

Arizona Corporation Commission Document List Report

S-21038A-18-0022

Ronald Horn; Daniel Rondberg and Jennifer Rondberg; Randy and Katherine Rondberg; Jason Walter and Samantha Walter; John Walter and Janis Walter; Trager, L.L.C.

Filed Date	Document Type	Filed By
1/29/2018	S	Matthew J. Neubert, Director of Securities, A.C.C
Application - Securities		
Barcode: 0000186622		Microfilm:
2/8/2018	SE	Jerry Lowe (Randall Rondberg)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000185804		Microfilm:
2/8/2018	SE	Jerry Lowe (Trager, LLC)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000185805		Microfilm:
2/8/2018	SE	Jerry Lowe (Daniel Rondberg)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000185806		Microfilm:
2/8/2018	SE	Jerry Lowe (Ronald Horn)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000185807		Microfilm:
2/8/2018	SE	Jerry Lowe (Katherine Rondberg)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000185808		Microfilm:
2/8/2018	SE	Jerry Lowe (Jennifer Rondberg)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000185809		Microfilm:
2/8/2018	SE	Jerry Lowe (Jason Walter)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000185810		Microfilm:
2/8/2018	SE	Jerry Lowe (Samantha Walter)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000185811		Microfilm:
2/8/2018	SE	Jerry Lowe (John Walter)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000185812		Microfilm:
2/8/2018	SE	Jerry Lowe (Janis Walter)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000185813		Microfilm:

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Filed Date	Document Type	Filed By
2/14/2018	OP	Paul J. Roshka, Jr., Atty.
Request for Hearing		
Barcode: 0000185887		Microfilm:
2/15/2018	SE	Jerry Lowe (Randy Rondberg)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000185905		Microfilm:
3/1/2018	OP	Paul J. Roshka, Jr., Atty. and Paul Kitchin, Atty.- Securities Division
Stipulation		
Barcode: 0000186163		Microfilm:
3/2/2018	SE	Paul J. Roshka, Jr., Atty.
Securities		
Barcode: 0000186202		Microfilm:
3/5/2018	P	Marc E. Stern, Administrative Law Judge - Hearing Division, A.C.C.
Procedural Order - Sets a Pre-Hearing		
Barcode: 0000186211		Microfilm:
3/6/2018	SE	Jerry Lowe (Randy Rondberg)
Securities Division Affidavit/Certification of Mailing/Publication/Notice/Service		
Barcode: 0000186248		Microfilm:
3/13/2018	G	Paul J. Roshka, Jr., Craig M. Waugh and Isabella M. Leavitt
Return Receipt/Green Card		
Barcode: 0000186524		Microfilm:
4/6/2018	S	Coash & Coash
Transcript - Securities		
Barcode: 0000187209		Microfilm:
4/10/2018	H	Marc E. Stern, Administrative Law Judge - Hearing Division, A.C.C.
Procedural Order - Sets a Hearing		
Barcode: 0000187361		Microfilm:
4/16/2018	G	Paul J. Roshka, Jr., Craig M. Waugh and Isabella M. Leavitt
Return Receipt/Green Card		
Barcode: 0000187516		Microfilm:
4/20/2018	OP	Paul J. Roshka, Jr., Atty.
Motion/Request - Miscellaneous		
Barcode: 0000187653		Microfilm:

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Filed Date	Document Type	Filed By
5/4/2018	SE	Paul Kitchin, Atty.- Securities Division
Securities Division Response to Motion/Reply to Response to Motion		
Barcode: 0000188201		Microfilm:
5/16/2018	OP	Craig M. Waugh, Atty.
Response to Motion/Reply to Response to Motion		
Barcode: 0000188411		Microfilm:
5/25/2018	HV	Marc E. Stern, Administrative Law Judge - Hearing Division, A.C.C.
Procedural Order - Vacates a Hearing		
Barcode: 0000188612		Microfilm:
5/30/2018	SE	Paul Kitchin, Atty - Securities Division
Securities Division Motion/Request - Miscellaneous		
Barcode: 0000188688		Microfilm:
6/4/2018	G	Paul J. Roshka, Jr., Atty.
Return Receipt/Green Card		
Barcode: 0000188771		Microfilm:
6/5/2018	OP	Craig M. Waugh, Atty.
Response to Motion/Reply to Response to Motion		
Barcode: 0000188814		Microfilm:
7/30/2018	SE	Paul Kitchin, Atty.- Securities Division
Securities Division Motion/Request - Miscellaneous		
Barcode: 0000190704		Microfilm:
8/20/2018	OP	Craig M. Waugh, Atty.
Response to Motion/Reply to Response to Motion		
Barcode: 0000191426		Microfilm:
8/23/2018	SE	Paul Kitchin, Atty.
Securities Division Response to Motion/Reply to Response to Motion		
Barcode: 0000191533		Microfilm:
10/4/2018	SP	Marc E. Stern, Administrative Law Judge
Procedural Order - Sets a Procedural Schedule/Conference		
Barcode: 0000192668		Microfilm:
10/4/2018	RE	Marc E. Stern, Administrative Law Judge
Procedural Order - Regarding Consent to Email Service		
Barcode: 0000192669		Microfilm:

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Filed Date	Document Type	Filed By
10/11/2018	G	Paul Roshka, Atty.
Return Receipt/Green Card		
Barcode: 0000192831		Microfilm:
10/18/2018	OP	Paul J. Roshka, Jr., Atty.
Consent to Email Service		
Barcode: 0000192959		Microfilm:
10/29/2018	E	Marc E. Stern, Administrative Law Judge
Procedural Order - Approving Consent to Email Service		
Barcode: 0000193175		Microfilm:
11/19/2018	S	Coash & Coash
Transcript - Securities		
Barcode: 0000193749		Microfilm:
11/30/2018	OP	Craig M. Waugh, Atty.
Motion/Request for the Issuance of a Procedural Order		
Barcode: 0000194047		Microfilm:
1/4/2019	SE	Paul Kitchin, Atty.
Securities Division Response to Motion/Reply to Response to Motion		
Barcode: E000000281		Microfilm:
1/18/2019	OP	Craig M. Waugh, Atty.
Response to Motion/Reply to Response to Motion		
Barcode: 0000195258		Microfilm:
2/22/2019	SE	Paul Kitchin, Atty.
Securities Division Notice of Filing - Miscellaneous		
Barcode: E000000375		Microfilm:
2/22/2019	SP	Marc E. Stern, Administrative Law Judge
Procedural Order - Sets a Procedural Schedule/Conference		
Barcode: 0000196232		Microfilm:
2/27/2019	G	Paul Roshka, Atty.
Return Receipt/Green Card		
Barcode: 0000196351		Microfilm:
3/22/2019	H	Marc E. Stern, Administrative Law Judge
Procedural Order - Sets a Hearing		
Barcode: 0000196864		Microfilm:

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3/29/2019	G	Paul Roshka, Atty.
Return Receipt/Green Card		
Barcode: 0000196989		Microfilm:
4/8/2019	S	Coash & Coash
Transcript - Securities		
Barcode: 0000197155		Microfilm:
5/24/2019	OP	Paul J. Roshka, Jr., Atty.
Motion/Request for an Extension of Time		
Barcode: 0000198248		Microfilm:
5/29/2019	REF	Marc E. Stern, Administrative Law Judge
Procedural Order - Regarding eFiling		
Barcode: E000000950		Microfilm:
5/30/2019	OP	Paul J. Roshka, Jr., Atty.
Motion/Request for an Extension of Time		
Barcode: 0000198333		Microfilm:
7/3/2019	SE	Paul Kitchin, Atty.
Securities Division Response		
Barcode: E000001581		Microfilm:
7/3/2019	OP	Paul J. Roshka, Jr., Atty.
Notice of Filing - Miscellaneous		
Barcode: 0000198896		Microfilm:
7/9/2019	OP	Paul Kitchin, Atty. and Craig Waugh, Atty.
Motion/Request - Miscellaneous		
Barcode: E000001608		Microfilm:
7/11/2019	SP	Marc E. Stern, Administrative Law Judge
Procedural Order - Sets a Procedural Schedule/Conference		
Barcode: E000001764		Microfilm:
7/17/2019	G	Paul Roshka, Atty.
Return Receipt/Green Card		
Barcode: 0000199078		Microfilm:
7/19/2019	OP	Paul Kitchin, Atty.
Motion/Request - Miscellaneous		
Barcode: E000001991		Microfilm:

