

STATE OF UTAH  
OFFICE OF THE ATTORNEY GENERAL



MARK L. SHURTLEFF  
ATTORNEY GENERAL

Protecting Utah • Protecting You

RAYMOND HINTZE  
Chief Deputy

KIRK TORGENSEN  
Chief Deputy

This says: "The Great Seal of the State of Utah" Who is running things here? Commerce Department?

May 19, 2005

This is What a "Fishing Expedition" looks like when the Securities Division discovers it does not have a case, but they are still determined to "get" you. This is after 2 1/2 years, and they had never alleged a crime.

Still fishing for something.

[Redacted]  
Salt Lake City, UT 84111

Re: Division of Securities v [Redacted]

Dear [Redacted]

As a follow up to the telephone conference with ALJ Jensen on discovery and other matters on May 9, 2005, this letter will memorialize the Division's request. The Division wants the following documents from [Redacted]

1. Please provide legible copies of all correspondence, e-mail letters, faxes, recordings, exams, files, records, applications, notes, communications, spreadsheets, pictures, graphs, illustrations, presentations, handouts, examples, samples, prospectuses, forms, minutes, loans, lawsuits, arbitrations, statements, receipts, payments fines, and documentation relating in any way to the following individuals, entities, businesses, employees and/or associates, including, where applicable, any and all documentation prepared in response to regulatory or SRO inquiries, actions, or examinations:

- Securities and Exchange Commission

- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]

- Any and all documents [Redacted] broker-dealer agent between 1990 and 2002.

- Insurance Companies
  - Putnam
  - Manufacturers Life

Jurisdiction?  
Relevance?







██████████  
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3. Please provide the Division with copies of ██████████ personnel files from ██████████  
██████████ These should include, but are not limited to:


- appointments to insurance companies
- CRD records, contracts with any of the individuals or entities set forth above
- pay structures
- general agency contracts
- pay stubs or similar document
- commission statements.



Jurisdiction?  
Relevance?

Please feel free to contact us with any questions. Thank you for your assistance in this matter.

Sincerely,

  
Jeffrey Buckner  
Assistant Attorney General