

Rules of Civil Procedure for the Superior Courts of Arizona

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Rules of Civil Procedure for the Superior Courts of Arizona

Prefatory Comment to the 2017 Amendments

The 2017 amendments make extensive changes to the Arizona Rules of Civil Procedure (“ARCP”).

These amendments “restyle” the ARCP in a manner similar to the 2007 restyling of the Federal Rules of Civil Procedure. Informative titles and subheadings are added, which make rules and sections easier to locate. By using clearer language and, if possible, plain English, these rules should be easier to understand. The restyled rules avoid long sentences, ambiguous terminology (such as the word “shall”), and legal jargon. These rules also use consistent formatting conventions and terminology.

If no good reason exists to depart from the newly restyled language of a federal rule, these amendments adopt the restyled federal wording verbatim. These amendments also renumber various subdivisions of Arizona rules to be consistent with the numbering of parallel federal subdivisions. If there are sound reasons for an Arizona rule to differ substantively from a corresponding federal rule, the amended Arizona rule maintains those differences. Even in these circumstances, however, and to enhance the clarity of the Arizona rule, wording was revised and structure was reorganized pursuant to restyling conventions.

The amended rules also include substantive changes, *including but not limited to the following*. The amendments eliminate several archaic practices and traps, such as requirements to verify answers for certain pleadings, or if certain defenses are raised. Several amendments are devoted to procedures involving electronic discovery and electronically stored information. Revisions to Rules 26.1 and 37(g) are intended to meet the realities of identifying, handling, and producing electronically stored information in a rational and cost-effective fashion. Other major substantive changes include rules governing document preparation, the deadlines for responding to written discovery, and provisions regarding sanctions, change of judge, and the timing of requests for attorney’s fees and costs.

The wording of an amended rule may be very different, or only slightly different, from the rule that it replaces. The intent of these differences is to make the ARCP more functional, and easier to understand and use. Prior case law continues to be authoritative, unless it would be inappropriate because of a new requirement or provision in these amended rules.

The amended rules attempt to incorporate substantive requirements previously contained within comments to the former ARCP. Because of that, these amendments delete most of those comments, along with comments that have long ago outlived their usefulness. Parties may continue to refer to comments to pre-2017 versions of the ARCP to the extent those comments still apply to these amended rules.

I. SCOPE OF RULES—ONE FORM OF ACTION

Rule 1. Scope and Purpose

These rules govern the procedure in all civil actions and proceedings in the superior court of Arizona. They should be construed and administered to secure the just, speedy, and inexpensive determination of every action and proceeding.

Rule 2. One Form of Action

There is one form of action—the civil action.

II. COMMENCEMENT OF THE ACTION; SERVICE OF PROCESS, PLEADINGS, MOTIONS AND ORDERS; DUTIES OF COUNSEL

Rule 3. Commencing an Action

A civil action is commenced by filing a complaint with the court.

Rule 4. Summons

(a) Issuance; Service.

- (1) *Pleading Defined.*** As used in Rules 4, 4.1 and 4.2, “pleading” means any of the pleadings authorized by Rule 7 that brings a party into an action.
- (2) *Issuance.*** On or after filing a pleading, the filing party may present a summons to the clerk for signature and seal. If the summons is properly completed, the clerk must sign, seal and issue it to the filing party for service. A summons—or a copy of the summons if addressed to multiple parties—must be issued for each party to be served.
- (3) *Service.*** A summons must be served with a copy of the pleading. Service must be completed as required by this rule, Rule 4.1, or Rule 4.2, as applicable.

(b) Contents; Replacement Summons.

(1) Contents. A summons must:

- (A) name the court and the parties;
- (B) be directed to the party to be served;
- (C) state the name and address of the attorney of the party serving the summons or—if unrepresented—the name and address of the party;
- (D) state the time within which the defendant must appear and defend;
- (E) notify the party to be served that a failure to appear and defend will result in a default judgment against that party for the relief demanded in the pleading;
- (F) state that “requests for reasonable accommodation for persons with disabilities must be made to the court by parties at least 3 working days in advance of a scheduled court proceeding”;
- (G) be signed by the clerk; and
- (H) bear the court’s seal.

(2) Replacement Summons. If a summons is returned without being served, or if it has been lost, a party may ask the clerk to issue a replacement summons in the same form as the original. A replacement summons must be issued and served within the time prescribed by Rule 4(i) for service of the original summons.

(c) Fictitiously Named Parties; Return. If a pleading identifies a party by a fictitious name under Rule 10(d), the summons may issue and be directed to a person with the fictitious name. The return of service of process on a person identified by a fictitious name must state the true name of the person who was served with the process.

(d) Who May Serve Process.

(1) Generally. Service of process must be made by a sheriff, a sheriff’s deputy, a constable, a constable’s deputy, a private process server certified under to the Arizona Code of Judicial Administration § 7-204 and Rule 4(e), or any other person specially appointed by the court. Service of process may also be made by a party or that party’s attorney if expressly authorized by these rules.

(2) Special Appointment.

- (A) *Qualifications.* A specially appointed person must be not less than 21 years of age and must not be a party, an attorney, or an employee of an attorney in the action in which process is to be served.

- (B) *Procedure for Appointment.* A party may request a special appointment to serve process by filing a motion with the presiding superior court judge in the county where the action is pending. The motion must be accompanied by a proposed order. If the proposed order is signed, no minute entry will issue. Special appointments should be granted freely, are valid only for the cause specified in the motion, and do not constitute an appointment as a certified private process server.
- (e) **Statewide Certification of Private Process Servers.** A person seeking certification as a private process server must file with the clerk an application under Arizona Code of Judicial Administration § 7-204. Upon approval of the court or presiding judge of the county in which the application is filed, the clerk will register the person as a certified private process server, which will remain in effect unless and until the certification is withdrawn by the court. The clerk must maintain a register for this purpose. A certified private process server will be entitled to serve in that capacity for any state court anywhere within Arizona.
- (f) **Acceptance or Waiver of Service; Voluntary Appearance.** There are two ways to accomplish service with the assent of the served party—waiver and acceptance. A party also may voluntarily appear without being served.
- (1) **Waiver of Service.** A party subject to service under this rule, Rule 4.1 or Rule 4.2 may waive issuance or service of process. The waiver of service must be in writing, signed by that party or their authorized agent or attorney, and the waiver must be filed in the action. A party who waives service receives additional time to serve a responsive pleading, as provided in Rule 12(a)(1)(A)(ii).
- (2) **Acceptance of Service.** A party subject to service under this rule, Rule 4.1 or Rule 4.2 may accept service. The acceptance of service must be in writing, signed by that party or by that party’s authorized agent or attorney, and the acceptance must be filed in the action. A party who accepts service does not receive the additional time to serve a responsive pleading under Rule 12(a)(1)(A)(ii).
- (3) **Voluntary Appearance.**
- (A) *In Open Court.* A party on whom service is required may, in person or by attorney or by an authorized agent, enter an appearance in open court, and the appearance must be noted by the clerk upon the docket and entered in the minutes.
- (B) *By Responsive Pleading.* The filing of a pleading responsive to a pleading allowed under Rule 7 constitutes an appearance by the party.

(4) **Effect.** Waiver, acceptance, and appearance under (f)(1), (f)(2), and (f)(3) have the same force and effect as if a summons had been issued and served.

(g) Return; Proof of Service.

(1) **Timing.** If service is not accepted or waived, and no voluntary appearance is made, then the person effecting service must file proof of service with the court. Return of service should be made by no later than when the served party must respond to process.

(2) **Service by the Sheriff.** If process is served by a sheriff or a sheriff's deputy, the return must be officially marked on or attached to the proof of service and promptly filed with the court.

(3) **Service by Others.** If served by a person other than the sheriff or a deputy sheriff, the return must be promptly filed with the court and be accompanied by an affidavit establishing proof of service. If the server is a registered private process server, the affidavit must clearly identify the county in which the server is registered.

(4) **Service by Publication.** If the summons is served by publication, the return of the person making such service must be made as provided in Rules 4.1(l) and 4.2(f).

(5) **Service Outside the United States.** Service in a place outside the United States must be proved as follows:

(A) if effected under Rule 4.2(i)(1), as provided in the applicable treaty or convention; and

(B) if effected under Rule 4.2(i)(2) or (3), by a receipt signed by the addressee, or by other evidence satisfying the court that the summons and complaint were delivered to the addressee.

(6) **Affidavit, Official Mark of Sheriff as Prima Facie Evidence.** The affidavit of service or sheriff's official mark is prima facie evidence of service of the summons and the pleading being served.

(7) **Validity of Service.** Failure to make proof of service does not affect the validity of service.

(h) Amendment of Process or of Proof of Service. At any time and on such terms as it deems just, the court may allow any process or proof of service to be amended, unless the court finds that it would materially prejudice the substantial rights of the party subject to service.

(i) Time Limit for Service. If a defendant is not served with process within 120 days after the complaint is filed, the court—on motion, or on its own after notice to the

plaintiff—must dismiss the action without prejudice against that defendant or order that service be made within a specified time. But if the plaintiff shows good cause for the failure, the court must extend the time for service for an appropriate period. This Rule 4(i) does not apply to service in a foreign country under Rules 4.2(i), (j), (k) and (l).

Rule 4.1. Service of Process Within Arizona

(a) Territorial Limits of Effective Service. All process—including a summons—may be served anywhere within Arizona.

(b) Serving a Summons and Complaint or Other Pleading. The summons and the pleading being served must be served together within the time allowed under Rule 4(i). The serving party must furnish the necessary copies to the person who makes service. Service is complete when made.

(c) Waiving Service.

(1) Requesting a Waiver. An individual, corporation, or association that is subject to service under Rules 4.1(d), (h)(1)-(3), (h)(4)(A) or (i) has a duty to avoid unnecessary expense in serving the summons. To avoid costs, the plaintiff may notify the defendant that an action has been commenced and request that the defendant waive service of a summons. The notice and request must:

(A) be in writing and be addressed to the defendant and any other person required in this rule to be served with the summons and the pleading being served;

(B) name the court where the pleading being served was filed;

(C) be accompanied by a copy of the pleading being served, two copies of a waiver form prescribed in Rule 84, Form 2, and a prepaid means for returning the completed form;

(D) inform the defendant, using text provided in Rule 84, Form 1, of the consequences of waiving and not waiving service;

(E) state the date when the request is sent;

(F) give the defendant a reasonable time to return the waiver, which must be at least 30 days after the date when the request was sent; and

(G) be sent by first-class mail or other reliable means.

(2) Failure to Waive. If a defendant fails without good cause to sign and return a waiver requested by a plaintiff, the court must impose on the defendant:

- (A) the expenses later incurred in making service; and
 - (B) the reasonable expenses, including attorney's fees, of any motion required to collect those service expenses.
- (3) ***Time to Answer After a Waiver.*** A defendant who, before being served with process, timely returns a waiver need not serve an answer or otherwise respond to the pleading being served until 60 days after the request was sent.
- (4) ***Results of Filing a Waiver.*** When the plaintiff files an executed waiver, proof of service is not required and, except for the additional time in which a defendant may answer or otherwise respond as provided in Rule 4.1(c)(3), these rules apply as if a summons and the pleading being served had been served at the time of filing the waiver.
- (5) ***Jurisdiction and Venue Not Waived.*** Waiving service of a summons does not waive any objection to personal jurisdiction or venue.
- (d) **Serving an Individual.** Unless Rules 4.1(c), (e), (f), or (g) apply, an individual may be served by:
- (1) delivering a copy of the summons and the pleading being served to that individual personally;
 - (2) leaving a copy of each at that individual's dwelling or usual place of abode with someone of suitable age and discretion who resides there; or
 - (3) delivering a copy of each to an agent authorized by appointment or by law to receive service of process.
- (e) **Serving a Minor.** Unless Rule 4.1(f) applies, a minor younger than 16 years old may be served by delivering a copy of the summons and the pleading being served to the minor in the manner set forth in Rule 4.1(d) for serving an individual and also delivering a copy of each in the same manner:
- (1) to the minor's father, mother or guardian, if any of them reside or may be found within Arizona; or
 - (2) if none of them resides or is found within Arizona, to any adult having the care and control of the minor, or any person of suitable age and discretion with whom the minor resides.
- (f) **Serving a Minor Who Has a Guardian or Conservator.** If a court has appointed a guardian or conservator for a minor, the minor must be served by serving the guardian or conservator in the manner set forth in Rule 4.1(d) for serving an individual, and separately serving the minor in that same manner.

- (g) Serving a Person Adjudicated Incompetent Who Has a Guardian or Conservator.** If a court has declared a person to be insane, gravely disabled, incapacitated or mentally incompetent to manage that person’s property and has appointed a guardian or conservator for the person, the person must be served by serving the guardian or conservator in the manner set forth in Rule 4.1(d) for serving an individual, and separately serving the person in that same manner.
- (h) Serving a Governmental Entity.** If a governmental entity has the legal capacity to be sued and if it has not waived service under Rule 4.1(c), it may be served by delivering a copy of the summons and the pleading being served to the following individuals:
- (1)** for service on the State of Arizona, the Attorney General;
 - (2)** for service on a county within Arizona, the clerk of the Board of Supervisors for that county;
 - (3)** for service on a municipal corporation, the clerk of that municipal corporation; and
 - (4)** for service on any other governmental entity:
 - (A)** the individual designated by the entity, as required by statute, to receive service of process; or
 - (B)** if the entity has not designated a person to receive service of process, then the entity’s chief executive officer(s), or, alternatively, its official secretary, clerk, or recording officer.
- (i) Serving a Corporation, Partnership or Other Unincorporated Association.** If a domestic or foreign corporation, partnership or other unincorporated association has the legal capacity to be sued and has not waived service under Rule 4.1(c), it may be served by delivering a copy of the summons and the pleading being served to a partner, an officer, a managing or general agent, or any other agent authorized by appointment or by law to receive service of process and—if the agent is one authorized by statute and the statute so requires—by also mailing a copy of each to the defendant.
- (j) Serving a Domestic Corporation if an Authorized Officer or Agent Is Not Found Within Arizona.**
- (1) Generally.** If a domestic corporation does not have an officer or an agent within Arizona on whom service of process can be made, the corporation may be served by depositing two copies of the summons and the pleading being served with the Arizona Corporation Commission. Following this procedure constitutes personal service on that corporation.

(2) **Evidence.** If the sheriff of the county in which the action is pending states in the return that, after diligent search or inquiry, the sheriff has been unable to find an officer or agent of such corporation on whom process may be served, the statement constitutes prima facie evidence that the corporation does not have such an officer or agent in Arizona.

(3) **Commission's Responsibilities.** The Arizona Corporation Commission must retain one of the copies of the summons and the pleading being served for its records and immediately mail the other copy, postage prepaid, to the corporation or any of the corporation's officers or directors, using any address obtained from the corporation's articles of incorporation, other Corporation Commission records, or any other source.

(k) Alternative Means of Service.

(1) **Generally.** If a party shows that the means of service provided in Rule 4.1(c) through Rule 4.1(j) are impracticable, the court, on motion and without notice to the person to be served, may order that service may be accomplished in another manner.

(2) **Notice and Mailing.** If the court allows an alternative means of service, the serving party must make a reasonable effort to provide the person being served with actual notice of the action's commencement. In any event, the serving party must mail the summons, the pleading being served, and any court order authorizing an alternative means of service to the last known business or residential address of the person being served.

(3) **Service by Publication.** A party may serve by publication only if the requirements of Rule 4.1(l), Rule 4.1(m), Rule 4.2(f), or Rule 4.2(g) are met and the procedures provided in those rules are followed.

(l) Service by Publication.

(1) **Generally.** A party may serve a person by publication only if:

(A) the last known address of the person to be served is within Arizona but:

(i) the serving party, despite reasonably diligent efforts, has not been able to ascertain the person's current address; or

(ii) the person to be served has intentionally avoided service of process; and

(B) service by publication is the best means practicable in the circumstances for providing the person with notice of the action's commencement.

(2) Procedure.

(A) Generally. Service by publication is accomplished by publishing the summons and a statement describing how a copy of the pleading being served may be obtained at least once a week for 4 successive weeks:

- (i)** in a newspaper published in the county where the action is pending; and
- (ii)** if the last known address of the person to be served is in a different county, in a newspaper in that county.

(B) Who May Serve. Service by publication may be made by the serving party, its counsel, or anyone authorized under Rule 4(d).

(C) Alternative Newspapers. If no newspaper is published in a county where publication is required, the serving party must publish the summons and statement in a newspaper in an adjoining county.

(D) Effective Date of Service. Service is complete 30 days after the summons and statement is first published in all newspapers where publication is required.

(3) Mailing. If the serving party knows the address of the person being served, it must, on or before the date of first publication, mail to the person the summons and a copy of the pleading being served, postage prepaid.

(4) Return.

(A) Required Affidavit. The party or person making service must prepare, sign and file an affidavit stating the manner and dates of the publication and mailing, and the circumstances warranting service by publication. If no mailing was made because the serving party did not know the current address of the person being served, the affidavit must state that fact.

(B) Accompanying Publication. A printed copy of the publication must accompany the affidavit.

(C) Effect. An affidavit that complies with these requirements constitutes prima facie evidence of compliance with the requirements for service by publication.

(m) Service by Publication on an Unknown Heir in a Real Property Action. An unknown heir of a decedent may be sued as an unknown heir and be served by publication in the county where the action is pending, using the procedures provided in Rule 4.1(l), if:

- (1)** the action in which the heir will be served is for the foreclosure of a mortgage on real property or is some other type of action involving title to real property; and

- (2) the heir must be a party to the action to permit a complete determination of the action.

Rule 4.2. Service of Process Outside Arizona

(a) Extraterritorial Jurisdiction; Personal Service Outside Arizona. An Arizona state court may exercise personal jurisdiction over a person, whether found within or outside Arizona, to the maximum extent permitted by the Arizona Constitution and the United States Constitution. A party may serve any person located outside Arizona as provided in this rule, and, when service is made, it has the same effect as if personal service were accomplished within Arizona.

(b) Direct Service.

- (1) **Generally.** A party may serve process outside Arizona, but within the United States, in the same manner as provided in Rules 4.1(d)-(i).
- (2) **Who May Serve.** Service must be made by a person who is authorized to serve process under the law of the state where service is made.
- (3) **Effective Date of Service.** Service is complete when made, and the time period under Rule 4.2(m) starts to run on that date.

(c) Service by Mail.

- (1) **Generally.** If a serving party knows the address of the person to be served and the address is outside Arizona but within the United States, the party (or its counsel) may serve the person by mailing the summons and a copy of the pleading being served to the person at that address by registered mail (postage prepaid), requiring a signed and returned receipt.
- (2) **Affidavit of Service.** When the post office returns the signed receipt, the serving party must file an affidavit stating:
 - (A) the person being served is known to be located outside Arizona but within the United States;
 - (B) the serving party mailed the summons and a copy of the pleading (or other request for relief) to the person by registered mail;
 - (C) the serving party received a signed return receipt, which is attached to the affidavit and which indicates that the person received the described documents; and
 - (D) the date of receipt by the person being served.

(d) Waiver of Service.

- (1) *Requesting a Waiver.*** An individual, corporation, or association that is subject to service under Rules 4.2(b), (c), (h), (i) or (k) has a duty to avoid unnecessary expense in serving the summons. The plaintiff may notify the defendant that an action has been commenced and request that the defendant waive service of a summons. The notice and request must:
- (A)** be in writing and be addressed to the defendant in accordance with Rules 4.2(b), (c), (h), (i), or (k), as applicable;
 - (B)** name the court where the pleading being served was filed;
 - (C)** be accompanied by a copy of the pleading being served, two copies of a waiver form set forth in Rule 84, Form 2, and a prepaid means for returning the completed form;
 - (D)** inform the defendant, using the text provided in Rule 84, Form 1, of the consequences of waiving and not waiving service;
 - (E)** state the date when the request is sent;
 - (F)** give the defendant a reasonable time to return the waiver, which must be at least 30 days after the date when the request was sent, or 60 days after it was sent if it was sent outside any judicial district of the United States; and
 - (G)** be sent by first-class mail or other reliable means.
- (2) *Failure to Waive.*** If a defendant located within the United States fails without good cause to sign and return a waiver requested by a plaintiff located within the United States, the court must impose on the defendant:
- (A)** the expenses later incurred in making service; and
 - (B)** the reasonable expenses, including attorney's fees, of any motion required to collect those service expenses.
- (3) *Time to Answer After a Waiver.*** A defendant who, before being served with process, timely returns a waiver need not serve an answer or otherwise respond to the pleading being served until 60 days after the request was sent, or 90 days after it was sent if it was sent outside any judicial district of the United States.
- (4) *Results of Filing a Waiver.*** When the plaintiff files an executed waiver, proof of service is not required and, except for the additional time in which a defendant may answer or otherwise respond as provided in Rule 4.2(c)(3), these rules apply as if a summons and the pleading being served had been served at the time of filing the waiver.

(5) ***Jurisdiction and Venue Not Waived.*** Waiving service of a summons does not waive any objection to personal jurisdiction or venue.

(e) **Service on a Nonresident Under the Nonresident Motorist Act.**

(1) ***Generally.*** In an action involving the operation of a motor vehicle in Arizona, a party may serve a nonresident—including a minor, insane or incompetent person—as provided in A.R.S. § 28-2327.

(2) ***Effective Date of Service.*** If service is made under A.R.S. § 28-2327, service is complete 30 days after:

(A) the filing of the defendant’s return receipt and the serving party’s affidavit of compliance, as provided in A.R.S. § 28-2327(A)(1); or

(B) the filing of the officer’s return of personal service, as provided in A.R.S. § 28-2327(A)(2).

(3) ***Effect.*** Within 30 days after completion of service, the defendant must answer in the same manner as if the defendant had been personally served with a summons in the county in which the action is pending.

(f) **Service by Publication.**

(1) ***Generally.*** A party may serve a person by publication only if:

(A) the last known address of the person to be served is outside Arizona but:

(i) the serving party, despite reasonably diligent efforts, has not been able to ascertain the person’s current address; or

(ii) the person to be served has intentionally avoided service of process; and

(B) service by publication is the best means practicable in the circumstances for providing notice to the person of the action’s commencement.

(2) ***Procedure.***

(A) ***Generally.*** Service by publication is accomplished by publishing the summons and a statement describing how a copy of the pleading being served may be obtained at least once a week for 4 successive weeks in a newspaper published in the county where the action is pending.

(B) ***Who May Serve.*** Service by publication may be made by the serving party, its counsel, or anyone else authorized to serve process under Rule 4(d).

- (C) *Alternative Newspapers.* If no newspaper is published in a county where publication is required, the serving party must publish the summons and statement in a newspaper in an adjoining county.
- (D) *Effective Date of Service.* Service is complete 30 days after the summons and statement is first published in all newspapers where publication is required.
- (3) ***Mailing.*** If the serving party knows the address of the person being served, it must, on or before the date of first publication, mail to the person the summons and a copy of the pleading being served, postage prepaid.
- (4) ***Return.***
- (A) *Required Affidavit.* The party or person making service must prepare, sign and file an affidavit describing the manner and dates of the publication and mailing, and the circumstances warranting service by publication. If no mailing was made because the serving party did not know the current address of the person being served, the affidavit must state that fact.
- (B) *Accompanying Publication.* A printed copy of the publication must accompany the affidavit.
- (C) *Effect.* An affidavit that complies with these requirements constitutes prima facie evidence of compliance with the requirements for service by publication.
- (g) **Service by Publication on an Unknown Heir in a Real Property Action.** An unknown heir of a decedent may be sued as an unknown heir and be served by publication in the county where the action is pending, using the procedures provided in Rule 4.2(f), if:
- (1) the action in which the heir will be served is for the foreclosure of a mortgage on real property or is some other type of action involving title to real property; and
 - (2) the heir must be a party to the action to permit a complete determination of the action.
- (h) **Serving a Corporation, Partnership or Other Unincorporated Association Located Outside Arizona but Within the United States.** If a corporation, partnership or other unincorporated association is located outside Arizona but within the United States, it may be served by delivering a copy of the summons and the pleading being served to a partner, an officer, a managing or general agent, or any other agent authorized by appointment or by law to receive service of process and—if the agent is one authorized by statute and the statute so requires—by also mailing a copy of each to the defendant.

- (i) **Serving an Individual in a Foreign Country.** Unless federal law provides otherwise, an individual—other than a minor, an incompetent person, or a person whose waiver has been filed under Rule 4.2(d)—may be served at a place not within any judicial district of the United States:
- (1) by any internationally agreed means of service that is reasonably calculated to give notice, such as those authorized by the Hague Convention on the Service Abroad of Judicial and Extrajudicial Documents;
 - (2) if there is no internationally agreed means, or if an international agreement allows but does not specify other means, by a method that is reasonably calculated to give notice:
 - (A) as set forth by the foreign country’s law for service in that country in an action in its courts of general jurisdiction;
 - (B) as the foreign authority directs in response to a letter rogatory or letter of request; or
 - (C) unless prohibited by the foreign country’s law, by:
 - (i) delivering a copy of the summons and of the pleading being served to the individual personally; or
 - (ii) using any form of mail that the clerk addresses and sends to the individual and that requires a signed receipt; or
 - (D) by other means not prohibited by international agreement, as the court orders.
- (j) **Serving a Minor or Incompetent Person in a Foreign Country.** A party may serve a minor, a minor with a guardian or conservator, or an incompetent person who is located in a place not within any judicial district of the United States in the manner set forth in Rule 4.2(i)(2)(A) and (B) or by such means as the court may otherwise order.
- (k) **Serving a Corporation, Partnership, or Other Incorporated Association in a Foreign Country.** Unless federal law provides otherwise or the defendant’s waiver has been filed under Rule 4.2(d), a corporation, partnership, or other unincorporated association that has the legal capacity to be sued may be served at a place not within any judicial district of the United States by delivering a copy of the summons and pleading being served in the manner set forth in Rule 4.2(i) for serving an individual, except personal delivery under Rule 4.2(i)(2)(C)(i).
- (l) **Serving a Foreign State.** A foreign state or one of its political subdivisions, agencies, or instrumentalities must be served in accordance with 28 U.S.C. § 1608.

(m) Time to Serve an Answer After Service Outside Arizona. Unless Rule 4.2(d)(3) applies, or the parties agree or the court orders otherwise, a person served outside Arizona under Rule 4.2 must serve a responsive pleading within 30 days after the completion of service. Service of a responsive pleading must be made in the same manner, and the served person is subject to the same consequences, as if the person had been personally served with a summons in the county in which the action is pending.

Rule 5. Serving and Filing Pleadings and Other Documents

(a) Service Generally.

(1) Scope. This rule governs service on other parties after service of the summons and complaint, counterclaim, or third-party complaint.

(2) When Required. Unless these rules provide otherwise, each of the following documents must be served on every party by a method stated in (c):

(A) an order stating that service is required;

(B) a pleading filed after the original complaint, unless the court orders otherwise under (d) because there are numerous defendants;

(C) a discovery document required to be served on a party, unless the court orders otherwise;

(D) a written motion, except one that may be heard *ex parte*; and

(E) a written notice, appearance, demand, or offer of judgment, or any similar document.

(3) If a Party Fails to Appear. No service is required on a party who is in default for failing to appear, except as provided in Rule 55. But a pleading that asserts a new claim for relief against such a party must be served on that party under Rules 4, 4.1, or 4.2, as applicable.

(4) Seizing Property. If an action is begun by seizing property and no person is or need be named as a defendant, any service required before the filing of an appearance, answer, or claim must be made on the person who had custody or possession of the property when it was seized.

(b) Service; Parties Served; Continuance. If there are several defendants, and some are served with process and others are not, the plaintiff may proceed against those who have been served or move to defer disclosure or other case-related activity until additional parties are served.

(c) Service After Appearance; Service After Judgment; How Made.

- (1) *Serving an Attorney.*** If a party is represented by an attorney, service under this rule must be made on the attorney unless the court orders or a specific rule requires service on the party.
- (2) *Service Generally.*** A document is served under this rule by:
- (A)** handing it to the person;
 - (B)** leaving it:
 - (i)** at the person’s office with a clerk or other person in charge or, if no one is in charge, in a conspicuous place in the office; or
 - (ii)** if the person has no office or the office is closed, at the person’s dwelling or usual place of abode with someone of suitable age and discretion who resides there;
 - (C)** mailing it via U.S. mail to the person’s last known address—in which event service is complete upon mailing;
 - (D)** delivering it by any other means, including electronic means other than that described in Rule 5(c)(2)(E), if the recipient consents in writing to that method of service or if the court orders service in that manner—in which event service is complete upon transmission; or
 - (E)** transmitting it through an electronic filing service provider approved by the Administrative Office of the Courts, if the recipient is an attorney of record in the action—in which event service is complete upon transmission.
- (3) *Certificate of Service.*** The date and manner of service must be noted on the last page of original of the served document or in a separate certificate, in a form substantially as follows:

A copy has been or will be mailed/e-mailed/hand-delivered [select one]

on [insert date] to:

[Name of opposing party or attorney]

[Address of opposing party or attorney]

If the precise manner in which service has actually been made is not so noted, it will be conclusively presumed that the document was served by mail. This conclusive presumption will only apply if service in some form has actually been made.

- (4) ***Service After Judgment.*** After the time for appeal from a judgment has expired or a judgment has become final after appeal, a motion, petition, complaint or other pleading requesting modification, vacation or enforcement of that judgment must be served in the same manner that a summons and pleading are served under Rules 4, 4.1, or 4.2, as applicable.

(d) Serving Numerous Defendants.

- (1) ***Generally.*** If an action involves an unusually large number of defendants, the court may, on motion or on its own, order that:
- (A) defendants' pleadings and replies to them need not be served on other defendants;
 - (B) any crossclaim, counterclaim, avoidance, or affirmative defense in those pleadings and replies to them will be treated as denied or avoided by all other parties; and
 - (C) filing any such pleading and serving it on the plaintiff constitutes notice of the pleading to all parties.
- (2) ***Notifying Parties.*** A copy of every such order must be served on the parties as the court directs.

(e) Sensitive Data.

- (1) ***Generally.*** A person must refrain from including the following sensitive data in any document the person files with the court, whether filed electronically or in paper, unless otherwise ordered by the court or as otherwise provided by law:
- (A) ***Social Security Numbers.*** If an individual's social security number must be included in a document, only the last four digits of that number may be used.
 - (B) ***Financial Account Numbers.*** If financial account numbers are relevant or set forth in a document, only the last four digits of these numbers may be used.
- (2) ***Responsibility With Filer.*** The responsibility for not including or redacting sensitive data rests solely with the person making a filing with the court. The clerk and the court are not required to review documents for compliance with this rule, or seal or redact documents that contain sensitive data.
- (3) ***Request for Relief.*** If a document is subject to availability by remote electronic access under Rule 123, Rules of the Supreme Court of Arizona, any party or the party's attorney may ask the court to order, or the court may order on its own, that the document be sealed and/or replaced with an identical document with the sensitive data redacted or removed.

(4) **Sanctions.** If this rule is violated, the court may impose sanctions against the responsible counsel or party to ensure future compliance.

(f) Filing; Attachments.

(1) **Filing.** After a complaint's filing, if a document must be filed within a specified time, it must be both filed and served within that time period.

(2) **Documents Not to Be Filed.** The following documents may not be filed separately and may be filed as attachments or exhibits to other documents only if relevant to the determination of an issue before the court:

(A) **Subpoenas.** Any praecipe used solely for issuance of a subpoena or subpoena duces tecum, any subpoena or subpoena duces tecum, and any affidavit of service of a subpoena, except for post-judgment proceedings;

(B) **Discovery Documents.** Notices of deposition; deposition transcripts; interrogatories and answers; disclosure statements; requests for production, inspection or admission, and responses; requests for physical and mental examination; and notices of service of any discovery or discovery response;

(C) **Proposed Pleadings.** Any proposed pleading, unless filing is necessary to preserve the record on appeal;

(D) **Prior Filings.** Any document that has been previously filed in the action, which may be called to the court's attention by incorporating it by reference;

(E) **Authorities Cited in Memoranda.** Copies of authorities cited in memoranda, unless necessary to preserve the record on appeal; and

(F) **Offers of Judgment.** Offers of judgment served under Rule 68.

(3) **Attachments to Judge.** Except for proposed orders and proposed judgments, a party may attach copies of documents described in Rule 5(f)(2) to a copy of a motion, response or reply delivered to the judge to whom the action has been assigned. Any such documents provided to the judge must also be provided to all other parties.

(4) **Sanctions.** If this rule is violated, the court may order the removal of the offending document from the record and charge the offending party or counsel such costs or fees as may be necessary to cover the clerk's costs of filing, preservation, or storage. It may also impose any additional sanctions provided in Rule 16(i).

(g) Filing With the Court Defined. The filing of documents with the court is accomplished by filing them with the clerk. A judge may permit a document to be filed

with the judge, who must note the filing date on the document and then transmit it to the clerk for inclusion in the clerk's record.

(h) Compulsory Arbitration. A complaint and an answer must be accompanied by the certificate required by Rule 72(e) and the corresponding local rule.

(i) Proposed Orders; Proposed Judgments.

(1) Required Format. A proposed order or proposed judgment must be prepared and filed as a separate document and may not be included as an integral part of a motion, stipulation, or other document. The proposed order or proposed judgment must be prepared in accordance with this rule, and must comply with the provisions of Rule 7.1. There must be at least two lines of text on the signature page.

(2) Service and Filing. Any proposed order or proposed judgment must be served on all parties at the same time it is submitted to the court. The clerk may not file a proposed order or proposed judgment until the court has signed it and authorized its entry. A party may file an unsigned order or judgment only if necessary to preserve the record on appeal.

(3) Stipulations and Motions; Proposed Forms of Order.

(A) All written stipulations must be accompanied by a proposed order. If the proposed order is signed and entered, no minute entry need issue.

(B) If a motion is accompanied by a proposed order, no minute entry need issue if the order is signed and entered.

Rule 5.1. Duties of Counsel

(a) Attorney of Record: Withdrawal and Substitution of Counsel.

(1) Attorney of Record: Duties of Counsel.

(A) Appearance Required. An attorney may appear as attorney of record by filing a document—including a notice of appearance, complaint, answer, motion to quash, notice of association of counsel, or notice of substitution of counsel—that identifies the attorney as the attorney of record for a party. No attorney may file anything in any action or act on behalf of a party in open court without appearing as attorney of record.

(B) Duties. Once an attorney has appeared as an attorney of record in an action, the attorney will be deemed responsible as the party's attorney of record in all matters involving the action until the action ends or the attorney withdraws as the party's attorney or is substituted as the party's attorney by another attorney.

(2) *Withdrawal and Substitution.*

(A) *Court Order Required.* Except as otherwise provided in these rules or in any local rules pertaining to domestic relations actions, an attorney may not withdraw, or be substituted, as attorney of record in any pending action unless authorized to do so by court order.

(B) *Application to Withdraw or Substitute Counsel.* An application to withdraw or be substituted as attorney of record for a party must be in writing, state the reasons for the withdrawal or substitution and set forth the client's address and telephone number. Additionally:

(i) If the application bears the client's written approval, it must be accompanied by a proposed written order and may be presented to the court *ex parte*. The withdrawing attorney must give prompt notice of the entry of such order, together with the client's name and address, to all other parties.

(ii) If the application does not bear the written approval of the client, it must be made by motion and must be served on the client and all other parties. The motion must be accompanied by a certificate of the moving attorney that the client has been notified in writing of the status of the action (including the dates and times of any court hearings or trial settings, pending compliance with any existing court orders, and the possibility of sanctions); or the client cannot be located or cannot be notified of the motion's pendency and the case status.

(C) *Withdrawal After Trial Setting.* No attorney will be permitted to withdraw as attorney of record after a trial date is set, unless:

(i) the application includes the signed statement of a substituting attorney stating that the attorney is aware of the trial date and will be prepared for trial, or the signed statement of the client stating that the client is aware of the trial date and has made suitable arrangements to be prepared for trial; or

(ii) the attorney seeking withdrawal shows good cause for allowing the attorney to withdraw even though the action has been set for trial.

(b) *Responsibility to Court.* Each attorney of record is responsible for keeping advised of the status of, and the deadlines in, pending actions in which that attorney has appeared. If an attorney changes his or her office address, the attorney must notify the clerk and court administrator, in each of the counties in which that attorney has actions that are pending, of the attorney's current office address and telephone number.

(c) Limited Appearance.

- (1) Scope.** In accordance with ER 1.2, Arizona Rules of Professional Conduct, an attorney may undertake limited representation of a person involved in any court proceeding, including vulnerable adult exploitation actions.
- (2) Notice.** An attorney may make a limited appearance by filing and serving a Notice of Limited Scope Representation in a form substantially as prescribed in Rule 84, Form 8.
- (3) Service.** Service on an attorney making a limited appearance on behalf of a party will constitute effective service on that party under Rule 5(c) with respect to all matters in the action, but will not extend the attorney's responsibility for representing the party beyond the specific matters, hearings, or issues for which the attorney has appeared.
- (4) Withdrawal.** Upon an attorney's completion of the representation specified in the Notice of Limited Scope Representation, the attorney may withdraw from the action as follows:
 - (A) With Consent.** If the client consents to withdrawal, the attorney may withdraw from the action by filing a Notice of Withdrawal with Consent, signed by both the attorney and the client, stating:
 - (i)** the attorney has completed the representation specified in the Notice of Limited Scope Representation and will no longer be representing the party; and
 - (ii)** the last known address and telephone number of the party who will no longer be represented.The attorney must serve a copy of the notice on the party who will no longer be represented and on all other parties. The attorney's withdrawal from the action will be effective upon the filing and service of the Notice of Withdrawal with Consent.
 - (B) Without Consent.** If the client does not consent to withdrawal or to sign a Notice of Withdrawal with Consent, the attorney must file a motion to withdraw, which must be served on the client and all other parties, along with a proposed order.
 - (i)** If no objection is filed within 10 days after the motion is served on the client, the court must sign the order unless it determines that good cause exists to hold a hearing on whether the attorney has completed the limited scope representation for which the attorney has appeared. If the court signs the order, the withdrawing attorney must serve a copy of the order on the client.

The withdrawing attorney also must promptly serve a written notice of the entry of such order, together with the name, last known address, and telephone number of the client, on all other parties.

(ii) If an objection is filed within 10 days after the motion is served, the court must conduct a hearing to determine whether the attorney has completed the limited scope representation for which the attorney appeared.

(d) **Notice of Settlement.** It is the duty of an attorney of record, or any party if unrepresented by counsel, to give prompt notice to the assigned judge or commissioner, the clerk and court administrator of the settlement of any action or matter set for trial, hearing or argument. If prompt notice is not afforded, the court may impose sanctions on the attorneys of record or the parties to ensure future compliance with this rule. Jury fees may be taxed as costs as provided in statute and local rule.

Rule 6. Computing and Extending Time

(a) **Computing Time.** The following rules apply in computing any time period specified in these rules or in any local rule, court order, or statute:

(1) ***Day of the Event Excluded.*** Exclude the day of the act, event, or default that begins the period.

(2) ***Exclusions if the Deadline Is Less Than 11 Days.*** Exclude intermediate Saturdays, Sundays, and legal holidays if the period is less than 11 days.

(3) ***Last Day.*** Include the last day of the period unless it is a Saturday, Sunday or legal holiday. When the last day is excluded, the period runs until the next day that is not a Saturday, Sunday or legal holiday.

(4) ***Next Day.*** The “next day” is determined by continuing to count forward when the period is measured after an event and backward when measured before an event.

(b) **Extending Time.**

(1) ***Generally.*** When an act may or must be done within a specified time, the court may, for good cause, extend the time:

(A) with or without motion or notice if the court acts, or the request is made, before the original time or its extension expires; or

(B) on motion made after the time has expired if the party failed to act because of excusable neglect.

(2) Exceptions. A court may not extend the time to act under Rules 50(b), 52(b), 59(d), (g) and (l), and 60(c) except as those rules allow. Additionally, on motion, a court may extend the time to act under these rules for 10 days after the entry of the order extending the time, if:

(A) the moving party files the motion within 30 days after the specified time to act expires under these rules or within 7 days after the party received notice of the entry of the judgment or order triggering the time to act under these rules, whichever is earlier;

(B) the court finds that the moving party was entitled to notice of the entry of judgment or the order, but did not receive notice from the clerk or any party within 21 days after its entry; and

(C) the court finds that no party would be unfairly prejudiced by extending the time to act.

(c) Additional Time After Service Under Rule 5(c)(2)(C), (D), or (E). When a party may or must act within a specified time after service and service is made under Rule 5(c)(2)(C), (D), or (E), 5 calendar days are added after the specified period would otherwise expire under Rule 6(a). This rule does not apply to the clerk's distribution of notice of entry of judgment under Rule 58(e).

III. PLEADINGS AND MOTIONS; PRETRIAL PROCEDURES

Rule 7. Pleadings Allowed; Form of Motions and Other Documents

Only these pleadings are allowed: a complaint; an answer to a complaint; an answer to a counterclaim designated as a counterclaim; an answer to a crossclaim; a third-party complaint; an answer to a third-party complaint; and if the court orders one, a reply to an answer.

Rule 7.1. Forms of Documents

(a) Caption. Documents filed with the court must contain the following information as single-spaced text on the first page of the document:

(1) To the left of the center of the page starting at line 1, the filing party's typed or printed name, address, telephone number, email address, State Bar of Arizona attorney identification number, and any State Bar of Arizona law firm identification number, along with an identification of the party being represented by the attorney (e.g., plaintiff, defendant, third party plaintiff). If the document is being presented

by a litigant representing himself or herself, all of this information must be included except the email address and the State Bar of Arizona identification numbers;

- (2) Centered on or below line 6 of the page, the typed or printed title of the court;
- (3) Below the title of the court and to the left of the center of the document, the typed or printed title of the action or proceeding;
- (4) Opposite the title, in the space to the right of the center of the page, the typed or printed case number of the action or proceeding; and
- (5) Immediately below the case number, a brief description of the nature of the document, typed or printed.

(b) Document Format.

- (1) **Generally.** Unless the court orders otherwise on its own or at the request of a party, all documents filed—other than a document submitted as an exhibit or attachment to a filing—must be prepared as follows:
 - (A) **Text and Background.** The text of every document must be black on a plain white background. All documents filed must be single-sided and must have line numbers at double-spaced intervals along the left side of the page.
 - (B) **Font.** Every typed document must use an easily readable 12-point font. The court prefers proportionally spaced serif fonts, such as Times New Roman, Bookman, Century, Garamond, or Book Antiqua, and discourages monospaced or sans serif fonts such as Arial, Helvetica, Courier, or Calibri. Footnotes must be in 12-point font and must not appear in the space required for the bottom margin.
 - (C) **Page Size.** Each page of a document must be 8 ½ by 11 inches.
 - (i) Despite this general requirement, exhibits, attachments to documents, or documents from jurisdictions other than the State of Arizona and larger than the specified size must be folded to the specified size or folded and fastened to pages of the specified size.
 - (ii) Exhibits or attachments to documents smaller than the specified size must be fastened to pages of the specified size.
 - (iii) An exhibit, an attachment to a document, or a document from a jurisdiction other than the State of Arizona not in compliance with these provisions may be filed only if it appears that compliance is not reasonably practicable.
 - (D) **Margins and Page Numbers.** Margins must be set as follows: Margin at the top of the first page of not less than 2 inches; a margin at the top of each subsequent page of not less than 1-1/2 inches; a left-hand margin of not less than 1 inch; a

right-hand margin of not less than 1/2 inch; and a margin at the bottom of the page of not less than 1/2 inch. Except for the first page, the bottom margin must include a page number.

- (E) *Handwritten Documents.* The court strongly encourages the filing of documents that are typed and prepared on a computer. If a document is handwritten, the text must be legible, and be printed and not include cursive writing or script.
- (F) *Line Spacing.* Text must be double-spaced and may not exceed 28 lines per page, but headings, quotations, and footnotes may be single-spaced. A single-spaced quotation must be indented on the left and right sides.
- (G) *Headings and Emphasis.* Headings must be underlined, or be in italics or bold font. Underlining, italics, or bold font also may be used for emphasis.
- (H) *Citations.* Case names and citation signals must be in italics or underlined.
- (I) *Originals.* Only originals may be filed, except that if it is necessary to file more than one copy of a document, the additional copies may be photocopies or computer generated duplicates.
- (J) *Court Forms.* Printed court forms may be single-spaced except that those requiring the signature of a judge or commissioner must be double-spaced. Printed court forms must be single-sided. All printed court forms must be on paper of sufficient quality and weight to assure legibility upon duplication, microfilming or imaging.

Rule 7.2. Motions

(a) Requirements.

- (1) *Generally.* An application to the court for an order must be by motion which, unless made during a hearing or trial, must be in writing, state with particularity the grounds for granting the motion, and set forth the relief or order sought.
- (2) *Supporting Memorandum.* All motions must be accompanied by a memorandum setting forth the reasons for granting the motion, along with citations to the specific portions or pages of supporting authorities and evidence.
- (3) *Responsive and Reply Memoranda.* Unless a specific rule states otherwise, an opposing party must file any responsive memorandum within 10 days after the motion and supporting memorandum are served; and within 5 days after a responsive memorandum is served, the moving party may file a reply

memorandum, which may address only those matters raised in the responsive memorandum.

(4) ***Affidavits and Other Evidence.*** Affidavits and other evidence submitted in support of any motion or memorandum must be filed with the motion or memorandum, unless the court orders otherwise.

(5) ***Motions in Open Court.*** The court may waive any of these requirements for motions made in open court.

(b) **Effect of Non-compliance or Waiver.** The court may summarily grant or deny a motion if:

(1) the motion, supporting memorandum, or responsive memorandum does not substantially comply with Rule 7.2(a);

(2) the opposing party does not file a responsive memorandum; or

(3) counsel for any moving or opposing party fails to appear at the time and place designated for oral argument.

(c) **Rulings on Motions.**

(1) ***Generally.*** Except as these rules otherwise provide, the court at any time or place, and on such notice, if any, as the court considers reasonable, may make orders for the advancement, conduct, and hearing of motions.

(2) ***Law and Motion Day.*** The court may establish by local rule or order a regular day, time and place to hear, consider and resolve motions.

(3) ***Summary Motions.*** The court may provide by local rule or order for the submission and determination of motions without oral argument based on the filing of brief written statements setting forth reasons in support or opposition to a motion.

(d) **Oral Argument.** The court by local rule or order may limit the length of oral argument, which may not be exceeded without prior court approval.

(e) **Motions for Reconsideration.**

(1) ***Generally.*** A party seeking reconsideration of a court order or ruling may file a motion for reconsideration.

(2) ***Procedure.*** All such motions, however denominated, must be submitted without oral argument and without the filing of a responsive or reply memorandum, unless the court orders otherwise. No motion for reconsideration may be granted, however, without the court providing all other parties an opportunity to respond.

(3) *No Effect on Appeal Deadline.* A motion for reconsideration is not a substitute for a motion filed under Rule 50(b), 52(b), 59 or 60, and will not extend the time within which a notice of appeal must be filed.

(f) Limitations on Motions to Strike.

(1) *Generally.* Unless made at trial or an evidentiary hearing, a motion to strike may be filed only if it is expressly authorized by statute or other rule, or if it seeks to strike any part of a filing or submission on the ground that it is prohibited, or not authorized, by a specific statute, rule, or court order.

(2) *Procedure.* Unless the motion to strike permitted by Rule 7.2(f)(1) is expressly authorized by rule or statute:

(A) it may not exceed 2 pages in length, including its supporting memorandum;

(B) any responsive memorandum must be filed within 5 days after service of the motion and may not exceed 2 pages in length; and

(C) no reply memorandum may be filed unless the court orders otherwise.

(3) *Objections to Admission of Evidence on Written Motions.*

(A) *Objections.* Any objections to, and any arguments regarding the admissibility of, evidence offered in support of or in opposition to a motion (other than a summary judgment motion) must be presented in the objecting party's responsive or reply memorandum and may not be presented in a separate motion to strike or other separate filing. Rule 56(c)(4) provides the procedure for raising objections to the admissibility of evidence in offered in support of, or in opposition to, a summary judgment motion.

(B) *Response to Objections.* Any response to an objection must be included in the responding party's reply memorandum and may not be presented in a separate responsive memorandum.

(C) *Objections to Evidence Offered in a Reply Memorandum.* If the evidence at issue is offered for the first time in connection with a reply memorandum, an objecting party may file a separate objection limited to addressing the new evidence and not exceeding 3 pages in length, within 5 days after the reply memorandum is served. No responsive memorandum may be filed unless the court orders otherwise.

(g) Agreed Extensions of Time for Filing Memoranda.

(1) *Generally.* Subject to the court's power to reject any such agreement, parties may agree to extend the dates on which response and reply memoranda are due if the

extension does not otherwise conflict with other deadlines set by the court or these rules.

- (2) **Procedure.** To make an extension effective, the parties must file a notice setting forth the agreed-upon dates on which the response or reply briefs will be due. The notice must set forth in its title the number of extensions agreed to with respect to that filing (e.g., “Notice of First Extension of Time to File Response on Motion to Dismiss”).
- (3) **Limitations.** No extension will be effective without prior court approval if it purports to make the filing of a reply or other final memorandum due fewer than 5 days before a date for hearing or oral argument previously set by the court, or if the notice of the extension is filed after the memorandum is due.
- (4) **Effective Date.** No order is necessary to obtain an extension under this rule. The extension is effective upon the filing of the notice of extension, unless and until the court enters an order disapproving the time extension.
- (h) **Good Faith Consultation Certificate.** When these rules require that a “good faith consultation certificate” accompany a motion, the movant must attach to the motion a separate statement certifying and demonstrating that the movant has tried in good faith to resolve the issue by conferring with—or attempting to confer with—the party or person against whom the motion is directed. The consultation required by this rule must be in person or by telephone, and not merely by letter or email.

Rule 7.3. Motions *in Limine*

- (a) **Obligation to Confer.** Within sufficient time to comply with Rule 7.3(b), the parties must confer to identify any disputed evidentiary issue that they anticipate will be the subject of a motion *in limine*.
- (b) **Deadline for Filing.** Unless a different schedule is ordered by the court, the parties must file all motions *in limine* for which pretrial rulings are desired no later than 30 days before either a Trial Management Conference or, if no Trial Management Conference is set, the date of the trial.
- (c) **No Replies Permitted.** The moving party may not file a reply in support of its motion *in limine*.
- (d) **Pretrial Rulings.** All motions *in limine* submitted in accordance with Rule 7.3(b) must be ruled on before trial unless the court determines the particular issue of admissibility is better considered at trial. The court’s denial of a motion *in limine* preserves the moving party’s objection to the evidence for purposes of appeal.

- (e) **Effect of Noncompliance.** Motions *in limine* not filed in accordance with Rule 7.3(b) will be deemed untimely and will not be ruled on before trial unless good cause is shown. The failure to file a motion *in limine* in compliance with this rule does not operate as a waiver of the right to object to evidence at trial.

Rule 7.4. Orders to Show Cause

- (a) **Generally.** A court, on application supported by affidavit showing sufficient cause, may issue an order requiring a party to show cause why the party applying for the order should not have the relief it requests in its application. The court must designate a date by which the party must respond, and may set a hearing on the application.
- (b) **Service.** An order to show cause must be served in the same manner that a summons and pleading are served under Rules 4, 4.1, or 4.2, as applicable, or, if the party to whom the order is directed has entered an appearance in the action, in accordance with Rule 5. Service must be effected within such time as the court orders.

Rule 7.5. Joint Filings

- (a) **Duties.** If a rule or order requires parties to jointly prepare and file a document with the court, each party has a duty to:
- (1) make itself reasonably available to participate in preparing the document;
 - (2) promptly respond to communications from any other party concerning the document;
 - (3) cooperate and make a good faith effort to resolve differences about the document's content, format and the manner in which it will be filed; and
 - (4) assure that the document is timely filed.
- (b) **Separate Sections.** If a rule or order allows it, each party or side may prepare its own section of a joint filing, but each section must be clearly identified as being separately prepared by that party or side. A party or side may not make changes to another party's or side's section of a draft joint filing.
- (c) **Separate Filing.** If the filing of a joint document becomes impractical because another party fails to comply with its duties under this rule, a party may prepare and file a document on its own behalf. If it does so, the filing's title must indicate that the party is filing it separately from the other party.

(d) Sanctions. On motion or on its own, a court may sanction any party who violates any of its duties under this rule.

Rule 8. General Rules of Pleading

(a) Claim for Relief. A pleading that states a claim for relief must contain:

- (1) a short and plain statement of the grounds for the court’s jurisdiction, unless the court already has jurisdiction and the claim needs no new jurisdictional support;
- (2) a short and plain statement of the claim showing that the pleader is entitled to relief; and
- (3) a demand for the relief sought, which may include relief in the alternative or different types of relief.

(b) Defenses; Admissions and Denials.

(1) **Generally.** In responding to a pleading, a party must:

- (A) state in short and plain terms its defenses to each claim asserted against it; and
- (B) admit or deny the allegations asserted against it by an opposing party.

(2) **Denials—Responding to the Substance.** A denial must fairly respond to the substance of the allegation.

(3) **General and Specific Denials.** A party who intends in good faith to deny all the allegations of a pleading—including the jurisdictional grounds—may do so by a general denial subject to the obligations provided in Rule 11(a). A party who does not intend to deny all the allegations must either specifically deny designated allegations or generally deny all except those specifically admitted.

(4) **Denying Part of an Allegation.** A party who intends in good faith to deny only part of an allegation must admit the part that is true and deny the rest.

(5) **Lacking Knowledge or Information.** A party who lacks knowledge or information sufficient to form a belief about the truth of an allegation must so state, and the statement has the effect of a denial.

(6) **Effect of Failing to Deny.** An allegation—other than one relating to the amount of damages—is admitted if a responsive pleading is required and the allegation is not denied. If a responsive pleading is not required, an allegation is considered denied or avoided.

(c) Affirmative Defenses.

(1) *Generally.* In responding to a pleading, a party must affirmatively state any avoidance or affirmative defense, including:

- (A)** accord and satisfaction;
- (B)** arbitration and award;
- (C)** assumption of risk;
- (D)** contributory negligence;
- (E)** duress;
- (F)** estoppel;
- (G)** failure of consideration;
- (H)** fraud;
- (I)** illegality;
- (J)** laches;
- (K)** license;
- (L)** payment;
- (M)** release;
- (N)** res judicata;
- (O)** statute of frauds;
- (P)** statute of limitations; and
- (Q)** waiver.

(2) *Mistaken Designation.* If a party mistakenly designates a defense as a counterclaim, or a counterclaim as a defense, the court must, if justice requires, treat the pleading as though it were correctly designated, and may impose terms for doing so.

(d) Pleading to Be Concise and Direct; Alternative Statements; Inconsistency.

(1) *Generally.* Each allegation of a pleading must be simple, concise, and direct. No technical form is required.

(2) *Alternative Statements of a Claim or Defense.* A party may set out two or more statements of a claim or defense alternatively or hypothetically, either in a single

count or defense or in separate ones. If a party makes alternative statements, the pleading is sufficient if any one of them is sufficient.

(3) *Inconsistent Claims or Defenses.* A party may state as many separate claims or defenses as it has, regardless of consistency.

(e) *Construing Pleadings.* Pleadings must be construed so as to do justice.

(f) *Claims for Damages.* In all actions in which a party is pursuing a claim other than for a sum certain or for a sum which can by computation be made certain, no dollar amount or figure for damages sought may be stated in any pleading allowed under Rule 7. The pleading setting forth the claim may include a statement reciting that the minimum jurisdictional amount established for filing the action has been satisfied.

(g) *Civil Cover Sheets.*

(1) *Generally.*

(A) When filing a civil action, a plaintiff must complete and submit a Civil Cover Sheet in a form approved by the Supreme Court. The public may obtain this form from the website of the Administrative Office of the Courts.

(B) The Civil Cover Sheet must contain:

(i) the plaintiff's correct name and mailing address;

(ii) the plaintiff's attorney's name and bar number;

(iii) the defendant's name(s);

(iv) the nature of the civil action or proceeding;

(v) the main case categories and subcategories designated by the Administrative Director;

(vi) whether the action meets the criteria for a complex civil action listed in Rule 8(h); and

(vii) such other information as the Supreme Court may require.

(C) A superior court may require by local rule that additional information be provided in an Addendum to the Civil Cover Sheet.

(2) *Writs of Garnishment.* A writ of garnishment does not require a Civil Cover Sheet, but it must include, under the case number on the petition's or complaint's first page, one of the following notations, as applicable:

(A) federal exemption;

(B) enforce order of support;

- (C) enforce order of bankruptcy;
- (D) enforce collection of taxes; or
- (E) non-earnings.

(3) *Complex Civil Actions.* If an action is designated as complex under Rule 8(h), the notation “complex” must appear under the case number on the complaint’s first page. This requirement is in addition to the designation required under Rule 8(g)(1) in the Civil Cover Sheet.

(h) Complex Civil Litigation Program Designation.

- (1) *Definition.*** In those counties in which a complex civil litigation program has been established, a “complex civil action” is a civil action that requires continuous judicial management to avoid placing unnecessary burdens on the court or the litigants and to expedite the case, keep costs reasonable, and promote an effective decision making process by the court, the parties, and counsel.
- (2) *Factors.*** In deciding whether a civil action is a complex civil action under (h)(1), the court must consider the following factors:
 - (A) numerous pretrial motions raising difficult or novel legal issues that will be time-consuming to resolve;
 - (B) management of a large number of witnesses or a substantial amount of documentary evidence;
 - (C) management of a large number of separately represented parties;
 - (D) coordination with related actions pending in one or more courts in other counties, states or countries, or in a federal court;
 - (E) substantial postjudgment judicial supervision;
 - (F) the action would benefit from permanent assignment to a judge who would have acquired a substantial body of knowledge in a specific area of the law;
 - (G) inherently complex legal issues;
 - (H) factors justifying the expeditious resolution of an otherwise complex dispute; and
 - (I) any other factor which in the interests of justice warrants a complex designation or as otherwise required to serve the interests of justice.

(3) Procedure for Designating a Complex Civil Action.

(A) Generally. When filing its initial complaint, a plaintiff may designate an action as a complex civil action by filing a motion and separate certification of complex civil action identifying the case attributes in Rule 8(h)(2) justifying the designation. The certification must be in a form approved by the Supreme Court as set forth in Rule 8(h)(8) and must be served on the defendant along with the motion when the complaint is served. A plaintiff's certification, and any controverting certificate of a party represented by an attorney, must be signed by at least one attorney of record in the attorney's individual name. A party who is not represented by an attorney must sign the party's certification of complexity or controverting certification.

(B) Effect of Signature. The signature of an attorney or party constitutes a certification by the signer that the signer has considered the applicability of this rule; that the signer has read the certificate of complexity or controverting certificate; that to the best of the signer's knowledge, information and belief, formed after reasonable inquiry, it is warranted; and that the allegation as to complexity is not set forth for any improper purpose. Rule 11(a) applies to every certification of complexity filed under this rule.

(4) Procedure for Opposing Designation. If a plaintiff has certified an action as complex, the court has not previously declared the action to be a complex civil action, and the defendant disagrees with the plaintiff's assertion as to complexity, the defendant must file—no later than when that party files its first responsive pleading—a response to plaintiff's motion and a controverting certification that specifies the particular reason for the defendant's disagreement with plaintiff's certificate.

(5) Designation by Defendant or Joint Designation. If the plaintiff has not done so and if the court has not already made a ruling in this matter, a defendant may designate an action as a complex civil action by filing a motion and the certification of complex civil action described in Rule 8(h)(3) with or before the filing of defendant's first responsive pleading. The parties may join in designating an action as a complex civil action by filing a joint motion and certification of complex civil action with or before the filing of defendant's first responsive pleading.

(6) Action by Court.

(A) On Motion When Filing an Initial Pleading. The presiding superior court judge in the county in which the action is pending, or the judge's designee, must

decide, with or without a hearing, whether the action is a complex civil action within 30 days after the filing of the response to the designating party's motion.

- (B) *Later Ruling.* At any time during the pendency of an action, the court, on motion or on its own, may decide that a civil action is a complex civil action or that an action previously declared to be a complex civil action is not a complex civil action.
- (C) *Sanctions.* If the court finds that a party or its counsel has made an allegation as to complexity that was not made in good faith, the court, on motion or on its own, may make such orders with regard to such conduct as are just, including, among others, any action authorized under Rule 11(a).
- (7) *Not Appealable.* Parties do not have the right to appeal the court's decision regarding the designation of an action as complex or noncomplex.
- (8) *Program Designation Certification Form.* The certification of a complex civil action must be substantially in the form set forth in Rule 84, Form 10.

Experimental Rule 8.1. Assignment and Management of Commercial Cases

(a) Application; Definitions. This rule applies in counties that have established specialized courts for commercial cases, which are referred to in this rule as “the commercial court.”

The commercial court will hear “commercial cases,” as defined in Rule 8.1(a)(1), which also meet the criteria of either Rule 8.1(b) or Rule 8.1(c).

- (1) A “commercial case” is one in which:
 - (A) At least one plaintiff and one defendant are “business organizations;”
 - (B) The primary issues of law and fact concern a “business organization;” or
 - (C) The primary issues of law and fact concern a “business contract or transaction.”
- (2) A “business organization” includes a sole proprietorship, corporation, partnership, limited liability company, limited partnership, master limited partnership, professional association, joint venture, business trust, or a political subdivision or government entity that is a party to a business contract or transaction. A “business organization” excludes an individual, a family trust, or a political subdivision or government entity that is not a party to a business contract or transaction.
- (3) A “business contract or transaction” is one in which a business organization sold, purchased, licensed, transferred, or otherwise provided goods, materials, services,

intellectual property, funds, realty, or other obligations. The term “business contract or transaction” excludes a “consumer contract or transaction.”

- (4) A “consumer contract or transaction” is one that is primarily for personal, family, or household purposes.

(b) Cases With No Amount in Controversy Requirement. Regardless of the amount in controversy, the commercial court will hear a commercial case that:

- (1) Concerns the internal affairs, governance, dissolution, receivership, or liquidation of a business organization;
- (2) Arises out of obligations, liabilities, or indemnity claims between or among owners of the same business organization (including shareholders, members, and partners), or which concerns the liability or indemnity of individuals within a business organization (including officers, directors, managers, member managers, general partners, and trustees);
- (3) Concerns the sale, merger, or dissolution of a business organization, or the sale of substantially all of the assets of a business organization;
- (4) Relates to trade secrets or misappropriation of intellectual property, or arises from an agreement not to solicit, compete, or disclose;
- (5) Is a shareholder or member derivative action;
- (6) Arises from a commercial real estate transaction;
- (7) Arises from a relationship between a franchisor and a franchisee;
- (8) Involves the purchase or sale of securities or allegations of securities fraud; or
- (9) Concerns a claim under state antitrust law.

(c) Cases Subject to an Amount in Controversy Requirement. If the amount in controversy is at least \$50,000, the commercial court will hear a commercial case that:

- (1) Arises from a contract or transaction governed by the Uniform Commercial Code;
- (2) Involves the sale of services by, or to, a business organization;
- (3) Is a malpractice claim against a professional, other than a medical professional, that arises from services the professional provided to a business organization;
- (4) Arises out of tortious or statutorily prohibited business activity, such as unfair competition, tortious interference, misrepresentation or fraud; or

(5) Concerns a surety bond, or arises under any type of commercial insurance policy purchased by a business organization, including an action involving coverage, bad faith, or a third-party indemnity claim against an insurer.

(d) **Ineligible Case Types.** Subject to Rule 8.1(e)(4), the following case types generally are not eligible for assignment to the commercial court, unless other criteria specified in Rule 8.1(b) and (c) predominate the case:

(1) Evictions;

(2) Eminent domain or condemnation;

(3) Civil rights;

(4) Motor vehicle torts and other torts involving physical injury to a plaintiff;

(5) Administrative appeals;

(6) Domestic relations, protective orders, or criminal matters, except a criminal contempt arising in a commercial court case; or

(7) Wrongful termination of employment.

(e) **Assignment of Cases to Commercial Courts.**

(1) ***Plaintiff's Duties.*** If a case meets the definition of a “commercial case” as set forth above, and also meets the criteria of either Rule 8.1(b) or Rule 8.1(c), the plaintiff must include in the initial complaint’s caption the words “eligible for commercial court.” At the time of filing the initial complaint, the plaintiff must also complete a civil cover sheet that indicates the action is an eligible commercial case.

(2) ***Assignment to Commercial Court.*** The court administrator will review a complaint and civil cover sheet filed in accordance with Rule 8.1(e)(1) and will assign an eligible case to a commercial court judge.

(3) ***Motion to Reconsider Assignment to Commercial Court.*** After assignment of a case to the commercial court, a commercial court judge, upon motion of a party or on the judge’s own initiative, may reconsider whether assignment of that case to the commercial court is appropriate under Rules 8.1(a) through 8.1(d). Any party filing a motion under this Rule must do so no later than 20 days after the defendant files an answer or a motion under Rule 12, or within 20 days after that party’s appearance in the case. If a commercial court judge concludes that a case is not appropriate for assignment to the commercial court, that judge may reassign the case to a general civil court.

(4) ***Motion to Transfer to Commercial Court.*** On the court’s own initiative, on motion of a party filed within 20 days after a defendant files an answer or a motion

under Rule 12, or on motion of a party filed within 20 days of that party's appearance, a judge of a general civil court may order the transfer of a case to the commercial court if that judge determines that the matter meets the criteria of Rules 8.1(a) through 8.1(d).

(5) *Complex Cases.* Assignment of a case to the commercial court does not impair the right of a party to request reassignment of the case to a complex civil litigation program under Rule 8(i).

(f) *Case Management.* Rules 16(a) through 16(k) apply to cases in the commercial court, except:

(1) *Scheduling Conference.* Scheduling conferences under Rule 16(d) are mandatory.

(2) *Initial Conference.* Before filing a Joint Report, the parties must confer, as set forth in the commercial court's ESI checklist, and attempt to reach agreements that may be appropriate in the case concerning the disclosure and production of electronically stored information ("ESI"), including:

(A) Requirements and limitations on disclosure and production of ESI;

(B) The form or formats in which the ESI will be disclosed or produced; and

(C) If appropriate, sharing or shifting of costs incurred by the parties for disclosing and producing ESI.

(3) *Joint Report.* The parties' Rule 16(b) Joint Report and Proposed Scheduling Order must address the items specified in Forms 14(a) and 14(b), including the following:

(A) Whether the parties have reached any agreements with regard to ESI, what those agreements are, those areas on which they were unable to agree, and whether the parties request the court to enter an order concerning ESI;

(B) Whether the parties reached agreements under Rule 502 of the Rules of Evidence;

(C) Whether any party is requesting the court to enter a protective order under Rule 26(c), and if so, a brief statement concerning the need for a protective order; and

(D) Whether there are any issues concerning claims of privilege or protection of trial preparation materials pursuant to Rule 26.1(f).

(g) *Motions.* With notice to the parties, a commercial court judge may modify the formal requirements of Rule 7.1(a), and may adopt a different practice for the efficient and prompt resolution of motions.

Rule 9. Pleading Special Matters

(a) Capacity or Authority to Sue; Legal Existence.

(1) **Generally.** Except when required to show that the court has jurisdiction, a pleading need not allege:

(A) a party's capacity to sue or be sued;

(B) a party's authority to sue or be sued in a representative capacity; or

(C) the legal existence of an organized association of persons that is made a party.

(2) **Raising Those Issues.** To raise any of those issues, a party must do so by a specific denial, which must state any supporting facts that are peculiarly within the party's knowledge.

(b) **Fraud, Mistake, Condition of the Mind.** In alleging fraud or mistake, a party must state with particularity the circumstances constituting fraud or mistake. Malice, intent, knowledge, and other conditions of a person's mind may be alleged generally.

(c) **Conditions Precedent.** In pleading conditions precedent, it suffices to allege generally that all conditions precedent have occurred or been performed. But when denying that a condition precedent has occurred or been performed, a party must do so with particularity.

(d) **Official Document or Act.** In pleading an official document or official act, it suffices to allege that the document was legally issued or the act was legally done.

(e) **Judgment.** In pleading a judgment or decision, it suffices to plead the judgment or decision without pleading facts showing that the decision-maker had jurisdiction to render it.

(f) **Time and Place.** An allegation of time or place is material when testing a pleading's sufficiency.

(g) **Special Damages.** If an item of special damage is claimed, it must be specifically stated.

(h) **Complaint in an Action for Libel or Slander.** In an action claiming libel or slander, it suffices to allege generally that a defamatory matter pertained to the plaintiff. It is not necessary for the plaintiff to allege extrinsic facts supporting that allegation. If the defendant controverts the allegation in an answer, the plaintiff must prove it at trial.

Rule 10. Form of Pleadings

- (a) **Caption; Names of Parties.** Every pleading must have a caption in the form prescribed by Rule 7.1(a), along with the pleading's designation under Rule 7. The title of the complaint must name all the parties; the title of other pleadings and documents, after naming the first party on each side, may refer generally to other parties by the designation "*et al.*"
- (b) **Paragraphs; Separate Statements.** A party must state its claims or defenses in numbered paragraphs, each limited as far as practicable to a single set of circumstances. A later pleading may refer by number to a paragraph in an earlier pleading. If doing so would promote clarity, each claim founded on a separate transaction or occurrence—and each defense other than a denial—must be stated in a separate count or defense.
- (c) **Adoption by Reference; Exhibits.** A statement in a pleading may be adopted by reference elsewhere in the same pleading or in any other pleading or motion. A copy of a written instrument that is an exhibit to a pleading is a part of the pleading for all purposes.
- (d) **Using a Fictitious Name to Identify a Defendant.** If the name of the defendant is unknown to the plaintiff, the defendant may be designated in the pleadings or proceeding by any name. If the defendant's true name is discovered, the pleading or proceeding should be amended accordingly.

Rule 11. Signing Pleadings, Motions, and Other Documents; Representations to the Court; Sanctions; Assisting Filing by Self-Represented Person

- (a) **Signature.** Every pleading, written motion, and other document served or filed with the court must be signed by at least one attorney of record in the attorney's name—or by a party personally if the party is unrepresented. The document must state the signer's address, e-mail address and telephone number. Unless a rule or statute specifically states otherwise, pleadings need not be verified or accompanied by affidavit. The court must strike an unsigned document unless the omission is promptly corrected after being called to the attorney's or party's attention.
- (b) **Representations to the Court.** By signing a pleading, motion, or other document, the attorney or party certifies that to the best of the person's knowledge, information and belief formed after reasonable inquiry:
- (1) it is not being presented for any improper purpose, such as to harass, cause unnecessary delay, or needlessly increase the cost of litigation;

- (2) the claims, defenses, and other legal contentions are warranted by existing law or by a nonfrivolous argument for extending, modifying, or reversing existing law or for establishing new law;
- (3) the factual contentions have evidentiary support or, if specifically so identified, will likely have evidentiary support after a reasonable opportunity for further investigation or discovery; and
- (4) the denials of factual contentions are warranted on the evidence or, if specifically so identified, are reasonably based on belief or a lack of information.

(c) Sanctions.

(1) **Generally.** If a pleading, motion or other document is signed in violation of this rule, the court, on motion or on its own, must impose on the person who signed it, a represented party, or both, an appropriate sanction, which may include an order to pay to the other party or parties the amount of the reasonable expenses incurred because of the filing of the document, including a reasonable attorney's fee.

(2) **Consultation.** Before filing a motion for sanctions under this rule, the moving party must:

(A) attempt to resolve the matter by good faith consultation as provided in Rule 7.2(h); and

(B) if the matter is not satisfactorily resolved by consultation, serve the opposing party with written notice of the specific conduct that allegedly violates Rule 11(b). If the opposing party does not withdraw or appropriately correct the alleged violation(s) within 10 days after the written notice is served, the moving party may file a motion under Rule 11(c)(3).

(3) **Motion for Sanctions.** A motion for sanctions under this rule must:

(A) be made separately from any other motion;

(B) describe the specific conduct that allegedly violates Rule 11(b);

(C) be accompanied by a Rule 7.2(h) good faith consultation certificate; and

(D) attach a copy of the written notice provided to the opposing party under Rule 11(a)(2)(B).

(d) **Assisting Filing by Self-Represented Person.** An attorney may help draft a pleading, motion or other document filed by an otherwise self-represented person, and the attorney need not sign that pleading, motion, or other document. In providing such drafting assistance, the attorney may rely on the otherwise self-represented person's representation of facts, unless the attorney has reason to believe that such

representations are false or materially insufficient, in which case the attorney shall make an independent reasonable inquiry into the facts.

Rule 12. Defenses and Objections: When and How Presented; Motion for Judgment on the Pleadings; Consolidating Motions; Waiving Defenses; Pretrial Hearing

(a) Time to Serve a Responsive Pleading.

(1) *Generally.* Unless another time is specified by rule or statute, the time for serving a responsive pleading is as follows:

(A) A defendant or third-party defendant must serve an answer:

(i) within 20 days after being served with the summons and complaint, except as otherwise provided in Rules 4.2(d) and 4.2(m); or

(ii) if it has timely waived service under Rule 4(f), within 60 days after the request for a waiver was sent, or within 90 days after it was sent to the defendant or third-party defendant outside any judicial district of the United States.

(B) A party must serve an answer to a counterclaim or crossclaim within 20 days after being served with the pleading that states the counterclaim or crossclaim.

(C) A party must serve a reply to an answer within 20 days after being served with an order to reply, unless the order specifies a different time.

(2) *Effect of a Motion.* Unless the court sets a different time, serving a motion under this rule alters these periods as follows:

(A) if the court denies the motion or postpones its disposition until trial, the responsive pleading must be served within 10 days after notice of the court's action; or

(B) if the court grants a motion for a more definite statement, the responsive pleading must be served within 10 days after the more definite statement is served.

(b) How to Present Defenses. Every defense to a claim for relief in any pleading must be asserted in the responsive pleading if one is required. But a party may assert the following defenses by motion:

(1) lack of subject-matter jurisdiction;

(2) lack of personal jurisdiction;

- (3) improper venue;
- (4) insufficient process;
- (5) insufficient service of process;
- (6) failure to state a claim upon which relief can be granted; and
- (7) failure to join a party under Rule 19.

A motion asserting any of these defenses must be made before pleading if a responsive pleading is allowed. If a pleading sets out a claim for relief that does not require a responsive pleading, an opposing party may assert at trial any defense to that claim. A party does not waive a defense or objection by joining it with one or more other defenses or objections in a responsive pleading or in a motion. A party may assert improper venue as a defense only if the action cannot be or could not have been transferred to the proper county under A.R.S. § 12-404.

- (c) **Motion for Judgment on the Pleadings.** After the pleadings are closed—but no later than the date on which dispositive motions must be filed—a party may move for judgment on the pleadings.
- (d) **Result of Presenting Matters Outside the Pleadings.** If, on a motion under Rule 12(b)(6) or 12(c), matters outside the pleadings are presented to, and not excluded by, the court, the motion must be treated as one for summary judgment under Rule 56. All parties must be given a reasonable opportunity to present all the material that is pertinent to the motion.
- (e) **Motion for a More Definite Statement.** If a pleading to which a responsive pleading is permitted is so vague or ambiguous that a party cannot reasonably be required to frame a responsive pleading, the party may move for a more definite statement before filing a responsive pleading. The motion must point out the defects complained of and the details desired. If the court orders a more definite statement and the order is not obeyed within 10 days after notice of the order or within the time the court sets, the court may strike the pleading or issue any other appropriate order.
- (f) **Motion to Strike.** The court may strike from a pleading an insufficient defense or any redundant, immaterial, impertinent, or scandalous matter. The court may act:
 - (1) on its own; or
 - (2) on motion made by a party either before responding to the pleading or, if a response is not allowed, within 20 days after the pleading is served.

(g) Joining Motions.

- (1) ***Right to Join.*** A motion under this rule may be joined with any other motion allowed by this rule.
- (2) ***Limitation on Further Motions.*** Except as provided in Rule 12(h)(2) or (3), a party who makes a motion under this rule must not make another motion under this rule raising a defense or objection that was available to the party but omitted from its earlier motion.

(h) Waiving and Preserving Certain Defenses.