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7/29/2019	OP	Paul J. Roshka, Jr., Atty. and Paul Kitchin, Atty.
Stipulation		
Barcode: E000002117		Microfilm:
8/1/2019	OP	Paul J. Roshka, Jr., Atty. and Paul Kitchin, Atty.
Stipulation		
Barcode: E000002225		Microfilm:
8/1/2019	OP	Paul Kitchin, Atty.
Motion/Request - Miscellaneous		
Barcode: E000002234		Microfilm:
8/5/2019	S	Coash & Coash
Transcript - Securities		
Barcode: 0000199301		Microfilm:
8/7/2019	OP	Paul Kitchin, Atty. and Paul J. Roshka, Atty.
Motion/Request to Continue a Hearing		
Barcode: E000002300		Microfilm:
8/7/2019	GM	Marc E. Stern, Administrative Law Judge
Procedural Order - Grants a Miscellaneous Motion/Request		
Barcode: E000002304		Microfilm:
8/8/2019	HV	Marc E. Stern, Administrative Law Judge
Procedural Order - Vacates a Hearing		
Barcode: E000002317		Microfilm:
8/15/2019	G	Paul Roshka, Atty.
Return Receipt/Green Card		
Barcode: 0000199416		Microfilm:
8/27/2019	S	Mark Dinell, Director
Proposed Consent Order from the Securities Division		
Barcode: 0000199513		Microfilm:
8/27/2019	S	Mark Dinell, Director
Proposed Consent Order from the Securities Division		
Barcode: 0000199509		Microfilm:
8/27/2019	S	Mark Dinell, Director
Proposed Consent Order from the Securities Division		
Barcode: 0000199507		Microfilm:

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8/27/2019	S	Mark Dinell, Director
Proposed Consent Order from the Securities Division		
Barcode: 0000199511		Microfilm:
8/27/2019	S	Mark Dinell, Director
Proposed Consent Order from the Securities Division		
Barcode: 0000199512		Microfilm:
8/27/2019	S	Mark Dinell, Director
Proposed Consent Order from the Securities Division		
Barcode: 0000199510		Microfilm:
9/6/2019		Matthew J. Neubert, Executive Director
Open Meeting Agenda		
Barcode: 0000199573		Microfilm:
9/11/2019	CD	A.C.C. (#77395)
Decision - Order to Cease & Desist		
Barcode: 0000199649		Microfilm:
9/11/2019	CD	A.C.C. (#77396)
Decision - Order to Cease & Desist		
Barcode: 0000199650		Microfilm:
9/11/2019	CD	A.C.C. (#77397)
Decision - Order to Cease & Desist		
Barcode: 0000199651		Microfilm:
9/11/2019	CD	A.C.C. (#77398)
Decision - Order to Cease & Desist		
Barcode: 0000199652		Microfilm:
9/11/2019	CD	A.C.C. (#77399)
Decision - Order to Cease & Desist		
Barcode: 0000199653		Microfilm:
9/11/2019	CD	A.C.C. (#77400)
Decision - Order to Cease & Desist		
Barcode: 0000199654		Microfilm:
9/17/2019	G	Paul J. Roshka, Jr., Atty.
Return Receipt/Green Card		
Barcode: 0000199695		Microfilm: