



*Supreme Court*  
STATE OF ARIZONA

**CERTIFICATION AND LICENSING DIVISION**

1501 W. Washington Street, Suite 104  
Phoenix, Arizona 85007-3222  
602-452-3378

October 2, 2025

**VIA EMAIL AND US MAIL**

Alex Harris



**Re: Notice of Formal Statement of Charges and Right to Hearing - Complaint No. 25-0008**

Dear Alex Harris:

This letter is to inform you of the Fiduciary Board (“Board”) action regarding the above-referenced complaint. On September 15, 2025, the Board, having reviewed the Investigation Summary, Determination, Probable Cause Review and Recommendation Report, entered the enclosed Order, finding that regulatory violations occurred in the above-referenced complaint number.

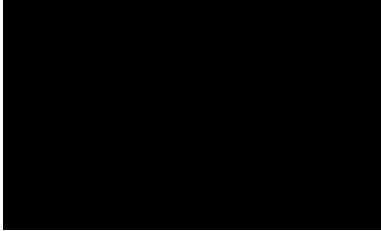
The Notice of Formal Statement of Charges and Right to Hearing is enclosed for your review and contains time-sensitive information on your rights to request an evidentiary hearing. **You must file an Answer to this Notice of Formal Statement of Charges within fifteen (15) days after the date this Notice is served.**

The Answer shall be filed **electronically** with the Arizona Supreme Court Office of the Presiding Disciplinary Judge, 1501 West Washington, Suite 102, Phoenix, Arizona 85007, at [officepdj@courts.az.gov](mailto:officepdj@courts.az.gov). **Do not mail your Answer.**

Filing must conform with the Presiding Disciplinary Judge’s Administrative Order 2020-05 [AO 2020-05.pdf](#). **If you fail to file an Answer within the time provided and do not request a hearing, you are in default and the factual allegations in the formal charges are deemed admitted.**

If you have questions, please contact the Division by email to [complaints@courts.az.gov](mailto:complaints@courts.az.gov) or by regular mail to the address above.

Sincerely,



Pasquale Fontana  
Complaints and Audit Manager  
Certification and Licensing Division

**SUPREME COURT OF ARIZONA  
FIDUCIARY BOARD**

**IN THE MATTER OF FIDUCIARY  
LICENSE:**

**ALEX HARRIS,**  
License Number [REDACTED]

No. FID-NFC-25-0008

**NOTICE OF FORMAL  
STATEMENT of  
CHARGES and RIGHT to  
HEARING**

On September 7, 2025, pursuant to Arizona Code of Judicial Administration (“ACJA”) §7-201(H)(5)(a)(3), Probable Cause Evaluator Jeffrey Schrade entered a finding probable cause exists as to Allegation 1, as detailed in the Investigation Summary, Determination, Probable Cause Review, and Recommendation Report (“Investigation Summary”), in complaint number 25-0008, attached as Exhibit A. The particular sections of laws, court rules, ACJA, and orders relevant to the alleged acts of misconduct are ACJA §§7-201(F)(1), 7-201(H)(6)(a) and (k)(7); ACJA §§7-202(F)(1), 7-202(J)(2), 7-202(J)(4)(m) and (q); and A.R.S. § 4-5312(A)(9).

On September 11, 2025, the Fiduciary Board (“Board”) accepted the finding of the Probable Cause Evaluator and entered a finding that grounds for formal disciplinary action exists as to Allegation 1 pursuant to ACJA §7-201(H)(6), as detailed in the attached Investigation Summary. The Board voted to issue a censure to Alex Harris (“Harris”).

**JURISDICTION**

Pursuant to ACJA §7-201(H)(10), the Board serves this Notice of Formal Statement of Charges and Right to Hearing and provides notice to Harris that she has a right to request a hearing on the proposed disciplinary action against license number [REDACTED]. The Board has jurisdiction over this matter because Harris was licensed as an individual fiduciary effective September 6, 2018, and her license has been renewed without interruption and remains active.

1 The complaint underlying this action was received during the period of Harris's active  
2 licensure and she was provided an opportunity to respond to the complaint and participate in the  
3 investigation of the complaint. The Board holds the authority to proceed with this action pursuant  
4 to ACJA §§7-201(D)(5)(c) and 7-201(H)(9).

5 **ANSWER OF CERTIFICATE HOLDER**

6 **Pursuant to ACJA §7-201(H)(11), Harris shall file an Answer to this Notice of**  
7 **Formal Statement of Charges and Right to Hearing within fifteen (15) days after the date**  
8 **this Notice is served. The Answer shall comply with ACJA §7-201(H)(17) and with Rule 8**  
9 **of the Arizona Rules of Civil Procedure. Any defenses not raised in the Answer are waived.**  
10 **If Harris fails to file an Answer within the time required, she is deemed in default and the**  
11 **Factual Allegations in the Formal Charges are deemed admitted. The Board may then**  
12 **determine the matter against Harris without further proceedings.** The Answer shall be filed  
13 electronically with the Arizona Supreme Court Office of the Presiding Disciplinary Judge, [REDACTED]  
14 [REDACTED]. Filing must  
15 conform with the Presiding Disciplinary Judge's Administrative Order 2020-05 found at [AO](#)  
16 [2020-05.pdf](#)

17 **NOTICE OF RIGHT TO HEARING**

18 **Pursuant to ACJA §7-201(H)(12)(c), Harris may request a hearing. Pursuant to**  
19 **ACJA § 7-201(H)(13), Harris must request the hearing within fifteen (15) days of receipt**  
20 **of this Notice of Formal Statement of Charges and Right to Hearing, including the factual**  
21 **basis supporting the request for hearing and relief demanded.** The Request for Hearing must  
22 be filed electronically with the Arizona Supreme Court Office of the Presiding Disciplinary  
23 Judge, [REDACTED].  
24 Filing must conform with the Presiding Disciplinary Judge's Administrative Order 2020-05  
25 found at [AO 2020-05.pdf](#).

1 **BACKGROUND FACTS**

2 A. On March 6, 2025, the Certification and Licensing Division (“Division”) received a  
3 written complaint from Adult Protective Services (“APS”) Investigator, Christopher  
4 McCollough (“McCollough”), involving Harris.

5 B. On March 24, 2025, the Division, via United States Postal Services certified mail and by  
6 email to a valid point of contact, forwarded Harris a copy of the complaint and notice of the  
7 ACJA §7-201(H)(3)(c) requirement that Harris submit a written response to the complaint within  
8 thirty (30) days. Division records confirm delivery of the mailing on April 1, 2025.

9 C. Harris provided a timely written response to the complaint on April 9, 2025, as required  
10 by ACJA §7-201(H)(3)(c).

11 **FACTUAL ALLEGATIONS OF MISCONDUCT**

12 The Board, having knowledge sufficient to form a belief as to the truth of this  
13 information, hereby alleges and finds as follows:

14 A. On March 6, 2025, a complaint was filed with the Division.

15 B. The Division’s investigation addressed the complaint’s allegation that:

- 16 1. Alex Harris is neglecting the ward’s medical needs by failing to schedule or follow  
17 up with necessary medical appointments or treatment.  
18

19 C. Harris neglected the ward’s medical needs by failing to schedule or follow up with  
20 necessary medical appointments or treatment.

21 D. On September 11, 2025, the Board reviewed the Division’s Investigation Summary,  
22 attached as Exhibit A, and incorporated herein, and accepted the findings and recommendation  
23 of the Investigation Summary and of the Probable Cause Evaluator. Based on those  
24 determinations, the Board voted to issue a censure to Alex Harris.

25 **FORMAL CHARGES**

1 As detailed in the Investigation Summary, the Board finds that Harris violated the  
2 following statutes, court rules, or ACJA sections:


3 A. Harris violated ACJA §§7-201(F)(1), 7-201(H)(6)(a) and (k)(7); ACJA §§7-202(F)(1),  
4 7-202(J)(2), 7-202(J)(4)(m) and (q); and A.R.S. § 14-5312(A)(9) by neglecting the ward's  
5 medical needs by failing to schedule or follow up with necessary medical appointments or  
6 treatment, constituting grounds for discipline pursuant to ACJA §7-201(H)(6).

7 **PROPOSED DISCIPLINARY SANCTIONS**

8 The Board, based on the foregoing factual allegations of misconduct, is seeking the  
9 following disciplinary sanctions pursuant to ACJA §7-201(H)(24)(a)(6)(b):

- 10 1. Issue a Censure to Alex Harris.

11  
12 DATED this 2 day of October 2025,

13   
14 The Honorable Jennifer Perkins, Chair  
15 Fiduciary Board

16  
17  
18  
19  
20  
21  
22  
23 Original of the foregoing filed this 2 day of October 2025 with:

24 The Honorable Lisa A. VandenBerg  
25 Presiding Disciplinary Judge

1 [officepdj@courts.az.gov](mailto:officepdj@courts.az.gov)

2  
3 With formal service to the following licensee:

4 Alex Harris

5 [REDACTED]

6 Copies of the foregoing mailed and emailed this 2 day of October 2025 to:

7 Eryn McCarthy  
8 Section Chief Counsel  
9 Agency Counsel Section  
10 Office of the Attorney General

11 [REDACTED]

12 Jim Morrow  
13 Chief Legal Counsel  
14 Administrative Office of the Courts

15 [REDACTED]

16  
17 By: \_\_\_\_\_

18 Pasquale Fontana  
19 Complaints and Audit Unit Manager  
20 Certification and Licensing Division

# EXHIBIT A

# **Administrative Office of the Courts**



## **INVESTIGATION SUMMARY, DETERMINATION, PROBABLE CAUSE REVIEW, AND RECOMMENDATION REPORT**

**Complaint No. 25-0008**

**License No. [REDACTED]**

**July 18, 2025**

**Certification and Licensing Division**

**ARIZONA SUPREME COURT  
ADMINISTRATIVE OFFICE OF THE COURTS  
INVESTIGATION SUMMARY, DETERMINATION, PROBABLE  
CAUSE REVIEW, AND RECOMMENDATION REPORT**

<b>LICENSE HOLDER INFORMATION</b>	<b>License Holder:</b>	Alex Harris
	<b>License Number:</b>	██████
	<b>Type of License:</b>	Individual Fiduciary
<b>COMPLAINANT</b>	<b>Name:</b>	Christopher McCollough
<b>INVESTIGATION INFORMATION</b>	<b>Complaint Number:</b>	25-0008
	<b>Investigator:</b>	Crystal Jones
	<b>Complaint Received:</b>	March 6, 2025
	<b>Complaint Forwarded to the License Holder:</b>	March 24, 2025
	<b>License Holder Received Complaint:</b>	April 1, 2025
	<b>Response From License Holder:</b>	April 9, 2025
	<b>Period of Active License:</b>	September 6, 2018- present
	<b>Status of License:</b>	Active
	<b>Availability of License Holder:</b>	Available
	<b>Availability of Complainant:</b>	Available
	<b>Report Date:</b>	July 18, 2025

**ALLEGATIONS:**

1. Alex Harris is neglecting the ward’s medical needs by failing to schedule or follow up with necessary medical appointments or treatment.

**ADDITIONAL FINDINGS:**

None.

**SUMMARY OF INVESTIGATIVE:**

- Written complaint and documentation submitted by complainant, Christopher McCollough (“McCollough”).
- Written response and documentation submitted by license holder, Alex Harris (“Harris”).
- Review of applicable Certification and Licensing Division (“Division”) records.
- Review of applicable sections of Arizona Revised Statutes (“A.R.S.”), Arizona Codes of Judicial Administration (“ACJA”) § 7-201 and § 7-202, and Arizona Supreme Court Rules.

## **INTERVIEWS:**

1. Christopher McCollough
2. Alex Harris
3. Jennifer Greene
4. Steve Brown
5. Allison Vadasz
6. Selena Figuera
7. Geraldine Griffiths

## **SUMMARY OF FACTUAL FINDINGS OF INVESTIGATION:**

The Division substantiated the allegation that Harris neglected the ward's medical needs by failing to schedule or follow up with critical mental health services. Records indicate that Harris did not take timely or appropriate action to ensure Greene received necessary care, including a missed COPA Health ("COPA") intake appointment and an unscheduled injection due in December 2024. Despite being advised by multiple professionals of her responsibilities, Harris did not reschedule the intake appointment or pursue alternative care, even after a second missed appointment in January 2025. Assistance was only sought after Greene began exhibiting serious behavioral health symptoms. Harris's repeated inaction, despite clear guidance and available resources, reflects a failure to fulfill the duties required of a guardian and constitutes neglect.

