

FIDUCIARY BOARD

Meeting Agenda – July 11, 2024

Arizona Supreme Court -1501 West Washington Street
Phoenix, Arizona 85007 - 10:00 A.M. Zoom/Conference Room 109
General Inquiries Call: 602-452-3378 (Certification and Licensing Division Line)
Members of the public may attend the meeting in person or remotely.

For any item listed on the agenda, the Board may vote to go into Executive Session for advice of counsel (under ACJA Sec. 1-202(C)(5)(c)) or for discussion or consideration of records or matters made confidential or privileged by statute, court rule, or the Arizona Code of Judicial Administration (under ACJA Sec. 1-202(C)(5)(b)).

CALL TO ORDER..... *Hon. Jennifer Perkins, Chair*

1) EXECUTIVE SESSION.....*Division Staff*

1-A: As authorized by ACJA § 1-202(C)(5)(c), discussion or consultation with counsel regarding legal advice concerning matters of Theresa Lancaster and Bogutz & Gordon, PC.

2) PENDING COMPLAINTS/ COMPLIANCE AUDITS *Division Staff*

2-A: Review, discussion, and possible action regarding Complaint No. 21-0047 and 21-0048 involving license holder Teresa Lancaster and Bogutz & Gordon, PC.

2-B: Update regarding pending complaints and compliance audits.

2-C: Review, discussion, and possible action regarding Complaint Nos. 22-0062, 23-0042, and 23-0029 involving Theresa Whitfield.

2-D: Review, discussion, and possible action regarding Complaint Nos. 21-0021, 23-0017, and 23-0018 involving Maricopa County Public Fiduciary, Josephine Jones, Carla Truman, and Stephanie Sena-Ochoa.

3) REVIEW AND APPROVAL OF MINUTES *Hon. Jennifer Perkins, Chair*

3-A: Review, discussion, and possible action regarding corrections to the March 14, 2024 minutes.

3-B: Review, discussion, and possible action regarding the regular session minutes of the meeting held on May 30, 2024.

4) INITIAL LICENSURE AND ELIGIBILITY.....*Division Staff*

4-A: Review, discussion, and possible action regarding the following applications for initial individual and/or business licensure:

- 1. Tatiana Calderon-Speakman*
- 2. Juillian Velarde*
- 3. Keystone Fiduciary Services, LLC*

- 4. Stephanie Sena-Ochoa
- 5. Providia Partners

5) LICENSURE AND ELIGIBILITY.....*Division Staff*

- 5-A: *Review, discussion, and possible action regarding inactive status request received from the following license holders:*
- 1. Matthew Mansour
 - 2. Laura Sharek

6) ADMINISTRATIVE ITEMS.....*Division Staff*

- 6-A: *Review, discussion, and possible action regarding the establishment of the 2025 Board meeting schedule.*
- 6-B: *Division Updates.*

CALL TO THE PUBLIC..... *Hon. Jennifer Perkins, Chair*

LIMITED RESPONSE TO CALL TO THE PUBLIC.....*Hon. Jennifer Perkins, Chair*

Individual members of the Board may take one or more of the following actions: (a) respond to criticism made in Public Comment; (b) ask staff to review a matter raised in public comment; or (c) ask that a matter raised in public comment be put on a future agenda. NOTE: Neither the Board as a whole nor Staff are permitted to discuss a matter raised in public comment and the Board is not permitted to vote on a matter raised during an open call to the public unless the matter was otherwise properly noticed on the meeting agenda for discussion and legal action

ADJOURN..... *Hon. Jennifer Perkins, Chair*

Persons with a disability may request a reasonable accommodation, such as a sign language interpreter, by contacting the Division at 602-452-3378 or TDD 602-452-3534. A person requesting an accommodation should make the request as early as possible to allow time to arrange the requested accommodation.

Next Meeting:

September 12, 2024 at 10:00 a.m.

FIDUCIARY BOARD

Agenda Summary – July 11, 2024

2) PENDING COMPLAINTS/ COMPLIANCE AUDITS

2-B: Update regarding pending complaints and compliance audits.

PENDING COMPLAINTS

As of June 24, 2024, there are * 78 open complaints.

** Complaints are open until a finding of probable cause is entered. The total open complaints represent complaints under investigation.*

FIDUCIARY COMPLAINTS

Age (Months)	Number Cases	Percent
0-5	20	25.6%
6-11	11	14.1%
12-17	29	37.2%
18-22	10	12.8%
23-35	8	10.3%
36 and over	0	0.0%
Total	78	100%

Previous open complaint chart presented at the May 30, 2024, Board meeting:

Age (Months)	Number Cases	Percent
0-5	18	23.7%
6-11	13	17.1%
12-17	33	43.4%
18-22	7	9.2%
23-35	5	6.6%
36 and over	0	0.0%
Total	76	100%

PENDING COMPLIANCE AUDITS

As of June 24, 2024, there are * 4 open compliance audits pending final reports*

Random compliance audits: R

Compliance audits related to resolving discipline: D

Other compliance audits (includes follow-ups, Director-approved): O

FIDUCIARY COMPLIANCE AUDIT REPORT

Age (Months)	Number And Type	Percent
0-3	2 (R); 1 (D); 0 (O)	75.0%
4-7	0 (R); 0 (D); 0 (O)	0.0%
8-11	0 (R); 1 (D); 0 (O)	25.0%
12 and over	0 (R); 0 (D); 0 (O)	0.0%
Total	4	100%

**Working papers associated with the compliance audit maintained by Division staff are not public records and are not subject to disclosure. Upon completion of an audit the final report issued to the affected party is a public record subject to public inspection. Final reports that result in corrective action are posted to the program webpage at <https://www.azcourts.gov/cld/Fiduciary-Licensing-Program/Compliance-Audit>.*

Compliance Audit Report: March 14, 2024 Fiduciary Board Meeting

FIDUCIARY COMPLIANCE AUDIT REPORT

Age (Months)	Number And Type	Percent
0-3	2 (R); 1 (D); 0 (O)	75.0%
4-7	0 (R); 0 (D); 0 (O)	0.0%
8-11	0 (R); 1 (D); 0 (O)	25.%
12 and over	0 (R); 0 (D); 0 (O)	0.0%
Total	4	100%