in this Order or creating the impression that
6 this Order is without factual basis. HAMMONS will undertake steps necessary to assure that all of
7 Respondent's agents and employees understand and comply with this agreement.

8 7. While this Order settles this administrative matter between HAMMONS and
9 Respondent Spouse and the Commission, HAMMONS and Respondent Spouse understand that this
10 Order does not preclude the Commission from instituting other administrative or civil proceedings
11 based on violations that are not addressed by this Order.

12 8. HAMMONS and Respondent Spouse understand that this Order does not preclude
13 the Commission from referring this matter to any governmental agency for administrative, civil, or
14 criminal proceedings that may be related to the matters addressed by this Order.

15 9. HAMMONS and Respondent Spouse understand that this Order does not preclude
16 any other agency or officer of the state of Arizona or its subdivisions from instituting
17 administrative, civil, or criminal proceedings that may be related to matters addressed by this
18 Order.

19 10. HAMMONS agrees that he will not apply to the state of Arizona for registration as a
20 securities dealer or salesman or for licensure as an investment adviser or investment adviser
21 representative until such time as all restitution and penalties under this Order are paid in full.

22 11. HAMMONS agrees that he will not exercise any control over any entity that offers
23 or sells securities or provides investment advisory services within or from Arizona until such time
24 as all restitution and penalties under this Order are paid in full.

25
26

1 12. HAMMONS and Respondent Spouse acknowledge that any restitution or penalties
2 imposed by this Order are obligations of the respondents, HAMMONS, and HAMMONS and
3 Respondent Spouse's marital community.

4 13. HAMMONS and Respondent Spouse consent to the entry of this Order and agree to
5 be fully bound by its terms and conditions.

6 14. HAMMONS and Respondent Spouse acknowledge and understand that if they fail
7 to comply with the provisions of the order and this consent, the Commission may bring further
8 legal proceedings against HAMMONS and Respondent Spouse, including application to the
9 superior court for an order of contempt.

10 15. HAMMONS and Respondent Spouse understand that default shall render them
11 liable to the Commission for its costs of collection and interest at the maximum legal rate.

12 16. HAMMONS and Respondent Spouse agree and understand that if they fail to make
13 any payment as required in the Order, any outstanding balance shall be in default and shall be
14 immediately due and payable without notice or demand. HAMMONS and Respondent Spouse
15 agree and understand that acceptance of any partial or late payment by the Commission is not a
16 waiver of default by the Commission.

17 17. HAMMONS represents that he is the manager of TF6 ADVISORS, LLC, and has
18 been authorized to enter into this Order for and on behalf of this entity.

19 18. HAMMONS represents that he is the manager of PACIFIC VENTURES &
20 TRADING LLC and has been authorized to enter into this Order for and on behalf of this entity.

21 ///

22 ///

23 ///

24 ///

25 ///

26 ///

1 Signature page to Consent to Entry of Order for individual respondent Patrick B. Hammons

2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26

Patrick B. Hammons

Respondent, Patrick B. Hammons

STATE OF ^{Utah} ~~ARIZONA~~)
County of ^{Utah}) ss

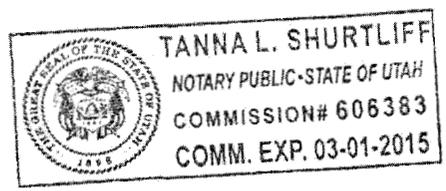
SUBSCRIBED AND SWORN TO BEFORE me this 28 day of June, 2013.

Tanna L. Shurtliff

NOTARY PUBLIC

My commission expires:

3-1-2015



Signature page to Consent to Entry of Order for entity respondents

TF6 ADVISERS, LLC, an Arizona limited liability company

By: Patrick B. Hammons, Mgr.
Patrick B. Hammons, Manager

PACIFIC VENTURES AND TRADING, LLC, an Arizona limited liability company

By: Patrick B. Hammons, Mgr.
Patrick B. Hammons, Manager

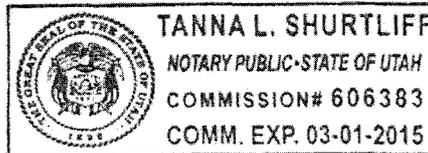
STATE OF ~~ARIZONA~~ ^{Utah} 28)
County of Utah) ss

SUBSCRIBED AND SWORN TO BEFORE me this 28 day of June, 2013.

Tanna L. Shurtliff
NOTARY PUBLIC

My commission expires:

3-1-2015



1 SERVICE LIST FOR: Patrick B. Hammons *et al.*

2 Mark D. Chester
3 CHESTER & SHEIN, P.C.
4 Gainey Ranch Corporate Center
5 8777 N. Gainey Center Drive, Suite 191
6 Scottsdale, Arizona 85258

7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
Attorneys for Respondents

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26

BEFORE THE ARIZONA CORPORATION COMMISSION

COMMISSIONERS

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

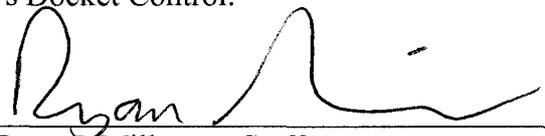
In the matter of:)
)
PATRICK B. HAMMONS, CRD#1030468, and)
PERI ANN HAMMONS, a.k.a. Peri Ann Brown,)
husband and wife;)
)
TF6 ADVISORS, LLC, an Arizona limited)
liability company, d.b.a. TFG Advisors; and)
)
PACIFIC VENTURES & TRADING LLC, an)
Arizona limited liability company;)
)
Respondent.)

DOCKET NO. S-20860A-12-0414

**NOTICE OF FILING OF PROPOSED
OPEN MEETING AGENDA ITEM**

Pursuant to A.A.C. R14-4-303, you are hereby notified that the attached: Order to Cease
and Desist, Order for Restitution, and Order for Administrative Penalties, and Consent to Same
was filed with the Arizona Corporation Commission's Docket Control.

Dated: 7-2-13

By: 
Ryan J. Millecam, Staff Attorney

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26

I hereby certify that I have this day served the foregoing document on all parties of record in this proceeding by mailing a copy thereof, properly addressed with first class postage prepaid to:

Mark Chester
CHESTER & SHEIN, P.C.
8777 N. Gainey Center Drive, Suite 191
Scottsdale, Arizona 85258
Attorneys for Respondents

Dated: 7-2-13

By: 
Emie R. Bridges, Executive Assistant