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BEFORE THE ARIZONA CORPORATION COMMISSION

COMMISSIONERS

2013 AUG 29 P 3:01

BOB STUMP, Chairman AZ CORP COMMISSION
GARY PIERCE DOCKET CONTROL
BRENDA BURNS
BOB BURNS
SUSAN BITTER SMITH

In the matter of:

DOCKET NO. S-20757A-10-0373

Richard M. Schmerman, individually and
d/b/a Diversified Financial and/or
Diversified Financial Planners, and Amy
Schmerman, husband and wife;

NOTICE OF COMPLIANCE WITH
PROCEDURAL ORDER

Respondents.

On May 18, 2013, 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 16, 2013. The Division hereby gives notice that, on August 16, 2013, two copies of the Division's witness list and intended exhibits were submitted to Respondent Richard M. Schmerman and Amy Schmerman. A courtesy copy of any additional or supplementary exhibits was also provided to the Administrative Law Judge Marc E. Stern.

Respectfully submitted this 29th day of August, 2013.

By:

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

Arizona Corporation Commission
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ORIGINAL AND thirteen (13) COPIES of the foregoing
filed this 29th day of August, 2013 with:

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

COPY of the foregoing hand-delivered this
29th day of August, 2013 to:

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

COPY of the foregoing mailed this
29th day of August, 2013 to:

Richard & Amy Schmerman
2250 E. Lincoln Dr
Phoenix, AZ 85016

Karen Howe
By: