

# Arizona Corporation Commission Document List Report

**S-20814A-11-0313**

## **David Paul Smoot and Marie Kathleen Smoot**

<b>Filed Date</b>	<b>Document Type</b>	<b>Filed By</b>
8/11/2011	S	Mike Dailey
Application - Securities		
Barcode: 0000128641		Microfilm: 148-0001.0749.0000
9/9/2011	zdo not use	Timothy J. Galligan
Motion/Request - Miscellaneous		
Barcode: 0000129445		Microfilm: 150-0001.0374.0000
9/13/2011	zdo not use	Lyn Farmer, Chief Hearing Officer - A.C.C.
Correspondence - Miscellaneous		
Barcode: 0000129511		Microfilm: 150-0001.0490.0000
10/20/2011		Matthew Neubert, Director of Securities
Securities Division - Notice of Opportunity		
Barcode: 0000130624		Microfilm: 151-0001.0539.0000
10/21/2011	zdo not use	Gary Clapper
Affidavit/Certification - Service		
Barcode: 0000130634		Microfilm: 151-0001.0555.0000
10/25/2011	zdo not use	Michael D. Kimerer, Atty.
Motion/Request - Miscellaneous		
Barcode: 0000130709		Microfilm: 151-0001.0632.0000
10/25/2011	zdo not use	Michael D. Kimerer, Atty.
Notice of Appearance		
Barcode: 0000130710		Microfilm: 151-0001.0633.0000
10/25/2011	zdo not use	Michael D. Kimerer, Atty.
Notice of Filing - Miscellaneous		
Barcode: 0000130711		Microfilm: 151-0001.0634.0000
10/31/2011	zdo not use	Michael D. Kimerer
Request for a Hearing		
Barcode: 0000130814		Microfilm: 151-0001.0792.0000
11/1/2011	zdo not use	Mike Dailey
Response to Motion		
Barcode: 0000130847		Microfilm:
11/1/2011	VI	Marc E. Stern, Administrative Law Judge - A.C.C.
Procedural Order - Admits an Attorney Pro Hac Vice		
Barcode: 0000130861		Microfilm:

# Arizona Corporation Commission Document List Report

**S-20814A-11-0313**

## **David Paul Smoot and Marie Kathleen Smoot**

<b>Filed Date</b>	<b>Document Type</b>	<b>Filed By</b>
11/1/2011	P	Marc E. Stern, Administrative Law Judge - A.C.C.
Procedural Order - Sets a Pre-Hearing		
Barcode: 0000130864		Microfilm:
11/14/2011	G	Arizona Reporting Service, Inc. - Court Reporters
Return Receipt/Green Card		
Barcode: 0000131675		Microfilm: 152-0001.0300.0000
11/17/2011	zdo not use	Timothy J. Galligan
Motion/Request - Miscellaneous		
Barcode: 0000131767		Microfilm: 152-0001.0416.0000
11/17/2011	zdo not use	Timothy J. Galligan
Notice of Filing - Miscellaneous		
Barcode: 0000131768		Microfilm: 152-0001.0415.0000
11/21/2011	RP	Marc E. Stern, Administrative Law Judge - A.C.C.
Procedural Order- Reschedules a Pre-Hearing		
Barcode: 0000131865		Microfilm: 152-0001.0566.0000
11/28/2011	G	Timothy Galligan
Return Receipt/Green Card		
Barcode: 0000131943		Microfilm: 152-0001.0686.0000
11/30/2011	G	Arizona Reporting Service, Inc. - Court Reporters
Return Receipt/Green Card		
Barcode: 0000132001		Microfilm: 152-0001.0886.0000
12/2/2011	zdo not use	Robert D. Mitchell
Answer		
Barcode: 0000132569		Microfilm: 153-0001.0042.0000
1/30/2012	R	Timothy Galligan
Returned Certified Mail		
Barcode: 0000133721		Microfilm: 156-0001.0244.0000
2/2/2012		Arizona Reporting Service, Inc. - Court Reporters
Transcript		
Barcode: 0000133898		Microfilm: 156-0001.0432.0000
2/3/2012	zdo not use	Mike Dailey
Response to Motion		
Barcode: 0000134073		Microfilm: 156-0001.0497.0000

# Arizona Corporation Commission Document List Report

**S-20814A-11-0313**

## **David Paul Smoot and Marie Kathleen Smoot**

<b>Filed Date</b>	<b>Document Type</b>	<b>Filed By</b>
2/3/2012	zdo not use	Sarah K. Deutsch
Brief		
Barcode: 0000134085		Microfilm: 156-0001.0520.0000
2/14/2012	zdo not use	Lyn Farmer, Chief Hearing Officer - A.C.C.
Correspondence - Miscellaneous		
Barcode: 0000134278		Microfilm: 157-0001.0209.0000
2/14/2012	VI	Lyn Farmer, Chief Hearing Officer - A.C.C.
Procedural Order - Admits an Attorney Pro Hac Vice		
Barcode: 0000134279		Microfilm: 157-0001.0210.0000
2/15/2012	FD	Marc E. Stern, Administrative Law Judge - A.C.C.
Procedural Order - Sets Miscellaneous Filing Dates		
Barcode: 0000134321		Microfilm: 157-0001.0271.0000
3/6/2012	zdo not use	Robert D. Mitchell
Motion/Request - Miscellaneous		
Barcode: 0000134954		Microfilm: 158-0001.0502.0000
3/8/2012	zdo not use	Mike Dailey
Response		
Barcode: 0000135019		Microfilm: 158-0001.0564.0000
3/20/2012	zdo not use	Mike Dailey
Response to Motion		
Barcode: 0000135288		Microfilm: 158-0001.0877.0000
3/27/2012	zdo not use	Robert D. Mitchell, Counsel
Response		
Barcode: 0000135408		Microfilm: 158-0001.1021.0000
4/4/2012	GM	Marc E. Stern, Administrative Law Judge - A.C.C.
Procedural Order - Grants a Miscellaneous Motion/Request		
Barcode: 0000135635		Microfilm: 159-0001.0149.0000
8/19/2014	-	Charles R. Berry
Notice of Appearance		
Barcode: 0000155396		Microfilm: 192-FF.0000.0302.0001
10/15/2014	zdo not use	Robert D. Mitchell
Withdrawal of Counsel		
Barcode: 0000156710		Microfilm: 194-FF.0000.0338.0001

# Arizona Corporation Commission Document List Report

**S-20814A-11-0313**

## **David Paul Smoot and Marie Kathleen Smoot**

<b>Filed Date</b>	<b>Document Type</b>	<b>Filed By</b>
10/23/2014	GM	Marc E. Stern, Administrative Law Judge - A.C.C.
Procedural Order - Grants a Miscellaneous Motion/Request		
Barcode: 0000156938		Microfilm: 194-FF.0000.0563.0001
7/26/2017	-	Brian C. Lake
Notice of Appearance		
Barcode: 0000181591		Microfilm:
8/3/2017	OP	Charles R. Berry
Motion/Request to Withdraw as Counsel		
Barcode: 0000181830		Microfilm:
8/14/2017	GM	Marc E. Stern, Administrative Law Judge - Hearing Division, A.C.C.
Procedural Order - Grants a Miscellaneous Motion/Request		
Barcode: 0000182032		Microfilm:
8/14/2017	GM	Marc E. Stern, Administrative Law Judge - Hearing Division, A.C.C.
Procedural Order - Grants a Miscellaneous Motion/Request		
Barcode: 0000182031		Microfilm:
8/18/2017	G	Brian Lake
Return Receipt/Green Card		
Barcode: 0000182170		Microfilm:
8/18/2017	G	Charles Berry
Return Receipt/Green Card		
Barcode: 0000182169		Microfilm:
8/21/2017	G	Michael Kimerer
Return Receipt/Green Card		
Barcode: 0000182180		Microfilm:
9/13/2017	R	Timothy Galligan
Returned Certified Mail		
Barcode: 0000182698		Microfilm:
12/19/2017	SE	Ryan J. Millecam, Atty - Securities Division, A.C.C.
Securities Division Motion/Request - Miscellaneous		
Barcode: 0000184616		Microfilm:
1/9/2018	SP	Marc E. Stern, Administrative Law Judge - Hearing Division, A.C.C.
Procedural Order - Sets a Procedural Schedule/Conference		
Barcode: 0000184932		Microfilm:

# Arizona Corporation Commission Document List Report

S-20814A-11-0313

## David Paul Smoot and Marie Kathleen Smoot

Filed Date	Document Type	Filed By
2/2/2018	S	Coash & Coash
Transcript - Securities		
Barcode: 0000185627		Microfilm:
2/23/2018	OP	Joseph E Mais, Atty.
Motion/Request to Dismiss		
Barcode: 0000186022		Microfilm:
3/16/2018	SE	Ryan J. Millecam, Atty. - Securities Division, A.C.C.
Securities Division Motion/Request - Miscellaneous		
Barcode: 0000186601		Microfilm:
4/6/2018	OP	Joseph E. Mais, Atty.
Response to Motion/Reply to Response to Motion		
Barcode: 0000187181		Microfilm:
5/9/2018	DM	Marc E. Stern, Administrative Law Judge - Hearing Division, A.C.C.
Procedural Order - Denies a Miscellaneous Motion/Request		
Barcode: 0000188269		Microfilm:
5/29/2018	OP	Brian C. Lake, Atty.
Motion/Request for Reconsideration of Ruling		
Barcode: 0000188668		Microfilm:
6/4/2018	SE	Ryan J. Millecam, Atty - Securities Division, A.C.C.
Securities Division Motion/Request - Miscellaneous		
Barcode: 0000188800		Microfilm:
6/11/2018	OP	Joseph E. Mais, Atty.
Motion/Request to Withdraw as Counsel		
Barcode: 0000189072		Microfilm:
6/11/2018		Mark Dinell, Assistant Director - Securities Division A.C.C.
Securities Division - Notice of Opportunity		
Barcode: 0000189082		Microfilm:
6/21/2018	OP	David P. Smoot
Request for Hearing		
Barcode: 0000189376		Microfilm:
6/21/2018	SE	Toni Brown (G. Flores or Perkins Coie, LLP)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000189377		Microfilm:

# Arizona Corporation Commission Document List Report

S-20814A-11-0313

## David Paul Smoot and Marie Kathleen Smoot

Filed Date	Document Type	Filed By
6/26/2018	OP	Timothy J. Galligan
Notice of Filing - Miscellaneous		
Barcode: 0000189439		Microfilm:
6/26/2018	OP	Timothy J. Galligan
Notice of Filing - Miscellaneous		
Barcode: 0000189440		Microfilm:
6/26/2018	OP	Timothy J. Galligan
Motion/Request - Miscellaneous		
Barcode: 0000189438		Microfilm:
6/26/2018	SE	Toni Brown (Timothy J. Galligan)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000189450		Microfilm:
6/27/2018	OP	Michael D. Kimerer, Atty.
Motion/Request - Miscellaneous		
Barcode: 0000189520		Microfilm:
7/9/2018	GM	Marc E. Stern, Administrative Law Judge - Hearing Division, A.C.C.
Procedural Order - Grants a Miscellaneous Motion/Request		
Barcode: 0000189846		Microfilm:
7/12/2018	OP	Timothy J. Galligan
Motion/Request - Miscellaneous		
Barcode: 0000189997		Microfilm:
7/12/2018	OP	Timothy J. Galligan
Notice of Filing - Miscellaneous		
Barcode: 0000189998		Microfilm:
7/12/2018	OP	Timothy J. Galligan
Notice of Filing - Miscellaneous		
Barcode: 0000189999		Microfilm:
7/12/2018	OP	Timothy J. Galligan
Notice of Filing - Miscellaneous		
Barcode: 0000190090		Microfilm:
7/13/2018	G	Charles Berry
Return Receipt/Green Card		
Barcode: 0000190122		Microfilm:

# Arizona Corporation Commission Document List Report

S-20814A-11-0313

## David Paul Smoot and Marie Kathleen Smoot

Filed Date	Document Type	Filed By
7/16/2018	G	Michael Kimerer
Return Receipt/Green Card		
Barcode: 0000190202		Microfilm:
7/16/2018	G	Timothy Galligan
Return Receipt/Green Card		
Barcode: 0000190204		Microfilm:
7/16/2018	G	Brian Lake
Return Receipt/Green Card		
Barcode: 0000190203		Microfilm:
7/18/2018	GM	Marc E. Stern, Administrative Law Judge - Hearing Division, A.C.C.
Procedural Order - Grants a Miscellaneous Motion/Request		
Barcode: 0000190310		Microfilm:
7/19/2018	SE	Ryan J. Millecam, Atty - Securities Division, A.C.C.
Securities Division Response to Motion/Reply to Response to Motion		
Barcode: 0000190404		Microfilm:
7/20/2018	G	Michael Kimerer
Return Receipt/Green Card		
Barcode: 0000190424		Microfilm:
7/20/2018	G	Brian Lake
Return Receipt/Green Card		
Barcode: 0000190425		Microfilm:
7/23/2018	G	Charles Berry
Return Receipt/Green Card		
Barcode: 0000190492		Microfilm:
7/27/2018	GM	Marc E. Stern, Administrative Law Judge - Hearing Division, A.C.C.
Procedural Order - Grants a Miscellaneous Motion/Request		
Barcode: 0000190674		Microfilm:
8/1/2018	G	Michael Kimerer
Return Receipt/Green Card		
Barcode: 0000190797		Microfilm:
8/2/2018	G	Timothy Galligan
Return Receipt/Green Card		
Barcode: 0000190829		Microfilm:

# Arizona Corporation Commission Document List Report

**S-20814A-11-0313**

## **David Paul Smoot and Marie Kathleen Smoot**

<b>Filed Date</b>	<b>Document Type</b>	<b>Filed By</b>
9/14/2018	SE	Timothy J. Galligan, Atty. and Michael D. Kimerer, Atty.
Securities		
Barcode: 0000192200		Microfilm:
9/21/2018	P	Marc E. Stern, Administrative Law Judge
Procedural Order - Sets a Pre-Hearing		
Barcode: 0000192353		Microfilm:
9/27/2018	G	Timothy Galligan
Return Receipt/Green Card		
Barcode: 0000192487		Microfilm:
10/1/2018	G	Michael Kimerer
Return Receipt/Green Card		
Barcode: 0000192582		Microfilm:
11/15/2018	S	Coash & Coash
Transcript - Securities		
Barcode: 0000193716		Microfilm:
12/28/2018	SE	Ryan Millecam, Atty.
Securities Division Motion/Request - Miscellaneous		
Barcode: 0000194744		Microfilm:
1/9/2019	SE	Toni Brown (S. Thompson)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000194980		Microfilm:
1/10/2019	H	Marc E. Stern, Administrative Law Judge
Procedural Order - Sets a Hearing		
Barcode: 0000195034		Microfilm:
1/17/2019	G	Michael Kimerer
Return Receipt/Green Card		
Barcode: 0000195216		Microfilm:
1/18/2019	G	Timothy Galligan
Return Receipt/Green Card		
Barcode: 0000195238		Microfilm: