BEFORE THE PRESIDING DISCIPLINARY JUDGE

IN THE MATTER OF A MEMBER OF THE STATE BAR OF ARIZONA,

KRISTOPHER E. HALVORSON, Bar No. 016525

Respondent.

PDJ-2015-9001

[State Bar File Nos. 14-1937, 14-2409, 14-2595]

AMENDED FINAL JUDGMENT AND ORDER

FILED MAY 19, 2015

This matter having come on for hearing before the Hearing Panel of the Supreme Court of Arizona, it having duly rendered its decision and no appeal having been filed and the time to appeal having expired, accordingly,

IT IS HEREBY ORDERED Respondent KRISTOFER E. HALVORSON, is suspended from the practice of law for a period of one (1) year effective April 10, 2015, for conduct in violation of his duties and obligations as a lawyer as disclosed in the Hearing Panel's Amended Decision and Order Imposing Sanctions.

IT IS FURTHER ORDERED Respondent shall pay the following in restitution within 30 days from the date of the Hearing Panel's Decision and Order Imposing Sanctions filed April 10, 2015:

\$4675.00 to Jerry Murphy (Count One);

\$6633.50 to Robert Kuehne (Count Two); and

\$750.00 to Kevin Cummings (Count Three)

IT IS FURTHER ORDERED that Respondent pay the costs and expenses of the State Bar of Arizona in the amount of \$2,019.20.

IT IS FURTHER ORDERED Respondent shall immediately comply with the requirements relating to notification of clients and others, and provide and/or file all notices and affidavits required by Rule 72, Ariz. R. Sup. Ct.

DATED this 19th day of May, 2015.

William J. O'Neil

William J. O'Neil, Presiding Disciplinary Judge

COPY of the foregoing e-mailed/mailed this 19th day of May, 2015, to:

Craig D. Henley Senior Bar Counsel State Bar of Arizona 4201 N. 24th Street, Suite 100 Phoenix, AZ 85016-6266 Email: Iro@staff.azbar.org

Kristofer E. Halvorson 1757 East Baseline Road, Suite 130 Gilbert, AZ 85233-1534 Email: Halvorson@tmpatentlaw.com Respondent

Lawyer Regulation Records Manager State Bar of Arizona 4201 North 24th Street, Suite 200 Phoenix, Arizona 85016-6288

by: JAlbright

BEFORE THE PRESIDING DISCIPLINARY JUDGE

IN THE MATTER OF A SUSPENDED MEMBER OF THE STATE BAR OF ARIZONA,

KRISTOFER E. HALVORSON, Bar No. 016525

Respondent.

PDJ 2015-9001

AMENDED
DECISION AND ORDER IMPOSING
SANCTIONS

[State Bar No. 14-1937, 14-2409, 14-2595]

FILED APRIL 10, 2015

PROCEDURAL HISTORY

The State Bar of Arizona ("SBA") filed its complaint on January 5, 2015. On January 7, 2015, the complaint was served on Mr. Halvorson by certified, delivery restricted mail, and by regular first class mail, under Rules 47(c) and 58(a)(2), Ariz. R. Sup. Ct. The Presiding Disciplinary Judge ("PDJ") was assigned to the matter. The disciplinary clerk entered default and under Supreme Court Rule 58(d) served a copy of the notice of default upon Mr. Halverson on February 3, 2015. That default was properly effective on February 24, 2015, at which time a notice of aggravation and mitigation hearing was sent to all parties notifying them the aggravation mitigating hearing was scheduled for March 26, 2015 at 9:30 a.m., at the State Courts Building, 1501 West Washington, Phoenix, Arizona 85007-3231. On March 26, 2015, the Hearing Panel, composed of Ralph Wexler, attorney member, and Richard L. Westby, public member, and the Presiding Disciplinary Judge, William J. O'Neil, heard the

case. Complainants Richard Kuehen and Kevin Cummings testified regarding fees paid to Mr. Halvorson prior to their abandonment by Mr. Halvorson and to support their request for restitution. Exhibits 1-27 were admitted.

The purpose of the aggravation/mitigation hearing is not only to weigh mitigating and aggravating factors, but also to assure there is a nexus between a respondent's conduct deemed admitted and the merits of the SBA's case. A respondent against whom a default has been entered and effective may no longer litigate the merits of the factual allegations. However, the respondent retains the right to appear and participate concerning that nexus and the sanctions sought. Included with that right to appear is the right to dispute the allegations relating to aggravation and to offer evidence in mitigation. Mr. Halvorson was afforded these rights.

Due process requires a hearing panel to independently determine whether, under the facts deemed admitted, ethical violations have been proven by clear and convincing evidence. The facts deemed admitted constitute ethical violations. The hearing panel must also exercise discretion in deciding whether sanctions should issue for the respondent's misconduct. We find the actions of Mr. Halvorson warrant sanctions. If the hearing panel finds that sanctions are warranted, then it independently determines which sanctions should be imposed. It is not the function of a hearing panel to endorse or "rubber stamp" any request for sanctions. The State Bar requests one year suspension followed by two years of probation. We find such a suspension satisfies the purpose of lawyer discipline.

The facts listed below are those set forth in the SBA's complaint and were deemed admitted by Mr. Halvorson's default. The State Bar advised that during the

investigative stages of these matters, Bar Counsel met with Mr. Halvorson at the State Bar offices. Bar Counsel stated Mr. Halvorson made it clear he had obtained alternate employment in another industry. Mr. Halvorson also informed Bar Counsel of his receipt of e-mails sent by staff at the State Bar but then Mr. Halvorson failed to participate further in the investigation. Mr. Halvorson did not appear at the hearing.

FINDINGS OF FACT

- 1. Mr. Halvorson was a lawyer licensed to practice law in Arizona having been first admitted to practice in Arizona on October 21, 1995.
- 2. Mr. Halvorson was summarily suspended for failure to comply with Rule 45, mandatory continuing legal education requirements effective February 27, 2015, and remains suspended.

COUNT ONE (File No. 14-1937/Murphy)

- 2. On May 14, 2012, Complainant hired Mr. Halvorson to obtain a certain patent with the United States Patent Office ("USPO").
- 3. Mr. Halvorson filed an application with the USPO (13506745). However, when Complainant attempted to determine the status of the application, Complainant learned Mr. Halvorson abandoned his office and had his phone number disconnected. Similarly, Mr. Halvorson failed to respond to any of Complainant's e-mails.
- 4. Approximately two years later, Complainant located Mr. Halvorson and requested information and documents regarding the application.
- 5. While Mr. Halvorson initially indicated that he received no response from the USPO, Complainant has received no information or documents and has been unsuccessful in contacting Mr. Halvorson for months.

- 6. On October 17, 2014, the State Bar by regular U. S. mail, mailed to Mr. Halvorson's address of record, an initial screening letter requesting that a response to the allegations be provided within twenty days. The initial screening letter also informed Mr. Halvorson that his failure to fully and honestly respond to, or cooperate with the investigation are grounds for discipline under Rule 54(d) and Rule 42, Ariz. R. Sup. Ct., ER 8.1(b). The letter was returned and marked "moved, left no address unable to forward, return to sender". [Exhibits 2 and 3.]
- 7. On October 23, 2014, the State Bar by regular U.S. mail, mailed to Mr. Halvorson's address of record, mailed Mr. Halvorson a second request for a response to be provided within ten days. The second letter again informed Mr. Halvorson that his failure to fully and honestly respond to, or cooperate with the investigation are grounds for discipline. The letter was returned and marked "moved, left no address unable to forward, return to sender". [Exhibits 5 and 6.]
- 8. To date, Mr. Halvorson has not provided the State Bar with a written response to Complainant's allegations.
- 9. By engaging in the above listed misconduct, Mr. Halvorson violated the following ethical rules:
 - a) Rule 42, Ariz. R. Sup. Ct., ER 1.2 by failing to abide to his client's decisions to obtain a patent.
 - b) Rule 42, Ariz. R. Sup. Ct., ER 1.3 by failing to act diligently throughout his representation of his client.
 - c) Rule 42, Ariz. R. Sup. Ct., ER 1.4 by failing to reasonably communicate with his client regarding the status of the case or respond to inquiries by the client.
 - d) We decline to find a violation of Rule 42, Ariz. R. Sup. Ct., ER 1.5 for charging, collecting and retaining unreasonable fees during the representation not communicated to the client by writing. It is clear no

- work was done. However we have insufficient information to determine if the fee charged was unreasonable for the work to be performed.
- e) Rule 42, Ariz. R. Sup. Ct., ER 1.15 by failing to provide an accounting and failing to return unearned fees to the client.
- f) Rule 42, Ariz. R. Sup. Ct., ER 1.16 by failing to properly withdraw from the representation and take the steps to the extent reasonably practicable to protect a client's interests.
- g) Rule 42, Ariz. R. Sup. Ct., ER 8.1(b) by knowingly failing to respond to a lawful demand for information from the disciplinary authority for the instant investigation.
- h) Rule 42, Ariz. R. Sup. Ct., ER 8.4(d) by engaging in conduct which was prejudicial to the administration of justice.
- i) Rule 54(d)(2), Ariz. R. Sup. Ct. by refusing to cooperate, furnish information or respond promptly to any inquiry or request from bar counsel relevant to the pending charges.

COUNT TWO (File No. 14-2409)

- 10. By November 18, 2011, the Complainant in Count Two hired Mr. Halvorson to obtain a certain patent with the United States Patent Office.
- 11. While Mr. Halvorson filed an application with the USPO (29395064), when Complainant attempted to determine the status of the application, Complainant learned that Mr. Halvorson abandoned his office and had his phone number disconnected. Similarly, Mr. Halvorson failed to respond to any of Complainant's emails.
- 12. Approximately two years later, Complainant located Mr. Halvorson and requested information and documents regarding the application.
- 13. While Mr. Halvorson initially indicated that he received no response from the USPO, Complainant has received no information or documents and has been unsuccessful in contacting Mr. Halvorson for months.

- 14. On September 4, 2014, the State Bar mailed Mr. Halvorson an initial screening letter requesting that a response to the allegations be provided within twenty days. The initial screening letter also informed Mr. Halvorson that his failure to fully and honestly respond to, or cooperate with the investigation are grounds for discipline under Rule 54(d) and Rule 42, Ariz. R. Sup. Ct., ER 8.1(b).
- 15. On October 23, 2014, the State Bar mailed Mr. Halvorson a second request for a response to be provided within ten days. The second letter again informed Mr. Halvorson that his failure to fully and honestly respond to, or cooperate with the investigation are grounds for discipline.
- 16. To date, Mr. Halvorson has not provided the State Bar with a written response to Complainant's allegations.
- 17. By engaging in the above listed misconduct, Mr. Halvorson violated the following ethical rules in each count:
 - a) Rule 42, Ariz. R. Sup. Ct., ER 1.2 by failing to abide to his client's decisions to obtain a patent.
 - b) Rule 42, Ariz. R. Sup. Ct., ER 1.3 by failing to act diligently throughout his representation of his client.
 - c) Rule 42, Ariz. R. Sup. Ct., ER 1.4 by failing to reasonably communicate with his client regarding the status or respond to inquiries by the client.
 - d) We decline to find a violation of Rule 42, Ariz. R. Sup. Ct., ER 1.5 for charging, collecting and retaining unreasonable fees during the representation not communicated to the client by writing. It is clear no work was done. However we have insufficient information to determine if the fee charged was unreasonable for the work to be performed.
 - e) Rule 42, Ariz. R. Sup. Ct., ER 1.15 by failing to provide an accounting and failing to return unearned fees to the client.
 - f) Rule 42, Ariz. R. Sup. Ct., ER 1.16 by failing to properly withdraw from the representation and try to the extent reasonably practicable to protect a client's interests.

- g) Rule 42, Ariz. R. Sup. Ct., ER 8.1(b) by knowingly failing to respond to a lawful demand for information from the disciplinary authority for the instant investigation.
- h) Rule 42, Ariz. R. Sup. Ct., ER 8.4(d) by engaging in conduct which was prejudicial to the administration of justice.
- i) Rule 54(d)(2), Ariz. R. Sup. Ct. by refusing to cooperate, furnish information or respond promptly to any inquiry or request from bar counsel relevant to the pending charges.

COUNT THREE (File No. 14-2595)

- 18. By June 27, 2012, the Complainant in Count Three hired Mr. Halvorson to obtain a certain patent with the United States Patent Office.
- 19. While Mr. Halvorson filed an application with the USPO (85840199), when Complainant attempted to determine the status of the application, Complainant learned that Mr. Halvorson abandoned his office and had his phone number disconnected. Similarly, Mr. Halvorson failed to respond to any of Complainant's emails.
- 20. Approximately two years later, Complainant located Mr. Halvorson and requested information and documents regarding the application.
- 21. While Mr. Halvorson initially indicated he did not receive a response from the USPO, Complainant has received no information or documents and has been unsuccessful in contacting Mr. Halvorson for months.
- 22. On October 17, 2014, the State Bar mailed Mr. Halvorson an initial screening letter requesting that a response to the allegations to be provided within twenty days. The initial screening letter also informed Mr. Halvorson that his failure to fully and honestly respond to, or cooperate with the investigation are grounds for discipline under Rule 54(d) and Rule 42, Ariz. R. Sup. Ct., ER 8.1(b).

- 23. On October 23, 2014, the State Bar mailed Mr. Halvorson a second request for a response to be provided within ten days. The second letter again informed Mr. Halvorson that his failure to fully and honestly respond to, or cooperate with the investigation are grounds for discipline.
- 24. To date, Mr. Halvorson has not provided the State Bar with a written response to Complainant's allegations.
- 25. By engaging in the above listed misconduct, Mr. Halvorson violated the following ethical rules in each count:
 - a) Rule 42, Ariz. R. Sup. Ct., ER 1.2 by failing to abide to his client's decisions to obtain a patent.
 - b) Rule 42, Ariz. R. Sup. Ct., ER 1.3 by failing to act diligently throughout his representation of his client.
 - c) Rule 42, Ariz. R. Sup. Ct., ER 1.4 by failing to reasonably communicate with his client regarding the status or respond to inquiries by the client.
 - d) We decline to find a violation of Rule 42, Ariz. R. Sup. Ct., ER 1.5 for charging, collecting and retaining unreasonable fees during the representation not communicated to the client by writing. It is clear no work was done. However we have insufficient information to determine if the fee charged was unreasonable for the work to be performed.
 - e) Rule 42, Ariz. R. Sup. Ct., ER 1.15 by failing to provide an accounting and failing to return unearned fees to the client.
 - f) Rule 42, Ariz. R. Sup. Ct., ER 1.16 by failing to properly withdraw from the representation and take the steps to the extent reasonably practicable to protect a client's interests.
 - g) Rule 42, Ariz. R. Sup. Ct., ER 8.1(b) by knowingly failing to respond to a lawful demand for information from the disciplinary authority for the instant investigation.
 - h) Rule 42, Ariz. R. Sup. Ct., ER 8.4(d) by engaging in conduct which was prejudicial to the administration of justice.
 - i) Rule 54(d)(2), Ariz. R. Sup. Ct. by refusing to cooperate, furnish information or respond promptly to any inquiry or request from bar counsel relevant to the pending charges.

CONCLUSIONS OF LAW

Mr. Halvorson failed to file an answer or otherwise defend against the allegations in the SBA's complaint. Default was properly entered and the allegations are therefore deemed admitted under Rule 58(d), Ariz. R. Sup. Ct. Although the allegations are deemed admitted by default, there has also been an independent determination by the Hearing Panel that the State Bar has proven by clear and convincing evidence that Respondent violated the ethical rules.

The Hearing Panel finds by clear and convincing evidence Mr. Halvorson violated the following ethical rules in each of the three counts: Rule 42, Ariz. R. Sup. Ct., specifically ERs 1.2, 1.3, 1.4, 1.5, 1.16, 8.1(b), 8.4(d) and Rule 54(d)(2).

ABA STANDARDS ANALYSIS

The American Bar Association's *Standards for Imposing Lawyer Sanctions* ("*Standards"*) are a "useful tool in determining the proper sanction." *In re Cardenas*, 164 Ariz. 149, 152, 791 P.2d 1032, 1035 (1990). In imposing a sanction, the following factors should consider: (1) the duty violated; (2) the lawyer's mental state; (3) the actual or potential injury caused by the lawyer's misconduct; and (4) the existence of aggravating or mitigating factors. *Standard* 3.0.

Duties violated:

Mr. Halvorson violated his duty to his clients by violating E.R.s 1.2, 1.3, 1.4, 1.5 and 1.16. Mr. Halvorson also violated his duty owed as a professional by violating E.R.s 8.1(b) and 8.4(d), and Rule 54(d)(2).

Mental State and Injury:

Mr. Halvorson knowingly violated his duty to clients and the profession, implicating the following *Standards*:

ER 1.2: (Client Authority)

Standard 4.42

Suspension is generally appropriate when a lawyer knowingly fails to perform services for a client or engages in a pattern of neglect and causes injury or potential injury to a client.

ER 1.3: (Diligence)

Standard 4.42

Suspension is generally appropriate when a lawyer knowingly fails to perform services for a client or engages in a pattern of neglect and causes injury or potential injury to a client.

ER 1.4: (Communication)

Standard 4.42

Suspension is generally appropriate when a lawyer knowingly fails to perform services for a client or engages in a pattern of neglect and causes injury or potential injury to a client.

ER 1.5: (Fees)

Standard 4.62

Suspension is generally appropriate when a lawyer knowingly deceives a client, and causes injury or potential injury to a client, or

ER 1.16: (Termination of Representation)

Standard 7.2

Suspension is generally appropriate when a lawyer knowingly engages in conduct that is a violation of a duty owed as a professional, and causes injury or potential injury to a client, the public or the legal system, or

ER 8.4(d): (Conduct Prejudicial To Administration of Justice)

Standard 6.22

Suspension is generally appropriate when a lawyer knowingly violates a court order or rule, and there is injury or potential injury to a client or a party, or interference or potential interference with a legal proceeding, or

Rule 8.1(a) & 54(d): (Violation of Obligations to Disciplinary System)

Standard 7.2

Suspension is appropriate when a lawyer knowingly engages in conduct that violates a duty owed as a professional, and causes injury or potential injury to a client, the public, or the legal system.

The Panel determined that the presumptive sanction in this matter is suspension. After misconduct has been established, aggravating and mitigating

9.1. Aggravating factors need only be established by reasonable evidence. *Matter of Peasley*, 208, Ariz. 27, 90 P.3d 764 (2004).

AGGRAVATING AND MITIGATING FACTORS

The Hearing Panel finds the following aggravating factors are present in this matter:

- Standard 9.22(c) pattern of misconduct;
- Standard 9.22(d) multiple offenses;
- Standard 9.22(i) substantial experience in the practice of law [19 years].

The Hearing Panel finds the following mitigating factor applies:

9.32(a) absence of prior disciplinary record.

CONCLUSION

The Supreme Court "has long held that 'the objective of disciplinary proceedings is to protect the public, the profession and the administration of justice and not to punish the offender." *Alcorn*, 202 Ariz. 62, 74, 41 P.3d 600, 612 (2002) (quoting *In re Kastensmith*, 101 Ariz. 291, 294, 419 P.2d 75, 78 (1966). It is also the purpose of lawyer discipline to deter future misconduct. *In re Fioramonti*, 176 Ariz. 182, 859 P.2d 1315 (1993). It is also a goal of lawyer regulation to protect and instill public confidence in the integrity of individual members of the SBA. *Matter of Horwitz*, 180 Ariz. 20, 881 P.2d 352 (1994).

The Hearing Panel has made the above findings of fact and conclusions of law.

The Hearing Panel has determined the sanction using the facts deemed admitted, the
Standards, the aggravating factors, the mitigating factor, and the goals of the
attorney discipline system.

The Hearing Panel orders:

1. Mr. Halvorson shall be suspended from the practice of law for a period

of one (1) year effective immediately;

2. Mr. Halvorson shall comply with all provisions of Rule 72, Ariz. R. Sup.

Ct., including notification to clients and others.

3. Mr. Halvorson shall pay all costs and expenses incurred by the SBA in

this proceeding. There are no costs or expenses incurred by the disciplinary

clerk and/or Presiding Disciplinary Judge's Office with these proceedings;

and

4. Mr. Halvorson shall pay the following in restitution within 30 days from

this Decision and Order:

a. \$4675.00 to Jerry Murphy (Count One);

b. \$6633.50 to Robert Kuehne (Count Two); and

c. \$750.00 to Kevin Cummings (Count Three);

A final judgment and order will follow.

DATED this 10th day of April 2015.

William J. O'Neil

William J. O'Neil, Presiding Disciplinary Judge

Richard L. Westby

Richard L. Westby, Volunteer Public Member

Ralph Wexler

Ralph Wexler, Volunteer Attorney Member

Copies of the foregoing mailed/emailed this 10^{TH} day of April, 2015.

Kristofer E. Halvorson 1757 East Baseline Road, Suite 130 Gilbert, Arizona 85233-1534 Email: <u>Halvorson@tmpatentlaw.com</u> Respondent

Craig D. Henley Senior Bar Counsel State Bar of Arizona 4201 North 24th Street, Suite 100 Phoenix, Arizona 85016-6266 Email: <u>LRO@staff.azbar.org</u>

Lawyer Regulation Records Manager State Bar of Arizona 4201 North 24th Street, Suite 100 Phoenix, Arizona 85016-6266

by: JAlbright

OFFICE OF THE
PRESIDING DISCIPLINARY JUDGE
SUPREME COUPT OF ARIZONA

JAN 05 2015

Craig D. Henley, Bar No. 018801 Senior Bar Counsel State Bar of Arizona 4201 North 24th Street, Suite 100 Phoenix, Arizona 85016-6266 Telephone: (602) 340-7272

Email: LRO@staff.azbar.org

8 A FILED

BEFORE THE PRESIDING DISCIPLINARY JUDGE OF THE SUPREME COURT OF ARIZONA

IN THE MATTER OF A MEMBER OF THE STATE BAR OF ARIZONA,

KRISTOFER E. HALVORSON, Bar No. 016525,

Respondent.

PDJ 2015-9001

COMPLAINT

State Bar Nos. 14-1937, 14-2409 and 14-2595

Complaint is made against Respondent as follows:

GENERAL ALLEGATIONS

 At all times relevant, Respondent was a lawyer licensed to practice law in the state of Arizona having been first admitted to practice in Arizona on October 21, 1995.

COUNT ONE (File No. 14-1937/Murphy)

- 2. On or before May 14, 2012, Complainant hired Respondent to obtain a certain patent with the United States Patent Office (hereinafter referred to as "USPO").
- 3. While Respondent filed an application with the USPO (13506745), when Complainant attempted to determine the status of the application, Complainant learned that Respondent abandoned his office and had his phone number

disconnected. Similarly, Respondent failed to respond to any of Complainant's e-mails.

- 4. Approximately two years later, Complainant located Respondent and requested information and documents regarding the application.
- 5. While Respondent initially indicated that he did not receive a response from the USPO, Complainant has not received any information or documents and has been unsuccessful in contacting Respondent for months.
- 6. On October 17, 2014, the State Bar mailed Respondent an initial screening letter requesting that a response to the allegations to be provided within twenty days. The initial screening letter also informed Respondent that his failure to fully and honestly respond to, or cooperate with the investigation are grounds for discipline pursuant to Rule 54(d) and Rule 42, Ariz.R.Sup.Ct., ER 8.1(b).
- 7. On October 23, 2014, the State Bar mailed Respondent a second request for a response to be provided within ten days. The second letter again informed Respondent that his failure to fully and honestly respond to, or cooperate with the investigation are grounds for discipline.
- 8. To date, Respondent has not provided the State Bar with a written response to Complainant's allegations.

COUNT TWO (File No. 14-2409)

9. On or before November 18, 2011, Complainant hired Respondent to obtain a certain patent with the United States Patent Office.

- 10. While Respondent filed an application with the USPO (29395064), when Complainant attempted to determine the status of the application, Complainant learned that Respondent abandoned his office and had his phone number disconnected. Similarly, Respondent failed to respond to any of Complainant's emails.
- 11. Approximately two years later, Complainant located Respondent and requested information and documents regarding the application.
- 12. While Respondent initially indicated that he did not receive a response from the USPO, Complainant has not received any information or documents and has been unsuccessful in contacting Respondent for months.
- 13. On September 4, 2014, the State Bar mailed Respondent an initial screening letter requesting that a response to the allegations to be provided within twenty days. The initial screening letter also informed Respondent that his failure to fully and honestly respond to, or cooperate with the investigation are grounds for discipline pursuant to Rule 54(d) and Rule 42, Ariz.R.Sup.Ct., ER 8.1(b).
- 14. On October 23, 2014, the State Bar mailed Respondent a second request for a response to be provided within ten days. The second letter again informed Respondent that his failure to fully and honestly respond to, or cooperate with the investigation are grounds for discipline.
- 15. To date, Respondent has not provided the State Bar with a written response to Complainant's allegations.

COUNT THREE (File No. 14-2595)

- 16. On or before June 27, 2012, Complainant hired Respondent to obtain a certain patent with the United States Patent Office.
- 17. While Respondent filed an application with the USPO (85840199), when Complainant attempted to determine the status of the application, Complainant learned that Respondent abandoned his office and had his phone number disconnected. Similarly, Respondent failed to respond to any of Complainant's emails.
- 18. Approximately two years later, Complainant located Respondent and requested information and documents regarding the application.
- 19. While Respondent initially indicated that he did not receive a response from the USPO, Complainant has not received any information or documents and has been unsuccessful in contacting Respondent for months.
- 20. On October 17, 2014, the State Bar mailed Respondent an initial screening letter requesting that a response to the allegations to be provided within twenty days. The initial screening letter also informed Respondent that his failure to fully and honestly respond to, or cooperate with the investigation are grounds for discipline pursuant to Rule 54(d) and Rule 42, Ariz.R.Sup.Ct., ER 8.1(b).
- 21. On October 23, 2014, the State Bar mailed Respondent a second request for a response to be provided within ten days. The second letter again

informed Respondent that his failure to fully and honestly respond to, or cooperate with the investigation are grounds for discipline.

- 22. To date, Respondent has not provided the State Bar with a written response to Complainant's allegations.
- 23. By engaging in the above listed misconduct, Respondent violated the following ethical rules in each count:
 - a) Rule 42, Ariz. R. Sup. Ct., ER 1.2 by failing to abide to his client's decisions to obtain a patent.
 - b) Rule 42, Ariz. R. Sup. Ct., ER 1.3 by failing to act diligently throughout the lawsuit and his representation of his client.
 - c) Rule 42, Ariz. R. Sup. Ct., ER 1.4 by failing to reasonably communicate with his client regarding the status of the case or respond to inquiries by the client.
 - d) Rule 42, Ariz. R. Sup. Ct., ER 1.5 by charging, collecting and retaining unreasonable fees during the representation which were not communicated to the client by writing.
 - e) Rule 42, Ariz. R. Sup. Ct., ER 1.15 by failing to provide an accounting and failing to return unearned fees to the client.
 - f) Rule 42, Ariz. R. Sup. Ct., ER 1.16 by failing to properly withdraw from the representation and take the steps to the extent reasonably practicable to protect a client's interests.
 - g) Rule 42, Ariz. R. Sup. Ct., ER 8.1 by knowingly failing to respond to a lawful demand for information from the disciplinary authority in connection with the instant investigation.
 - h) Rule 42, Ariz. R. Sup. Ct., ER 8.4(d) by engaging in conduct which was prejudicial to the administration of justice.
- 24. By engaging in the above listed misconduct, Respondent violated Rule 54(d), Ariz. R. Sup. Ct. by refusing to cooperate, furnish information or respond promptly to any inquiry or request from bar counsel relevant to the pending charges.

DATED this 5th day of January, 2015.

STATE BAR OF ARIZONA

Craig D. Henley

Senior Bar Counset

Original filed with the Disciplinary Clerk of the Office of the Presiding Disciplinary Judge of the Supreme Court of Arizona this 5th day of January, 2015.

by: Molaly /

DEC 2 2 2014

STATE BAR OF ARIZONA

PROBABLE CAUSE COMMITTEE OF THE SUPREME COURT OF ARIZONA

IN THE MATTER OF A MEMBER OF THE STATE BAR OF ARIZONA,

KRISTOFER E. HALVORSON Bar No. 016525

Respondent.

No. 14-1937

PROBABLE CAUSE ORDER

The Attorney Discipline Probable Cause Committee of the Supreme Court of Arizona ("Committee") reviewed this matter on December 12, 2014, pursuant to Rules 50 and 55, Ariz. R. Sup. Ct., for consideration of the State Bar's Report of Investigation and Recommendation.

By a vote of 9-0-0, the Committee finds probable cause exists to file a complaint against Respondent in File No. 14-1937.

IT IS THEREFORE ORDERED pursuant to Rules 55(c) and 58(a), Ariz. R. Sup. Ct., authorizing the State Bar Counsel to prepare and file a complaint with the Disciplinary Clerk.

Parties may not file motions for reconsideration of this Order.

DATED this ______ day of December, 2014.

Judge Lawrence F. Winthrop, Chair Attorney Discipline Probable Cause

Committee of the Supreme Court of Arizona

Original filed this 22 day of December, 2014, with:

Lawyer Regulation Records Manager State Bar of Arizona 4201 North 24th Street, Suite 100 Phoenix, Arizona 85016-6266

Copy mailed this <u>23</u>rd day of December, 2014, to:

Kristofer E. Halvorson 1757 East Baseline Road, Suite 130 Gilbert, Arizona 85233-1534 Respondent

Kristofer E. Halvorson 2405 South Roosevelt Street Tempe, Arizona 85282 Respondent's Alternate Address

Copy emailed this $\frac{23}{4}$ day of December, 2014, to:

Attorney Discipline Probable Cause Committee of the Supreme Court of Arizona 1501 West Washington Street, Suite 104 Phoenix, Arizona 85007 E-mail: ProbableCauseComm@courts.az.gov

Lawyer Regulation Records Manager State Bar of Arizona 4201 North 24th Street, Suite 100 Phoenix, Arizona 85016-6266

by: Rochey T. Brus



PROBABLE CAUSE COMMITTEE OF THE SUPREME COURT OF ARIZONA

IN THE MATTER OF A MEMBER OF THE STATE BAR OF ARIZONA,

KRISTOFER E. HALVORSON Bar No. 016525

Respondent.

No. 14-2409

PROBABLE CAUSE ORDER

The Attorney Discipline Probable Cause Committee of the Supreme Court of Arizona ("Committee") reviewed this matter on December 12, 2014, pursuant to Rules 50 and 55, Ariz. R. Sup. Ct., for consideration of the State Bar's Report of Investigation and Recommendation.

By a vote of 9-0-0, the Committee finds probable cause exists to file a complaint against Respondent in File No. 14-2409.

IT IS THEREFORE ORDERED pursuant to Rules 55(c) and 58(a), Ariz. R. Sup. Ct., authorizing the State Bar Counsel to prepare and file a complaint with the Disciplinary Clerk.

Parties may not file motions for reconsideration of this Order.

DATED this 22 day of December, 2014.

Judge Lawrence F. Winthrop, Chair Attorney Discipline Probable Cause

Committee of the Supreme Court of Arizona

Original filed this 22 day of December, 2014, with:

Lawyer Regulation Records Manager State Bar of Arizona 4201 North 24th Street, Suite 100 Phoenix, Arizona 85016-6266

Copy mailed this 23rd day of December, 2014, to:

Kristofer E. Halvorson 1757 East Baseline Road, Suite 130 Gilbert, Arizona 85233-1534 Respondent

Kristofer E. Halvorson 2405 South Roosevelt Street Tempe, Arizona 85282 Respondent's Alternate Address

Copy emailed this <u>13-4</u> day of December, 2014, to:

Attorney Discipline Probable Cause Committee of the Supreme Court of Arizona 1501 West Washington Street, Suite 104 Phoenix, Arizona 85007 E-mail: ProbableCauseComm@courts.az.gov

Lawyer Regulation Records Manager State Bar of Arizona 4201 North 24th Street, Suite 100 Phoenix, Arizona 85016-6266

by: Rudney T. Brug



PROBABLE CAUSE COMMITTEE OF THE SUPREME COURT OF ARIZONA

STATE BAR OF ARIZONA

IN THE MATTER OF A MEMBER OF THE STATE BAR OF ARIZONA,

KRISTOFER E. HALVORSON Bar No. 016525

Respondent.

No. 14-2595

PROBABLE CAUSE ORDER

The Attorney Discipline Probable Cause Committee of the Supreme Court of Arizona ("Committee") reviewed this matter on December 12, 2014, pursuant to Rules 50 and 55, Ariz. R. Sup. Ct., for consideration of the State Bar's Report of Investigation and Recommendation.

By a vote of 9-0-0, the Committee finds probable cause exists to file a complaint against Respondent in File No. 14-2595.

IT IS THEREFORE ORDERED pursuant to Rules 55(c) and 58(a), Ariz. R. Sup. Ct., authorizing the State Bar Counsel to prepare and file a complaint with the Disciplinary Clerk.

Parties may not file motions for reconsideration of this Order.

DATED this 2 day of December, 2014.

Judge Lawrence F. Winthrop, Chair Attorney Discipline Probable Cause

Committee of the Supreme Court of Arizona

Original filed this 22th day of December, 2014, with:

Lawyer Regulation Records Manager State Bar of Arizona 4201 North 24th Street, Suite 100 Phoenix, Arizona 85016-6266

Copy mailed this 23rd day of December, 2014, to:

Kristofer E. Halvorson 1757 East Baseline Road, Suite 130 Gilbert, Arizona 85233-1534 Respondent

Kristofer E. Halvorson 2405 South Roosevelt Street Tempe, Arizona 85282 Respondent's Alternate Address

Copy emailed this <u>23</u>rd day of December, 2014, to:

Attorney Discipline Probable Cause Committee of the Supreme Court of Arizona 1501 West Washington Street, Suite 104 Phoenix, Arizona 85007 E-mail: ProbableCauseComm@courts.az.gov

Lawyer Regulation Records Manager State Bar of Arizona 4201 North 24th Street, Suite 100 Phoenix, Arizona 85016-6266

by: Redney T. Burl