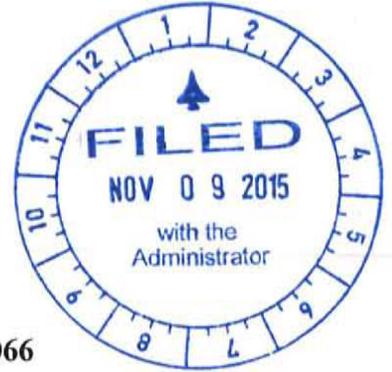


STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES



STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES  
ENFORCEMENT DIVISION

ODS File No. 13-066

vs.

ANTHONY RAY STACY, an individual  
(CRD #1772484)  
PVPE, LLC

Respondents

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)  
)  
)  
)  
)  
)

**RESPONDENT STACY'S PRELIMINARY LIST OF WITNESSES, DOCUMENTS,  
EXHIBITS**

I respectfully submit my preliminary list of witnesses, documents, and exhibits. I reserve the right to supplement this list based on other information or developments that may subsequently arise.

**WITNESSES**

1. Anthony R. Stacy, 9233 E Canyon View Road, Scottsdale AZ, 85255; 602.672.8835; has knowledge of facts surrounding this matter as owner of General Partner
2. Paul Ross, address not known; [REDACTED]; has knowledge of facts surrounding this matter of owner of General Partner
3. Martin Garber, address not known; [REDACTED]; has knowledge of facts surrounding this matter as owner of General Partner
4. Cal Purdin, address not known; [REDACTED]; has knowledge of facts surrounding this matter as owner of General Partner

5. Scott Tominaga, [REDACTED]; phone number not known; prepared books and records for both funds from 2011-2013 and has knowledge of all financial transactions during that period
6. Rafael Wiesenberg, phone number and address not known, in the McGladrey office, Chicago IL; auditor for Palo Verde Fund from 2007-2013 and has knowledge of both funds and their financial transactions
7. Valerie Lynch, address not known, [REDACTED]; Admin Assistant to the General Partner for all years Fund(s) existed; will have knowledge of Fund documents
8. Donald Pizziferro, address and phone number not known; in Chicago office of Liccar & Company; prepared books and records for both Palo Verde Fund from 2007-2010 and has knowledge of all financial transactions during that period
9. Ron Stone, consultant to both funds from 2012-2013; address not known; 480.206.9696; may have knowledge pertinent to this matter
10. Peter Davis, receiver for both funds, [REDACTED]; may have knowledge pertinent this matter
11. Bob Mottern, served as legal counsel to both funds, address not known; 404.607.6933 last known phone number; will have knowledge pertaining to transactions of both funds
12. All witnesses necessary to authenticate exhibits
13. All witnesses necessary for rebuttal

#### **DOCUMENTS, EXHIBITS**

1. PPM(s) of the Palo Verde Fund, L.P. and the Palo Verde Private Equity Fund, L.P.

2. Limited Partnership Agreements of the Palo Verde Fund, L.P. and the Palo Verde Private Equity Fund, L.P.
3. May 31, 2011 Consent of Investors
4. Inter Fund loan agreement(s) between Palo Verde Fund, L.P. and Palo Verde Private Equity Fund, L.P.
5. Financial Statements of the Palo Verde Fund, L.P. and Palo Verde Private Equity Fund, L.P.
6. All documents pertaining to transaction between Palo Verde Fund, L.P. and Arkoma Natural Gas, Palo Verde Energy Fund, LLC
7. All documents pertaining to any Order between Arizona Corporation Commission and Anthony R Stacy
8. All documents filed in this matter
9. All exhibits listed by State of Oklahoma
10. All exhibits necessary for rebuttal

Respectfully submitted,

s/Anthony R. Stacy  
Anthony R. Stacy  
9233 E. Canyon View Road  
Scottsdale, AZ 85255  
602.672.8835  
tstacy911@gmail.com

**CERTIFICATE OF SERVICE**

The undersigned hereby certifies that on the 6th day of November, 2015, a true and correct copy of the above and foregoing document was emailed to:

Terra Shamas Bonnell  
Oklahoma Department of Securities  
204 North Robinson, Suite 400  
Oklahoma City, OK 73102  
tbonnell@securities.ok.gov

s/Anthony R. Stacy