



FIDUCIARY PROGRAM

CHANGE OF DESIGNATED PRINCIPAL FORM

This document can be made available in large format or on audio tape upon request. Please contact the Fiduciary Program at (602) 452-3378 or (602) 542-9545 (TDD).

Note: Information contained on pages one and four of this form may contain information considered to be confidential pursuant to Court Rule. Do not include personally identifying information (social security number, date of birth, home address, etc.) in the remainder of the form or on any attachments.

SECTION I: LICENSED BUSINESS ENTITY INFORMATION

Organization Legal Name:	
List ALL assumed, dba's or trade names:	
Business Address to appear on License and Judicial Website:	
(Street Address)	(City) (State) (Zip)
Business Telephone Number: ()	Business Fax Number: ()
Business Entity License Number:	Effective Date of Licensure:
Check appropriate business organization:	
<input type="checkbox"/> Corporation <input type="checkbox"/> Limited Liability Co. <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietorship	
Current Designated Principal Name and Address:	
(Street Address)	(City) (State) (Zip)
New Designated Principal Name and Address:	
(Street Address)	(City) (State) (Zip)
Effective Date of Appointment of New Designated Principal:	

SECTION II: RESIGNATION OF CURRENT DESIGNATED PRINCIPAL: Read the following affirmation and sign this page.

I, _____, have been serving as the business entity Designated Principal for the named business entity. I understand that resigning as the designated principal does not in any way impact or alter the Board of Fiduciaries or Fiduciary Program authorities to pursue any issues or pending matters stemming from my time as the named Designated Principal.

I hereby resign as the Designated Principal for _____.

The effective date of my resignation is: _____.

Signature of Current Designated Principal Date

SECTION III: ACKNOWLEDGMENT OF NEW DESIGNATED PRINCIPAL: Read the following affirmation and sign this page.

I, _____, the designated principal pursuant to Judicial Administration Code § 7-202 (F)(2) and (5), agree to ensure that:

- a) I will file with the program, by June 30 of each year, a list of all licensed fiduciaries acting for or on behalf of the business entity, public fiduciary or the Arizona Department of Veterans' Services.
- b) I will, within 30 days, notify the Fiduciary Program when an employee who is a licensed fiduciary leaves the employment of the business entity, public fiduciary office or the Arizona Department of Veterans' Services.
- c) I will be the primary responsibility for the client or estate and shall not delegate this duty to any trainee.
- d) I will assume primary responsibility for the trainee's guidance in any work undertaken and for supervising, generally and directly, as necessary, the quality of the trainee's work.
- e) I will assist the trainee in activities to the extent the fiduciary considers it necessary.
- f) I will ensure the trainee is familiar with and adheres to the provisions of this section and ACJA § 7-201.
- g) I will provide my name and license number on any documents filed in a court or tribunal prepared by the trainee under my supervision.
- h) I will notify the Fiduciary Program, in writing, of any changes in employee or trainee status within 30 days of any change.
- i) I understand that if I am no longer willing or able to serve as the designated principal, I must notify the business, who must supply division staff with the name of the new designated principal within 14 days of my notice to them and the completed new principal form must be filed within 30 days.
- j) I will file, in writing, with the Fiduciary Program, a notice of any changes in members, partners, managers, officers, directors, and owners of the business entity within 30 days of any change.
- k) I have read and reviewed Arizona Code of Judicial Administration § 7-201 and § 7-202 and understand and agree to abide by and uphold both.

Signature of New Designated Principal

Date

SECTION IV: LICENSED FIDUCIARIES and TRAINEES: List ALL individuals who act on behalf of the business entity, including employees and trainees. If an individual has an application pending for individual fiduciary license, write “pending” in the Fiduciary # box. Use additional pages if necessary.

Legal Last Name, Full First Name, Full Middle Name:	Social Security Number:
Home Address - Physical Street Address (may not be a P.O. box):	
(Street Address)	(City) (State) (Zip)
Fiduciary #:	Trainee: <input type="checkbox"/> Yes <input type="checkbox"/> No

Legal Last Name, Full First Name, Full Middle Name:	Social Security Number:
Home Address - Physical Street Address (may not be a P.O. box):	
(Street Address)	(City) (State) (Zip)
Fiduciary #:	Trainee: <input type="checkbox"/> Yes <input type="checkbox"/> No

Legal Last Name, Full First Name, Full Middle Name:	Social Security Number:
Home Address - Physical Street Address (may not be a P.O. box):	
(Street Address)	(City) (State) (Zip)
Fiduciary #:	Trainee: <input type="checkbox"/> Yes <input type="checkbox"/> No

Legal Last Name, Full First Name, Full Middle Name:	Social Security Number:
Home Address - Physical Street Address (may not be a P.O. box):	
(Street Address)	(City) (State) (Zip)
Fiduciary #:	Trainee: <input type="checkbox"/> Yes <input type="checkbox"/> No

Legal Last Name, Full First Name, Full Middle Name:	Social Security Number:
Home Address - Physical Street Address (may not be a P.O. box):	
(Street Address)	(City) (State) (Zip)
Fiduciary #:	Trainee: <input type="checkbox"/> Yes <input type="checkbox"/> No

Application Instructions and Additional Information

- 1. Completion.** Clearly print or type all information. Submission of this Change of Designated Principal Form is an administrative act which does not require Board of Fiduciaries review or approval. However, the submitted form must be complete. If any part or portion of the Form is not complete, the New Designated Principal must submit a written statement indicating the reason the part or portion of the Form has not been completed.
- 2. Designated Principal.** Pursuant to Arizona Code of Judicial Administration § 7-202, the designated principal for the business entity **MUST** be licensed as an individual.
- 3. Licensed Fiduciaries.** A list of **ALL** licensed fiduciaries and **ALL** trainees acting for, or on behalf of, the business entity **MUST** be submitted by June 30th each year.
- 4. Assumed Name (or D.B.A.) And Trade Names.** While conducting business as a fiduciary, a licensed holder shall use the name as shown on the license and shall not transact business in this state under an assumed name or under any designation, name or style, corporate or otherwise, other than the real name of the business entity unless the business entity files with the Fiduciary Program a license setting forth the name under which business will be transacted.
- 5. AFFIRMATION.** Designated Principal signature is required.
- 6. Submission.** Please submit the completed Form and any related attachments to:

Fiduciary Program
Arizona Supreme Court
1501 W. Washington, Suite #104
Phoenix, AZ 85007
(602) 452-3378
pfp@courts.az.gov

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