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BEFORE THE ARIZONA CORPORATION COMMISSION

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COMMISSIONERS

DOUG LITTLE – Chairman  
BOB STUMP  
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AZ CORP COMMISSION  
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FEB 19 2016

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IN THE MATTER OF:

DOCKET NO. S-20949A-16-0002

BART J. ELLIS and COLLEEN ELLIS, husband and wife,

OAK CAPITAL PARTNERS, LLC, an Arizona Limited Liability company,

Respondents.

**PROCEDURAL ORDER**  
**(Sets Pre-Hearing Conference)**

BY THE COMMISSION:

On January 8, 2016, the Securities Division (“Division”) of the Arizona Corporation Commission (“Commission”) filed a Notice of Opportunity for Hearing Regarding Proposed Order to Cease and Desist, for Restitution, for Administrative Penalties, and for Other Affirmative Action (“Notice”) against Oak Capital Partners, LLC (“Oak Capital”), and Bart J. Ellis and Colleen Ellis, husband and wife (the “Ellises”) (collectively “Respondents”), in which the Division alleged violations of the Arizona Securities Act (“Securities Act”) in connection with the offer and sale of securities in the form of stocks, notes and mutual funds, and violations of the Arizona Investment Management Act (“IM Act”) in connection with transactions involving the provision of investment advisory services.

The spouse of Bart J. Ellis, Colleen Ellis (“Respondent Spouse”), is joined in the action pursuant to A.R.S. § 44-2031(C) solely for the purpose of determining the liability of the marital community.

Respondents Oak Capital and Bart J. Ellis were duly served with a copy of the Notice.

On February 16, 2016, Respondent Bart J. Ellis filed a Request for Hearing pursuant to A.A.C R14-4-306.

Accordingly, a pre-hearing conference should be scheduled.

IT IS THEREFORE ORDERED that a **pre-hearing conference** shall be held on **March 7,**

1 **2016, at 10:00 a.m.**, at the Commission's offices, 1200 West Washington Street, Hearing Room No.  
2 2, Phoenix, Arizona.

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

6 IT IS FURTHER ORDERED that all parties must comply with Rules 31 and 39 of the Rules of  
7 the Arizona Supreme Court and A.R.S. § 40-243 with respect to the practice of law and admission *pro*  
8 *hac vice*.

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

15 IT IS FURTHER ORDERED that, as permitted under A.A.C. R14-3-107(B), each party to this  
16 matter may opt to receive service of all filings in this docket, including all filings by parties and all  
17 Procedural Orders and Recommended Opinions and Orders/Recommended Orders issued by the  
18 Commission's Hearing Division, via email sent to an email address provided by the party rather than  
19 via U.S. Mail. To exercise this option, a party shall:

- 20 1. Ensure that the party has a valid and active email address to which the party has regular  
21 and reliable access ("designated email address");
- 22 2. Complete a Consent to Email Service form, available on the Commission's website  
23 ([www.azcc.gov](http://www.azcc.gov)) or a substantially similar format;
- 24 3. File the original and 13 copies of the Consent to Email Service form with the  
25 Commission's Docket Control, also providing service to each party to the service list;
- 26 4. Send an email, containing the party's name and the docket number for this matter, to  
27 [HearingDivisionServicebyEmail@azcc.gov](mailto:HearingDivisionServicebyEmail@azcc.gov) from the designated email address, to allow  
28 the Hearing Division to verify the validity of the designated email address;



1 Matthew Neubert, Director  
2 Securities Division  
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6 COASH & COASH, INC.  
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By:   
Debbi Person  
Assistant to Mark Preney