

NOTICES OF RULEMAKING DOCKET OPENING

The Administrative Procedure Act (APA) requires the publication of Notices of Rulemaking Docket Opening whenever an agency opens a rulemaking docket to consider rulemaking. Under the APA effective January 1, 1995, agencies must submit a Notice of Rulemaking Docket Opening before beginning the formal rulemaking process.

NOTICE OF RULEMAKING DOCKET OPENING

CORPORATION COMMISSION - SECURITIES DIVISION

- 1. Title and its heading:** 14, Public Service Corporations; Corporations and Associations; Securities Regulation
Chapter and its heading: 4, Securities
Article and its heading: 1, In General Relating to the Securities Act
Section numbers: R14-4-115 (Other Sections may be added, deleted or modified).
- 2. Subject matter of proposed rules:**
R14-4-115 specifies the recognized securities exchanges for purposes of the exchange exemption in A.R.S. § 44-1843(A)(7).
Agency docket number:
Docket Number RS-00000A-01-0004
- 3. A citation to all published notices relating to the proceeding:**
None
- 4. The name and address of agency personnel with whom persons may communicate regarding the rule:**
Name: Sharleen A. Day
Associate General Counsel

Address: Arizona Corporation Commission
Securities Division
1300 West Washington, Third Floor
Phoenix, AZ 85007

Telephone: (602) 542-4242
Fax: (602) 594-7471
- 5. Time during which the agency will accept written comments:**
Written comments will be accepted Monday through Friday between the hours of 8:00 a.m. and 5:00 p.m.

Time and place where oral comments may be made:
Monday through Friday between the hours of 8:00 a.m. and 5:00 p.m., at the Securities Division as noted in Question #4. No hearing date has been set.
- 6. A timetable for agency decisions or other action on the proceeding, if known:**
Not known