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ORIGINAL

ARIZONA CORPORATION COMMISSION

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3 BOB STUMP - Chairman
4 GARY PIERCE
5 BRENDA BURNS
6 BOB BURNS
7 SUSAN BITTER SMITH

Arizona Corporation Commission

DOCKETED

SEP 9 2014

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AZ CORP COMMISSION
DOCKET CONTROL

DOCKETED BY 

8 IN THE MATTER OF:
9 ANTHONY RAY STACY (CRD#1772484),
Respondent.

DOCKET NO. S-20909A-14-0226

THIRD
PROCEDURAL ORDER
(Grants Motion)

10 **BY THE COMMISSION:**

11 On July 1, 2014, the Securities Division ("Division") of the Arizona Corporation Commission
12 ("Commission") filed a Notice of Opportunity for Hearing ("Notice") against Anthony Ray Stacy
13 ("Stacy" or "Respondent"), in which the Division alleged violation of the Arizona Investment
14 Management Act ("IM Act") in connection with the execution of a promissory note or loan.

15 The Respondent was duly served with a copy of the Notice.

16 On July 25, 2014, Respondent filed a Request for Hearing pursuant to A.R.S. § 44-3212 and
17 A.A.C. R14-4-306.

18 On August 1, 2014, by Procedural Order, a pre-hearing conference was scheduled for August
19 20, 2014.

20 On August 14, 2014, Respondent filed a Verified Answer to the Notice.

21 On August 20, 2014, a pre-hearing conference was held. The Division appeared through
22 counsel and the Respondent appeared on his own behalf. The parties discussed scheduling a hearing
23 and agreed on the date of October 29, 2014, which would accommodate schedules, allow Respondent
24 sufficient opportunity to obtain counsel, and provide any newly obtained Respondent's counsel time
25 to adequately prepare for the hearing. The schedule for filing an amended Notice, correcting a
26 typographical error, and an amended Answer was also discussed. The Respondent confirmed his
27 current mailing address as that used on his August 14, 2014 Verified Answer.

28

1 On August 20, 2014, by Procedural Order, a hearing was scheduled to commence on October
2 29, 2014. It was further ordered that the Division would file an amended Notice by August 21, 2014,
3 and the Respondent would file an amended answer by August 25, 2014.

4 On August 21, 2014, the Division filed its Motion to File Amended Notice of Opportunity for
5 Hearing Regarding Proposed Order of Revocation, to Cease and Desist, for Restitution, for
6 Administrative Penalties, and Other Affirmative Action and to Amend Caption. The Division
7 requested leave to amend the Notice and included a proposed form of the Notice, as amended
8 ("Amended Notice"). In addition to correcting a typographical error, the Amended Notice also
9 sought to add the Respondent's spouse to the action solely for the purposes of determining the
10 liability of the marital community.

11 On August 26, 2014, Respondent filed a Verified Answer to Motion to File Amended Notice
12 of Opportunity for Hearing. The Respondent did not state an objection to the Division's motion, but
13 rather provided an amended Answer to the proposed Amended Notice.

14 IT IS THEREFORE ORDERED that the Division's Motion to File Amended Notice of
15 Opportunity for Hearing Regarding Proposed Order of Revocation, to Cease and Desist, for
16 Restitution, for Administrative Penalties, and Other Affirmative Action and to Amend Caption is
17 **granted. The Division shall file its Amended Notice by September 16, 2014.**

18 IT IS FURTHER ORDERED that the **hearing remains scheduled to commence on October**
19 **29, 2014, at 10:00 a.m., at the Commission's offices, 1200 West Washington Street, Hearing**
20 **Room No. 1, Phoenix, Arizona.**

21 IT IS FURTHER ORDERED that **the Division and the Respondent shall exchange copies**
22 **of their Witness Lists and copies of the Exhibits by September 29, 2014**, with courtesy copies
23 provided to the presiding Administrative Law Judge.

24 IT IS FURTHER ORDERED that **if the parties reach a resolution of the issues raised in**
25 **the Notice prior to the hearing, the Division shall file a Motion to Vacate the Proceeding.**

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

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

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

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

13 DATED this 9TH day of September, 2014.



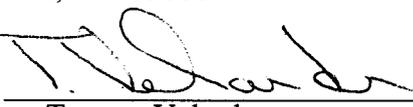
14
15
16 MARK PRENY
ADMINISTRATIVE LAW JUDGE

17 Copies of the foregoing mailed/delivered
18 this 9TH day of September, 2014, to:

19 Anthony Ray Stacy
20 20865 North 90th Place, Suite 125
Scottsdale, AZ 85255

21 Matthew Neubert, Director
22 Securities Division
ARIZONA CORPORATION COMMISSION
23 1300 West Washington Street
Phoenix, AZ 85007

24 COASH & COASH, INC.
25 Court Reporting, Video and Videoconferencing
1802 North 7th Street
Phoenix, AZ 85006

26
27 By: 
28 Tammy Velarde
Assistant to Mark Preny