

**Arizona Supreme Court
Administrative Office of the Courts
Certification and Licensing Division**

Date: October 3, 2023

Redacted Document(s): **Consent Agreement: Corona 21-0009**

Redactions: The following redactions have been applied as required by Arizona Supreme Court Rule (“Rule”), Arizona Code of Judicial Administration (“ACJA”), and Arizona Revised Statutes (“ARS”):

Rule 123(b)(20), (c)(2) and (c)(3); ACJA § 7-201(E)(4)

- Home addresses
- Home telephone numbers
- Cell phone numbers
- Social Security Numbers, including last 4 digits of SSNs
- Financial account numbers

Rule 123(c)(2); ACJA § 7-201(E)(4); ARS § 18-522

- Signatures
- E-mail addresses
- Mailing addresses
- Telephone numbers
- Employer/business names
- Dates of birth
- Certification or license numbers

Rule Probate Proc., Rule 8

- Probate Information Form filed under Rule 13
- Medical Reports and records that are filed in connection with proceedings, including reports and records filed in connection with proceedings under A.R.S. §§ 14-5303, 14-5310, 14- 5401.01, or 14-5407, or A.R.S. §36-3206, or as required by A.R.S. §§ 14-5312.01, 14-5312.02, abd 14-5315
- Budgets filed under Rule 45
- Inventories and appraisements filed under A.R.S. §14-54189A)
- Accountings filed under A.R.S. Title 14
- Credit Report

- Any other document that the court orders filed as a confidential document under this rule.

Records already public, such as court filings, do not require redaction.

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2 **ARIZONA SUPREME COURT**
3 **Fiduciary Board**

4 **IN THE MATTER OF FIDUCIARY**
5 **LICENSE:**

NO. 21-0009

6 **NICOLE CORONA,**

7 License Number [REDACTED]

CONSENT AGREEMENT

8
9
10 THE FIDUCIARY BOARD ("Board") and NICOLE CORONA ("Corona"), Fiduciary
11 License No. [REDACTED] enter into the following Consent Agreement.

12 **RECITALS**

13 1. Corona is a licensed Fiduciary in the State of Arizona since January 8, 2015. Her
14 license number is [REDACTED]

15 2. *The Verne and Shirley Wertman Trust Under Agreement Dated January 13, 1992,*
16 *named Verne and Shirley Wertman as Grantors and Co-Trustees. The Amended and Restated*
17 *Trust of Verne and Shirley Wertman* dated December 5, 2017, removed Shirley Wertman and
18 named Corona as the Successor Trustee.

19 3. After Verne Wertman's death, Corona began to exercise her authority as
20 Successor Trustee in July of 2019.

21 4. On or about May 27, 2021, the Arizona Supreme Court, Certification & Licensing
22 Division ("Division"), received a written complaint from Roberta Wertman against Corona
23 (Complaint No. 21-0009).

24 5. During its investigation, the Division substantiated the following allegations
25 against Corona:
26

1 Allegation 1 Failed to timely marshal assets of the estate.

2 Allegation 2: Failed to timely close the estate.

3 Allegation 3: Failed to respond and/or timely respond to estate heirs'
4 communications, inquiries, and/or requests for information.

5 Allegation 4: Failed to provide proper notice to the Court regarding the use of
6 her mother as her legal representation in at least one probate
7 case.

8 6. At its meeting on March 9, 2023, the Fiduciary Board instructed Division Staff to
9 attempt to resolve the disciplinary issues related to the substantiated allegations against Corona
10 through a Consent Agreement. The Division provided Corona with a draft Consent Agreement
11 on April 17, 2023, for her review and consideration. On April 28, 2023, Corona declined to
12 accept the agreement.

13 7. On June 13, 2023, the Fiduciary Board filed its Notice of Formal Statement of
14 Charges and Right to a Hearing. Corona filed her Answer to the Notice of Formal Statement of
15 Charges and Right to a Hearing on June 23, 2023. Under separate pleading filed coincident
16 therewith, Corona filed her request for a Hearing in compliance with the provisions of ACJA §7-
17 201(H)(12) and (13). A hearing is presently scheduled to convene on September 28, 2023.

18 JURISDICTION

19 The Board possesses jurisdiction over Complaint No. 21-0009 under ACJA §§ 7-201(H)
20 and 7-202(H).

21 CONSENT AGREEMENT AUTHORITY

22 The Board is authorized under ACJA § 7-201(H)(24)(a)(6)(c), on completion of its
23 investigation of a pending complaint, to resolve any found acts of misconduct by consent order
24 and issue a censure and place the licensee on probation under ACJA § 7-201 (H)(24)(a)(6)(b)
25 and (e).
26

1 Corona recognizes there is a risk of adverse findings if the complaint goes to hearing and
2 that doing so would require additional time and expense. Corona offered to enter into a
3 negotiated settlement with the board to resolve the complaints. The Parties and respective
4 counsel agree that in the interest of protecting the public, the administration of justice, the
5 preservation of judicial and administrative resources, and in compliance with statutes and
6 governing regulations, Complaint No. 21-0009 should be resolved by Consent Agreement upon
7 Board approval.

8 TERMS OF AGREEMENT

9 The Parties hereby resolve the pending complaint on the following terms and conditions:
10 Corona will withdraw her request for a hearing and will waive her right to a hearing of the facts
11 and law asserted in the complaint and Formal Statement of Charges. No further hearings shall be
12 set in this matter and any hearings previously scheduled before the administrative law judge
13 shall be vacated. Notice that the Parties have resolved this matter through this agreement shall
14 be forwarded to the administrative law judge so that the pending matter may be vacated.

- 15 1. The Board issues a censure to Corona.
- 16 2. The Board places Corona on probation on the following terms:
 - 17 a. Corona must enter into a Compliance Audit Agreement ("Agreement")
18 with a third-party auditor acceptable to Division staff. The purpose of the
19 Agreement is to provide the Board with assurance that Corona modify her
20 policies, procedures, and practices until all deficiencies identified in the
21 Compliance Audit are corrected and she is verified to be in compliance
22 with all code provisions, rules, and statutory requirements.
 - 23 b. Corona will remain on probation for (i) one year or (ii) until completion of
24 the Compliance Audit, implementation of any Compliance Audit correction
25 recommendations, confirmation of such implementation, and Board
26 approval.


- 1 c. Corona must provide the compliance auditor and audit staff such access to
2 her records and staff as the compliance auditor deems necessary for the
3 purposes of completing the compliance audit, making audit
4 recommendations, and confirming implementation of any recommended
5 corrections.
- 6 d. Corona must comply with all reasonable requests of the compliance auditor
7 and must immediately notify Division staff of any refusal to comply. The
8 notification must contain the request and the bases of the refusal to comply.
- 9 e. All costs associated with the compliance audit and reporting must be paid
10 by Corona.

11 4. This Consent Agreement does not in any way affect or limit further disciplinary
12 action for violations of statutes, rules, or administrative code provisions uncovered during the
13 compliance audit or as the result of complaints filed after the date on which the Board approves
14 this Consent Agreement.

15 5. Corona must comply with all laws, court rules, administrative code provisions, and
16 probationary terms. Failure to do so may result in further discipline, including disciplinary
17 action as to Complaint No. 21-0009, which is the subject of this Consent Agreement, in the
18 event that Corona violates or does not complete the terms of her probation.

19 This Consent Agreement is approved by the Parties on the date indicated.

20
21 
22 4/29/23
23 Nicole Corona Date
(Fiduciary License No. 

21 
22 9/26/2023
23 Hon. Jennifer Perkins, Date
24 Chair, Fiduciary Board