### Complaint:

On March 6, 2025, McCollough, an advanced investigator with Adult Protective Services ("APS"), submitted a complaint expressing concerns regarding Harris's actions in her capacity as the court-appointed guardian and conservator for the ward, Jennifer Greene ("Greene"). Specifically, McCollough alleged that Harris failed to adequately fulfill her responsibilities related to Greene's medical care by failing to timely schedule necessary medical appointments and adequately manage Greene's overall healthcare needs in accordance with her duties as guardian and conservator.

### Response:

On April 9, 2025, Harris submitted a written initial response to the complaint, in which she denied the allegations. Harris explained that she was appointed temporary guardian by court order dated August 2, 2024, and permanent guardianship and conservatorship letters were issued on October 21, 2024, through the Yavapai County Superior Court of Arizona under case number S1300GC202400084.

Greene moved to the Arizona Sun Management care facility in September 2024. Prior to moving, she received services through Polara Health ("Polara"), who assisted with coordinating her transition to COPA. As part of the intake process, COPA required a behavioral health evaluation ("SMI") to be completed.

Harris indicated that services provided through Polara concluded on December 20, 2024. At that time, the new insurance coverage through Maricopa County had not yet taken effect. Due to this gap in coverage, COPA was unable to proceed with scheduling the intake until the SMI was completed. Harris stated that Greene receives a monthly injectable medication to support her behavioral health needs; however, she missed her December dose due to the lapse in insurance. In January 2025, Greene was taken to Mind 24/7, where she was provided the medication in tablet form as a temporary measure.

Greene completed COPA intake on February 4, 2025, and resumed her regular monthly medication schedule. The injectable dose was administered on February 11, 2025. According to Harris, COPA provides transportation for Greene, and Harris denies that there have been excessive missed medical appointments or any neglect of Greene's healthcare needs. Harris further indicated that she works in coordination with Arizona Sun Management staff to ensure that Greene attends all necessary medical appointments and that her care needs are being met.

**Allegation 1: Alex Harris is neglecting the ward's medical needs by failing to schedule or follow up with necessary medical appointments or treatment.**

In his interview with the Division, McCollough stated that he completed the APS investigation on May 2, 2025.

The Division reviewed the APS report, which indicated that McCollough interviewed Harris as well as collateral witnesses, including the group home manager Geraldine Griffiths ("Griffiths"), health case managers, and care providers. None of the witnesses were able to provide firsthand knowledge or evidence to support the allegations that Harris was not providing adequate care for Greene.

McCollough's investigation report noted that he interviewed the COPA Health case manager assigned, Alexa Cruz ("Cruz"). Cruz confirmed Greene is enrolled in services with COPA and her service plan included receiving mental health care management, counseling, occupational therapy, medication management, nursing services, and transportation as needed.

The Division contacted Cruz directly, but she was unable to provide any additional pertinent information beyond what was already included COPA records.

According to McCollough's report, when an APS representative contacted Polara, the Polara case manager indicated that Harris was instructed to schedule intake with COPA on November 8, 2024. McCollough further noted that COPA reported an appointment had been scheduled for December 9, 2024, but Greene did not attend. The APS report did not indicate who made the appointment. On December 26, 2024, McCollough contacted Harris, who stated, at that time, that the intake had not been rescheduled.

The APS report reflected that Harris provided conflicting explanations for Greene's missed appointment on December 9, 2024, citing both an outdated address and COPA's failure to arrange transportation. The report also indicated that Harris had been advised on multiple occasions of her responsibility to coordinate transportation for appointments.

In her written response to the complaint, Harris attributed the missed December injection to an insurance issue, claiming that Greene's new coverage had not yet begun, and that COPA would not proceed with the intake until the SMI evaluation was completed.

For clarification, the Division reviewed the Arizona Health Care Cost Containment System ("AHCCCS")/ Arizona Long Term Care System ("ALTCS") application, submitted on October 15, 2024, provided to the Division by Harris, which confirmed that Greene's insurance coverage was approved effective September 1, 2024, and remains ongoing. Additionally, the Division notes that the COPA intake and SMI appointment was in fact scheduled on December 9, 2024.

The Division spoke with Allison Vadasz ("Vadasz"), SMI Behavioral Health Program Coordinator at UnitedHealthcare ("UHC"). Vadasz reported that on December 26, 2024, she contacted Harris after learning that Greene had missed her scheduled appointment with COPA on December 9, 2024. During that conversation, Harris stated that she had not rescheduled the COPA intake appointment.

Vadasz explained that she had requested the transfer from Polara to COPA several months earlier and had informed Harris, at that time, that it would be her responsibility to contact COPA to schedule the intake appointment. Vadasz noted that she gained the impression Harris lacked experience working with SMI members; in fact, Harris stated that it had been over 20 years since she had last handled an SMI-related matter.

To facilitate the process, Vadasz stated that she took additional steps beyond her usual role. She requested that Polara initiate the transfer, verified that the necessary paperwork was completed, and reiterated to Harris that her only remaining responsibility was to call and schedule the COPA intake. Vadasz also provided Harris with the appropriate contact information. Out of concern for Greene's access to appropriate services, Vadasz submitted a referral to UHC for a case manager to follow up with Harris and help ensure that Greene received the care she needed.

The Division reviewed an email provided by Vadasz in which a representative from Polara contacted Harris on November 8, 2024, requesting that she coordinate an intake appointment with COPA. The email included the name of the COPA intake specialist and a contact phone number.

The Division also confirmed with a representative from Polara that the intake appointment with COPA scheduled for December 9, 2024, was made by Polara personnel. The appointment was for both SMI and COPA intake.

In correspondence with the COPA clinical director, Steve Brown ("Brown") the Division was informed that no reason was provided for the missed December 9, 2024, appointment. COPA received no follow-up explanation and subsequently moved forward by rescheduling the SMI and COPA intake for January 14, 2025.

Separately, in a follow-up correspondence with the Division, Harris was asked to provide the date of Greene's last injection in November 2024 and the corresponding next injection

date in December 2024. Harris stated that she was unable to locate the exact dates but believed the injections occurred around mid-November and mid-December.

Vadasz, however, confirmed that Greene's last injection was administered on November 1, 2024. According to Polara's records, this medication follows a four-week schedule, making the next dose due on or about December 1, 2024.

The Division reviewed records showing that Greene was taken to the emergency room on January 16, 2025, followed by a visit to Mind 24/7, an urgent mental health hospital, on January 18, 2025. These events occurred after Greene missed her second scheduled COPA appointment on January 14, 2025. During her interview with the Division, Griffiths reported that, in the days leading up to the emergency room visit, Greene exhibited signs of severe depression and became increasingly aggressive toward staff. These behavioral changes prompted Griffiths to seek medical assistance in addressing Greene's medication needs.

The Division spoke with the manager at Polara, who confirmed that Greene was not formally discharged until December 20, 2024. The manager also stated that if Harris requested services earlier in December, Polara would have been able to provide the necessary care, including the injection, which was due during that time. Although Greene was in the process of transferring to COPA and had an intake appointment scheduled for December 9, 2024, Harris still had the option to coordinate with Polara to ensure Greene received her injection. This did not occur, and as a result, Greene had to seek alternative support after experiencing significant depressive symptoms and other behavioral health concerns.

During her interview with the Division, Harris stated that since the time of the complaint and her response, Greene has obtained services through the Division of Developmental Disabilities and transitioned to a new group home in June 2025. According to Harris, the current group home provides transportation to and from medical appointments. The Division confirmed this information with the group home manager, Selena Figuera.

The Division inquired about the reason for Greene's missed appointment on January 14, 2025. Harris reported that transportation arrived at the incorrect address. However, the Division notes a discrepancy in this account, as Brown stated there is no documentation confirming that transportation was arranged for that appointment, and no reason was provided for the no-show.

Further review of COPA records shows that Greene received her injection on February 11, 2025, with a follow-up booster scheduled for February 18, 2025, which she did not attend. That appointment was then rescheduled for March 18, 2025; however, Greene did not attend. COPA records indicate that Harris confirmed the appointment during a call on March 17, 2025. Harris stated that Greene refused to attend the rescheduled appointment for March 18, 2025, although she added, "but I might be wrong on that."

The Division followed up with Griffiths, who reported that her documentation reflects missed appointments were often due to transportation failing to arrive. Griffiths stated that in such instances, she would call to reschedule and ensure transportation was arranged for

the new appointment. Regarding the missed appointment on March 18, 2025, Griffiths stated that she does not have any record indicating that Greene refused to attend and again attributed the missed appointment to transportation issues.

The Division spoke directly with Greene, who stated that she does not recall the specific reasons for the previously missed appointments. However, she reported that she is now regularly attending her appointments, and that her current medical and behavioral health needs are being met.

The documentation reviewed by the Division indicates that Harris failed to take timely and appropriate steps to coordinate critical mental health services for Greene, particularly in connection with the missed COPA intake and the injection due in December 2024. The December injection was never scheduled, and Harris did not seek any alternative methods to ensure Greene received her medication. Furthermore, after Greene missed her December 9, 2024, intake appointment, Harris did not take steps to reschedule it. Greene subsequently missed a second intake appointment on January 14, 2025. It was only after this second missed appointment—when Greene began exhibiting serious behavioral health symptoms—that Harris sought assistance.

Given her role as guardian and the coaching she received from multiple professionals regarding her responsibilities, Harris had both the opportunity and obligation to take more proactive measures to safeguard Greene’s health and well-being. If Harris had any questions or uncertainties regarding her responsibilities, it would have been appropriate for her to seek clarification and guidance from the relevant providers or assigned case managers.

As court-appointed guardian, Harris has a duty of care to the ward. Harris must ensure that she is acting in the best interest of the ward. The pattern of inaction, despite clear guidance and available resources, demonstrates a failure to meet the obligations of a responsible guardian. As such, the Division finds that Harris did not act in Greene’s best interest and that Harris’ failure to secure necessary services constitutes neglect.

Allegation 1 is substantiated

ACJA §7-201(F)(1):

1. Code of Conduct. Each individual certificate holder shall adhere to the code of conduct or standards of conduct, subsection (J) in the applicable section of the ACJA.

ACJA § 7-201(H)(6)(a) and (k)(7):

6. Grounds for Discipline. A certificate holder is subject to disciplinary action if the board finds the certificate holder has engaged in one or more of the following:

a. Failed to perform any duty to discharge any obligation in the course of the certificate holder’s responsibilities as required by law, court rules, this section or the applicable section of the ACJA;

k. Engaged in unprofessional conduct, including:

(7) Failed during the performance of any responsibility or duty of the profession or occupation to use the degree of care, skill and proficiency commonly exercised by the ordinary skillful, careful and prudent professional certificate holder engaged in similar practice under the same or similar conditions regardless of any level of harm or injury to the client or customer;

ACJA §7-202(F)(1):

F. Role and Responsibilities of Fiduciaries. In addition to the requirements of ACJA § 7 201(F), the following requirements apply:

1. Code of Conduct. Each licensed fiduciary must adhere to the code of conduct in subsection (J), required by A.R.S. § 14-5651(A)(1).

ACJA §7-202(J)(2):

2. Relationship with the Ward or Protected Person. The fiduciary must exhibit the highest degree of trust, loyalty, and fidelity in relation to the ward, protected person, or estate.

ACJA §7-202(J)(3):

3. Decision Making. The fiduciary must exercise extreme care and diligence when making decisions on behalf of a ward or protected person. The fiduciary must make all decisions in a manner that promotes the civil rights and liberties of the ward or protected person and maximizes their independence and self-reliance.

ACJA §7-202(J)(m) and (q):

m. The fiduciary must work cooperatively with available individuals and organizations to ensure that the ward receives care, treatment, and services representing the least restrictive form of intervention available and that are consistent with the wishes or best interests of the ward.

q. The fiduciary must ensure that the ward receives all medical and financial benefits to which the ward may be entitled.

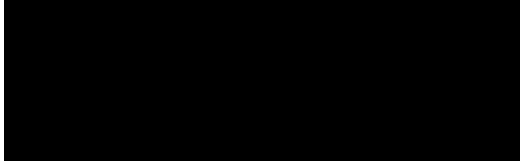
A.R.S. §14-5312. General powers and duties of guardian

9. A guardian shall make reasonable efforts to secure appropriate medical and psychological care and social services for the ward.

<b>DISCIPLINARY HISTORY:</b>
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None.

**SUBMITTED BY:**

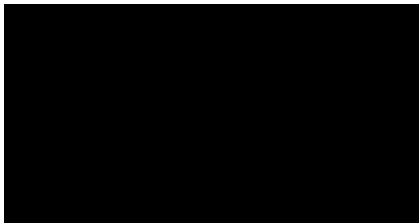


Crystal Jones, Investigator  
Certification and Licensing Division

July 18, 2025

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**REVIEWED BY:**



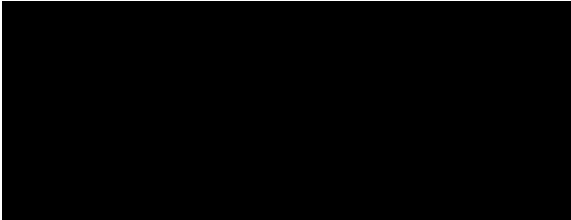
Pasquale Fontana, Manager  
Certification and Licensing Division

July 21, 2025

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Date

**REVIEWED BY:**



Abigail Raddatz, Director  
Certification and Licensing Division

July 21, 2025

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Date

**ARIZONA SUPREME COURT  
ADMINISTRATIVE OFFICE OF THE COURTS  
REVIEW AND DECISION OF THE PROBABLE CAUSE  
EVALUATOR**

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**REVIEW AND DECISION OF THE PROBABLE CAUSE EVALUATOR:**

Under ACJA § 7-201(H)(5)(a), the deputy director, serving in the capacity of probable cause evaluator under ACJA § 7-201(D)(3)(a), having conducted an independent review of the facts and evidence gathered during the course of the investigation of complaint number 25-0008:

- Directs division staff to investigate further.
- Determines probable cause does not exist demonstrating the certificate holder has committed any acts of misconduct or violations of the statutes, court rules, this section, or the applicable section of the ACJA and enters a written finding to that effect as to Allegation(s):  
  
\_\_\_\_\_

- Determines probable cause exists demonstrating the certificate holder has committed one or more acts of misconduct or violations of the statutes, court rules, this section, or the applicable section of the ACJA and enters a written finding to that effect as to Allegation(s):  
  
\_\_\_\_\_

1

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Jeffrey Schrader  
Probable Cause Evaluator

8/7/2025  
Date

**ARIZONA SUPREME COURT  
ADMINISTRATIVE OFFICE OF THE COURTS  
RECOMMENDATION TO THE BOARD**

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<b>LICENSE HOLDER INFORMATION</b>	<b>License Holder:</b>	Alex Harris
	<b>License Number:</b>	██████████
	<b>Type of License:</b>	Individual Fiduciary

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**RECOMMENDATION TO THE BOARD FIDUCIARY (“BOARD”):**

██  
██  
██  
██

██  
██  
██  
██

Mitigating factors under ACJA § 7-201(H)(22)(b)(1):

- The absence of a prior disciplinary record;
- The absence of a dishonest motive;
- The absence of a selfish motive;
- Personal or emotional problems;
- A timely good faith effort to make restitution or to rectify consequences of misconduct;
- Full and free disclosure to the division staff, the board or the hearing officer;
- A cooperative attitude toward any proceedings;
- Inexperience in the practice of the profession or occupation;
- Character or reputation;
- Physical or mental disability;
- Physical or mental impairment;
- Delays in the disciplinary proceedings;
- Interim rehabilitation;
- Imposition of other penalties or sanctions;
- Remorse;
- The remoteness of prior offenses;
- Other: \_\_\_\_\_

Aggravating factors under ACJA § 7-201(H)(22)(b)(2):

- A prior disciplinary record;
- A dishonest motive;
- A selfish motive;
- Multiple offenses;
- Bad faith obstruction of the disciplinary proceedings by intentionally failing to

comply with this section, the applicable section of ACJA, court rules or orders of the hearing officer; (Failure to respond to Division requests sent to a valid point of contact reflects an uncooperative attitude toward the investigation)

Submission of false evidence, false statements or other deceptive practices during the discipline process;

Refusal to acknowledge wrongful nature of the conduct;

Vulnerability of the victim;

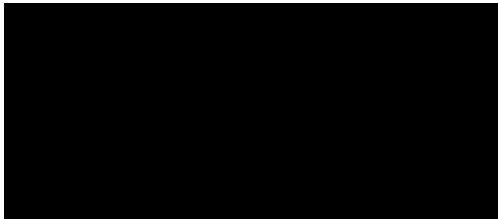
Substantial experience in the profession or occupation;

Indifference to making restitution;

Other: \_\_\_\_\_

It is further recommended that the Board issue a Censure to Alex Harris.

**SUBMITTED BY:**



August 7, 2025

Abigail Raddatz, Director      Date  
Certification and Licensing Division

**ARIZONA SUPREME COURT  
ADMINISTRATIVE OFFICE OF THE COURTS  
DECISION AND ORDER OF THE BOARD**

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**DECISION AND ORDER:**

The Board having reviewed the above Investigation Summary, Determination, Probable Cause Review, and Recommendation Report, regarding complaint number 25-0008 and **Error! Reference source not found.**, license number [REDACTED], makes a finding of facts and this decision, based on the facts, evidence, and analysis as presented and:

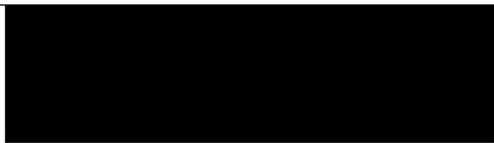
- Request division staff to conduct further investigation;
- Refer the complaint to another entity with jurisdiction;

Referral to: \_\_\_\_\_

- Determine no violation exists and dismiss the complaint
  - with prejudice
  - without prejudice
- Determine no acts of misconduct or violation occurred and no discipline is warranted; however the certificate holder's actions need modification or elimination and issue an advisory letter pursuant to subsection (D)(5)(c)(1)(g);
- Enter a finding the certificate holder has violated any provisions of the statutes, court rules, this section, or the applicable ACJA specific sections or subsection (H)(6) and order an emergency summary suspension, pursuant to subsection (H)(9)(d);
- Enter a finding the certificate holder has violated any of the provisions of the statutes, court rules, this section, the applicable ACJA sections or subsection (H)(6) and issue an order imposing any or a combination of the following information or formal disciplinary sanctions:
  - Issue a letter of concern
  - Issue a censure
  - Resolve any found acts of misconduct or violations by consent order or other negotiated settlement
  - Place specific restrictions on a certificate
  - Place the certificate holder on probation or a set period of time under specified conditions
- Mandate additional training for the certificate holder
- Issue a cease and desist order pursuant to subsection (E)(6)

- Order suspension of a certificate for a set period of time with specific conditions for reinstatement
- Order revocation of a certificate with specific conditions for reinstatement
- Assess costs associated with the investigation and disciplinary proceedings; or
- Impose civil penalties associated with the investigation and disciplinary proceedings.
- Order the preparation of documents necessary for informal or formal disciplinary actions under subsection (H)(7)(b), (H)(8)(b) or (H)(9)(b)
- Request the license holder appear before the Board to participate in a Formal Interview, pursuant to ACJA § 7-201(H)(8).
- Enter a finding the public health, safety or welfare is at risk, requires emergency action, and orders the immediate emergency suspension of the license and sets an expedited hearing for:  
 Date, Time, and Location: \_\_\_\_\_
- Order the filing of Notice of Formal Charges, pursuant to ACJA § 7-201(H)(10).
- Adopts the recommendations of the Division Director.
- Does not adopt the recommendations of the Division Director and orders:

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_



The Hon. Jennifer Perkins, Chair  
 Fiduciary Board

09/15/2025  
 Date