- (1) ***When Some Are Waived.*** A party waives any defense listed in Rule 12(b)(2)-(5) by:
 - (A) omitting it from a motion in the circumstances described in Rule 12(g)(2); or
 - (B) failing to either:
 - (i) make it by motion under this rule; or
 - (ii) include it in a responsive pleading or in an amendment allowed by Rule 15(a)(1) as a matter of course.
 - (2) ***When to Raise Others.*** Failure to state a claim upon which relief can be granted, to join a person required by Rule 19(b), or to state a legal defense to a claim may be raised:
 - (A) in any pleading allowed or ordered under Rule 7;
 - (B) by a motion under Rule 12(c); or
 - (C) at trial.
 - (3) ***Lack of Subject-Matter Jurisdiction.*** If the court determines at any time that it lacks subject-matter jurisdiction, the court must dismiss the action.
- (i) **Preliminary Hearings.** If a party so moves, any defense listed in Rule 12(b)(1)-(7)—whether made in a pleading or by motion—and a motion under Rule 12(c) must be heard and decided before trial unless the court orders a deferral until trial.

Rule 13. Counterclaim and Crossclaim

(a) Compulsory Counterclaim.

- (1) ***Generally.*** A pleading must state as a counterclaim any claim that—at the time of its service—the pleader has against an opposing party if the claim:

- (A) arises out of the transaction or occurrence that is the subject matter of the opposing party's claim; and
 - (B) does not require adding another party over whom the court cannot acquire jurisdiction.
- (2) **Exceptions.** The pleader need not state the claim if:
- (A) when the action was commenced, the claim was the subject of another pending action; or
 - (B) the opposing party sued on its claim by attachment or other process that did not establish personal jurisdiction over the pleader on that claim, and the pleader does not assert any counterclaim under this rule.
- (b) **Permissive Counterclaim.** A pleading may state as a counterclaim against an opposing party any claim that is not compulsory.
- (c) **Relief Sought in a Counterclaim.** A counterclaim need not diminish or defeat the recovery sought by the opposing party. It may request relief that exceeds in amount or differs in kind from the relief sought by the opposing party.
- (d) **Counterclaim Against the State.** These rules do not expand the right to assert a counterclaim—or to claim a credit—against the State of Arizona or one of its officers or agencies.
- (e) **Counterclaim Maturing or Acquired After Pleading.** The court may permit a party to file a supplemental pleading asserting a counterclaim that matured or was acquired by the party after serving an earlier pleading.
- (f) **Crossclaim Against a Coparty.**
- (1) **Generally.** A party may state as a crossclaim any claim against a coparty if the claim arises out of the same transaction, occurrence, or event that is the subject matter of the original action or of a counterclaim, or if the claim relates to any property that is the subject matter of the original action. The crossclaim may include a claim that the coparty is or may be liable to the cross-claimant for all or part of a claim asserted in the action against the cross-claimant.
 - (2) **When Co-Defendants Must Present Crossclaims.** A defendant's crossclaim against a co-defendant must be stated when the defendant files an answer or other response to the complaint or counterclaim, unless an amendment is later allowed under Rule 15(a).
- (g) **Joining Additional Parties.** Rules 19 and 20 govern the addition of a person as a party to a counterclaim or crossclaim.

- (h) Separate Trials; Separate Judgments.** If the court orders separate trials under Rule 42(b), it may enter judgment on a counterclaim or crossclaim under Rule 54(b) when it has jurisdiction to do so, even if the opposing party’s claims have been dismissed or otherwise resolved.

Rule 14. Third-Party Practice

(a) When a Defending Party May Bring in a Third Party.

- (1) *Timing of the Summons and Third-Party Complaint.*** A defending party may, as third-party plaintiff, serve a summons and third-party complaint on a nonparty who is or may be liable to it for all or part of the claim against it. But the third-party plaintiff must, by motion, obtain the court’s leave if it files the third-party complaint more than 10 days after serving its original answer.
- (2) *Third-Party Defendant’s Claims and Defenses.*** The person served with the summons and third-party complaint—the “third-party defendant”:
 - (A)** must defend against the third-party plaintiff’s claim under Rules 8 and 12;
 - (B)** must assert any counterclaim against the third-party plaintiff under Rule 13(a), and may assert any counterclaim against the third-party plaintiff under Rule 13(b) or any crossclaim against another third-party defendant under Rule 13(f);
 - (C)** may assert against the plaintiff any defense that the third-party plaintiff has to the plaintiff’s claim; and
 - (D)** may also assert against the plaintiff any claim arising out of the transaction or occurrence that is the subject matter of the plaintiff’s claim against the third-party plaintiff.
- (3) *Plaintiff’s Claims Against a Third-Party Defendant.*** The plaintiff may assert against the third-party defendant any claim arising out of the transaction or occurrence that is the subject matter of the plaintiff’s claim against the third-party plaintiff. The third-party defendant must then defend against the plaintiff’s claim under Rules 8 and 12 and assert any counterclaim under Rule 13(a), and may assert any counterclaim under Rule 13(b) or any crossclaim under Rule 13(f).
- (4) *Motion to Strike, Sever, or Try Separately.*** Any party may move to strike the third-party claim, to sever it, or to try it separately.
- (5) *Third-Party Defendant’s Claim Against a Nonparty.*** A third-party defendant may proceed under this rule against a nonparty who is or may be liable to the third-party defendant for all or part of any claim against it.

- (b) When a Plaintiff May Bring in a Third Party.** When a claim is asserted against a plaintiff, the plaintiff may bring in a nonparty as a third party if this rule would allow a defendant to do so.

Rule 15. Amended and Supplemental Pleadings

(a) Amendments Before Trial.

- (1) Amending as a Matter of Course.** A party may amend its pleading once as a matter of course:
- (A)** no later than 21 days after serving it if the pleading is one to which no responsive pleading is permitted; or
 - (B)** no later than 21 days after a responsive pleading is served if the pleading is one to which a responsive pleading is required or, if a motion under Rule 12(b), (e), or (f) is served, on or before the date on which a response to the motion is due, whichever is earlier.
- (2) Other Amendments.** In all other instances, a party may amend its pleading only with leave of court or with the written consent of all opposing parties who have appeared in the action. Leave to amend must be freely given when justice requires.
- (3) Effect on Pending Motions.** After the filing of a motion under Rule 12(b), (e), or (f), an amendment as a matter of course does not, by itself, moot the motion as to the adequacy of the pleading's allegations as revised in the amended pleading and does not relieve a party opposing the motion from filing a timely response.
- (4) Proposed Pleading as an Exhibit.** A party moving for leave to amend a pleading must attach a copy of the proposed amended pleading as an exhibit to the motion. The exhibit must show the respects in which the proposed pleading differs from the existing pleading by bracketing or striking through the text to be deleted and underlining the text to be added.
- (5) Filing and Response.** If a motion for leave to amend is granted, the moving party must file and serve the amended pleading within 10 days after the entry of the order granting the motion, unless the court orders otherwise. If the pleading is one to which a responsive pleading is required, an opposing party must answer or otherwise respond an amended pleading within the time remaining for response to the original pleading or within 10 days after the amended pleading is served, whichever is later, unless the court orders otherwise.

(b) Amendments During and After Trial.

- (1) *Based on an Objection at Trial.*** If, at trial, a party objects that evidence is not within the issues raised in the pleadings, the court may permit the pleadings to be amended. The court should freely permit an amendment when doing so will aid in presenting the merits and the objecting party fails to satisfy the court that the evidence would unfairly prejudice that party's action or defense on the merits. The court may grant a continuance to enable the objecting party to respond to the evidence.
- (2) *For Issues Tried by Consent.*** When an issue not raised by the pleadings is tried by the parties' express or implied consent, it must be treated in all respects as if raised in the pleadings. A party may move—at any time, even after judgment—to amend the pleadings to conform to the evidence and to raise an unpleaded issue. But failure to amend does not affect the result of the trial of that issue.

(c) Relation Back of Amendments.

- (1) *Amendment Adding Claim or Defense.*** An amendment relates back to the date of the original pleading if the amendment asserts a claim or defense that arose out of the conduct, transaction, or occurrence set forth, or attempted to be set forth, in the original pleading.
 - (2) *Amendment Changing Party.*** An amendment changing the party against whom a claim is asserted relates back if:
 - (A)** Rule 15(c)(1) is satisfied; and
 - (B)** within the applicable limitations period—plus the period provided in Rule 4(i) for the service of the summons and complaint—the party to be brought in by amendment:
 - (i)** has received such notice of the institution of the action that it will not be prejudiced in maintaining a defense on the merits, and
 - (ii)** knew or should have known that, but for a mistake concerning the identity of the proper party, the action would have been brought against the party.
 - (3) *Service.*** Service of process in compliance with Rules 4.1(h), (i), or (j) satisfies the requirements of Rule 15(c)(2)(B)(i) and (B)(ii) with respect to the state, county, or municipal corporation—or any agency or officer of those entities—to be brought into the action as a defendant.
- (d) Supplemental Pleadings.** On motion and reasonable notice, the court may permit the party to file a supplemental pleading setting forth any transaction, occurrence, or event

that happened after the date of the pleading to be supplemented. A court may permit supplementation even though the original pleading is defective in stating a claim for relief or defense. The court may order the opposing party to plead to the supplemental pleading within a specified time.

Rule 16. Scheduling and Management of Actions

(a) Objectives. In accordance with Rule 1, the court must manage a civil action with the following objectives:

- (1) expediting a just disposition of the action;
- (2) establishing early and continuing control so that the action will not be protracted because of lack of management;
- (3) ensuring that discovery is appropriate to the needs of the action considering the importance of the discovery in resolving the issues and achieving a just resolution of the action on the merits, the importance of the issues at stake, the amount in controversy, the burden or expense imposed by the discovery, and the parties' resources;
- (4) discouraging wasteful, expensive and duplicative pretrial activities;
- (5) improving the quality of case resolution through more thorough and timely preparation;
- (6) facilitating the appropriate use of alternative dispute resolution;
- (7) conserving parties' resources;
- (8) managing the court's calendar to eliminate unnecessary trial settings and continuances; and
- (9) adhering to applicable standards for timely resolution of civil actions.

(b) Joint Report and Proposed Scheduling Order.

(1) *Applicability.* This Rule 16(b) applies to all civil actions except:

- (A) medical malpractice actions;
- (B) actions subject to compulsory arbitration under Rule 72(b);
- (C) actions designated complex under Rule 8(i)(6); and
- (D) actions seeking the following relief:
 - (i) change of name;

- (ii) forcible entry and detainer;
 - (iii) enforcement, domestication, transcript, or renewal of a judgment;
 - (iv) an order pertaining to a subpoena sought under Rule 45.1(e);
 - (v) restoration of civil rights;
 - (vi) injunction against harassment or workplace harassment;
 - (vii) delayed birth certificate;
 - (viii) amendment of birth certificate or marriage license;
 - (ix) civil forfeiture;
 - (x) distribution of excess proceeds;
 - (xi) review of a decision of an agency or a court of limited jurisdiction; and
 - (xii) declarations of factual innocence under Rule 57.1 or factual improper party status under Rule 57.2.
- (2) ***Conference of the Parties.*** No later than 60 days after any defendant has filed an answer to the complaint or 180 days after the action commences, whichever occurs first—the parties must confer regarding the subjects set forth in Rule 16(d).
- (3) ***Filing of Joint Report and Proposed Scheduling Order.*** No later than 14 days after the parties confer under Rule 16(b)(2), they must file a Joint Report and a Proposed Scheduling Order with the court stating—to the extent practicable—their positions on the subjects set forth in Rule 16(d) and proposing a Scheduling Order that specifies deadlines for the following by calendar date, month, and year:
- (A) service of initial disclosures under Rule 26.1 if they have not already been served;
 - (B) identification of areas of expert testimony;
 - (C) identification of and disclosure of expert witnesses and their opinions under Rule 26.1(a)(6);
 - (D) propounding of written discovery;
 - (E) disclosure of non-expert witnesses;
 - (F) completion of depositions;
 - (G) completion of all discovery other than depositions;
 - (H) final supplementation of Rule 26.1 disclosures;

- (I) holding a Rule 16.1 settlement conference or private mediation;
 - (J) filing of dispositive motions;
 - (K) a proposed trial date; and
 - (L) the anticipated number of days for trial.
- (4) **Requirements of Joint Report and Proposed Scheduling Order.** Unless the court orders otherwise for good cause, the parties' Proposed Scheduling Order must set the deadlines for completing discovery and for holding a Rule 16.1 settlement conference or private mediation to occur no more than 15 months after the action commenced. The Joint Report must certify that the parties conferred regarding the subjects set forth in Rule 16(d). The attorneys of record and all unrepresented parties that have appeared in the action are jointly responsible for arranging and participating in the conference, for attempting in good faith to agree on a Proposed Scheduling Order, and for filing the Joint Report and the Proposed Scheduling Order with the court.
- (5) **Forms.** The parties must file the Joint Report and the Proposed Scheduling Order using the forms approved by the Supreme Court and set forth in Forms 11-13, Rule 84, Appendix of Forms.
- (A) *Expedited.* The parties must use Forms 11(a) and (b) (Expedited Case) when all of the following factors apply:
- (i) Every party except defaulted parties has filed an answer;
 - (ii) There are no third party claims;
 - (iii) The parties intend to have no more than one expert per side; and
 - (iv) Each party intends to call no more than four lay witnesses at trial.
- (B) *Standard.* The parties must use Forms 12(a) and (b) (Standard Case) if the action is not eligible for management as an Expedited Case or Complex Case.
- (C) *Complex.* The parties must use Forms 13(a) and (b) (Complex Case) if the factors enumerated in Rule 8(i)(2) apply, regardless of whether the court has designated the action as complex.
- (6) **Case Designation.** On any party's request, the court may designate any action as expedited, standard, or complex. The court should endeavor to conduct trial in expedited actions within 12 months after the action commenced.

(c) Scheduling Orders.

- (1) *Timing.*** The court must issue a Scheduling Order as soon as practicable either after receiving the parties' Joint Report and their Proposed Scheduling Order under Rule 16(b) or after holding a Scheduling Conference.
- (2) *Contents.*** The Scheduling Order must include calendar deadlines specifying the month, date, and year for each of the items included in the Proposed Scheduling Order submitted under Rule 16(b). The Scheduling Order must also set either (1) a trial date or (2) a date for a Trial-Setting Conference under Rule 16(f) at which a trial date may be set. Absent leave of court, no trial may be set unless the parties certify that they engaged in a settlement conference, or private mediation or that they will do so by a date certain approved by the court. The Scheduling Order also may direct that a party must request a conference with the court before moving for an order relating to discovery. It also may address other appropriate matters.
- (3) *Modification of Dates Established by Scheduling Order.*** The parties may modify the dates established in a Scheduling Order that govern court filings or hearings only for good cause and with the court's consent. Once a trial date is set, the parties may modify that date only under Rule 38.1.

(d) Scheduling Conferences in Non-medical Malpractice Actions. Except in medical malpractice actions, on a party's written request the court must—or on its own the court may—set a Scheduling Conference. At any Scheduling Conference under this Rule 16(d), the court may:

- (1)** determine what additional disclosures, discovery and related activities will be undertaken and a schedule for those activities;
- (2)** discuss which form of Joint Report and Scheduling Order is appropriate under Rule 16(b)(3);
- (3)** determine whether the court should enter orders addressing one or more of the following:
 - (A)** setting forth any requirements or limits for the disclosure or discovery of electronically stored information, including the form or forms in which the electronically stored information should be produced;
 - (B)** setting forth any measures the parties must take to preserve discoverable documents or electronically stored information; and
 - (C)** adopting any agreements the parties reach for asserting claims of privilege or of protection for trial preparation materials after production;

- (4) determine a schedule for the disclosure of expert witnesses and whether the parties should be required to provide signed reports from retained or specially employed experts setting forth a complete statement of all opinions, the basis and reasons for the opinions, and the facts or data considered by the expert in forming the opinions;
 - (5) determine the number of expert witnesses or designate expert witnesses as set forth in Rule 26(b)(4)(D);
 - (6) determine a date for the disclosure of non-expert witnesses and the order of their disclosure;
 - (7) determine a deadline for the filing of dispositive motions;
 - (8) resolve any discovery disputes;
 - (9) eliminate non-meritorious claims or defenses;
 - (10) permit the amendment of the pleadings;
 - (11) assist in identifying those issues of fact that are still contested;
 - (12) obtain stipulations for the foundation or admissibility of evidence;
 - (13) determine the desirability of special procedures for managing the action;
 - (14) consider alternative dispute resolution and determine a deadline for the parties to participate in a settlement conference or private mediation;
 - (15) determine whether any time limits or procedures set forth in these rules or local rules should be modified or suspended;
 - (16) determine whether the parties have complied with Rule 26.1;
 - (17) determine a date for filing the Joint Pretrial Statement required by Rule 16(g);
 - (18) set a trial date and determine the anticipated number of days needed for trial;
 - (19) discuss the imposition of time limits on trial proceedings, the use of juror notebooks, the giving of brief pre-voir dire opening statements and preliminary jury instructions, and the effective management of documents and exhibits;
 - (20) determine how a verbatim record of future proceedings in the action will be made; and
 - (21) discuss other matters and enter other orders that the court deems appropriate.
- (e) **Scheduling and Subject Matter at Comprehensive Pretrial Conferences in Medical Malpractice Actions.** This Rule 16(e) applies in medical malpractice actions. Within 5 days after receiving answers or motions from all served defendants, a plaintiff must notify the court so that it can set a Comprehensive Pretrial Conference.

Within 60 days after receiving the notice, the court must conduct a Comprehensive Pretrial Conference. At that Conference, the court and the parties must:

- (1) Determine the additional disclosures, discovery and related activities to be undertaken and a schedule for those activities. The schedule must include the depositions to be taken, any medical examination that a defendant desires to be made of a plaintiff, and the additional documents, electronically stored information, and other materials to be exchanged. Except on the parties' stipulation or on motion showing good cause, only those depositions specifically authorized in the conference may be taken. On any defendant's request, the court must require an authorization to allow the parties to obtain copies of records previously produced under Rule 26.2(a)(2) or records ordered to be produced by the court. If records are obtained under such authorization, the party obtaining the records must furnish—at its sole expense—complete copies to all other parties;
- (2) Determine a schedule for the disclosure of standard-of-care and causation expert witnesses. Unless good cause is shown, such disclosure must be simultaneous and be made within 30 to 90 days after the conference, depending on the number and complexity of the issues. Unless good cause is shown, no motion for summary judgment based on the lack of expert testimony may be filed until after the date set for the simultaneous disclosure of expert witnesses;
- (3) Determine the order of and dates for the disclosure of all other expert and non-expert witnesses. The deadlines for disclosing all witnesses, expert and non-expert, must be at least 45 days before the close of discovery. Unless extraordinary circumstances are shown, the court must preclude any untimely disclosed witness from testifying at trial;
- (4) Determine the number of expert witnesses or designate expert witnesses as set forth in Rule 26(b)(4)(D);
- (5) Determine whether additional non-uniform interrogatories and/or requests for admission or production are necessary and, if so, the number permitted;
- (6) Resolve any discovery disputes;
- (7) Discuss alternative dispute resolution, including mediation, and binding and non-binding arbitration;
- (8) Assure compliance with A.R.S. § 12-570;
- (9) Set a date for a mandatory settlement conference;
- (10) Set a date for filing the Joint Pretrial Statement required by Rule 16(g);

- (11) Set a trial date;
- (12) Determine how a verbatim record of future proceedings in the action will be made; and
- (13) Discuss other matters and enter other orders that the court deems appropriate.

(f) Trial Setting Conference.

- (1) **Generally.** If the court has not already set a trial date in a Scheduling Order or otherwise, the court must hold a Trial-Setting Conference—as set by the Scheduling Order—for the purpose of setting a trial date. The conference must be attended in person—or telephonically, as permitted by the court—by at least one of the attorneys who will conduct the trial for each of the parties and by any unrepresented parties. If a trial date is not set at the Trial-Setting Conference, the court must schedule another Trial-Setting Conference as soon as practicable for the setting of a trial date.
- (2) **Subject Matter.** In addition to setting a trial date, the court may discuss at the Trial-Setting Conference:
 - (A) the status of discovery and any dispositive motions that have been or will be filed;
 - (B) a date for holding a Trial Management Conference under Rule 16(g);
 - (C) the imposition of time limits on trial proceedings;
 - (D) the use of juror questionnaires;
 - (E) the use of juror notebooks;
 - (F) the giving of brief pre-voir dire opening statements and preliminary jury instructions;
 - (G) the effective management of documents and exhibits; and
 - (H) other matters that the court deems appropriate.

(g) Joint Pretrial Statement: Preparation; Trial Management Conference.

- (1) **Preparation of Joint Pretrial Statement.** Counsel or the unrepresented parties who will try the action and who are authorized to make binding stipulations must confer and prepare a written Joint Pretrial Statement, signed by each counsel or unrepresented party. The parties must file the Joint Pretrial Statement no later than 10 days before the date of the Trial Management Conference, or if no conference is scheduled, 10 days before trial. Plaintiffs must submit their portion of the Joint Pretrial Statement to all parties no later than 20 days before the date when the

Statement must be filed. All other parties must submit their portion of the Joint Pretrial Statement to all parties no later than 15 days before the date when the Statement must be filed.

(2) *Contents of Joint Pretrial Statement.* The parties must prepare the Joint Pretrial Statement as a single document that must contain the following:

- (A)** Stipulations of material fact and applicable law;
- (B)** Contested issues of fact and law that the parties agree are material or applicable;
- (C)** A separate statement by each party of other issues of fact and law that the party believes are material;
- (D)** A list of witnesses each party intends to call to testify at trial, identifying those witnesses whose testimony will be presented solely by deposition. Each party must list any objection to a witness and the basis for that objection. Unless the court orders otherwise for good cause, no witness may testify at the trial other than those listed;
- (E)** Each party's final list of exhibits to be used at trial for any purpose, including impeachment. Each party must list any objection to an exhibit and the basis for that objection. Unless the court orders otherwise for good cause, no exhibit may be used at trial other than those listed. The parties should identify any exhibits that the stipulate can be admitted into evidence, with such stipulations being subject to court approval;
- (F)** A statement by each party identifying any proposed deposition summaries or designating portions of any deposition testimony to be offered by that party at trial, other than for impeachment purposes. The parties must designate deposition testimony by transcript page and line numbers. The parties must file with the Joint Pretrial Statement a copy of any proposed deposition summary and the written transcript of designated deposition testimony. Each party must list any objection to the proposed deposition summaries and designated deposition testimony and the basis for that objection. Unless the court orders otherwise for good cause, no deposition testimony may be used at trial other than that designated or counter-designated in the Joint Pretrial Statement or that used solely for impeachment purposes;
- (G)** a brief statement of the case to be read to the jury during voir dire. If the parties cannot agree on this statement, then each party must submit a separate statement for the court's consideration;
- (H)** Requested technical equipment;

- (I) Requested interpreters;
 - (J) If the trial is to a jury, the number of jurors and alternates, whether the alternates may deliberate, and the number of jurors required to reach a verdict;
 - (K) Whether any party is invoking Rule 615 of the Arizona Rules of Evidence regarding the exclusion of witnesses from the courtroom;
 - (L) A brief description of settlement efforts; and
 - (M) How a verbatim record of the trial will be made.
- (3) ***Delivery of Exhibits.*** Plaintiffs must deliver copies of all their exhibits to all parties no later than 10 days before the date when the Joint Pretrial Statement must be filed. All other parties must deliver copies of all their exhibits to all parties no later than 5 days before the date when the Joint Pretrial Statement must be filed. Any exhibit that cannot be reproduced must be made available for inspection to all parties on or before these deadlines.
- (4) ***Additional Documents to File if Trial Is to a Jury.*** If the trial is to a jury, the parties must—on the same day they file the Joint Pretrial Statement—file (A) an agreed-upon set of jury instructions, verdict forms, and voir dire questions, and (B) any additional jury instructions, verdict forms, and voir dire questions requested, but not agreed upon.
- (5) ***Jury Notebooks.*** A party intending to submit a jury notebook to the jurors must serve a copy of the notebook on the other parties no later than 5 days before the Trial Management Conference, or, if no conference is scheduled, no later than 5 days before the trial.
- (6) ***Trial Memoranda.*** A party must file any trial memorandum no later than 5 days before the Trial Management Conference, or, if no conference is scheduled, no later than 5 days before the trial.
- (7) ***Trial Management Conference.*** Any Trial Management Conference scheduled by the court should be held as close to the time of trial as reasonable under the circumstances. The conference must be attended by at least one of the attorneys who will conduct the trial for each of the parties and by any unrepresented parties.
- (8) ***Modifications.*** This rule’s provisions may be modified by court order.
- (h) **Pretrial Orders.** After any conference held under this rule, the court must enter an order reciting the action taken. This order controls the later course of the action unless modified by a later court order. The order entered after a Trial Management Conference under Rule 16(g) may be modified only to prevent manifest injustice.

(i) Sanctions.

(1) *Generally.* Except on a showing of good cause, the court—on motion or on its own—must enter such orders as are just—including, among others, any of the orders in Rule 37(b)(2)(B), (C), or (D)—if a party or attorney:

(A) fails to obey a scheduling or pretrial order or fails to meet the deadlines set in the order;

(B) fails to appear at a Scheduling Conference, Comprehensive Pretrial Conference, Trial-Setting Conference, or Trial Management Conference;

(C) is substantially unprepared to participate in a Scheduling Conference, Comprehensive Pretrial Conference, Trial-Setting Conference, or Trial Management Conference;

(D) fails to participate in good faith in a Scheduling Conference, Comprehensive Pretrial Conference, Trial-Setting Conference, or Trial Management Conference; or

(E) fails to participate in good faith in the preparation of a Joint Report and Proposed Scheduling Order or a Joint Pretrial Statement.

(2) *Award of Expenses.* Unless the court finds the conduct substantially justified or that other circumstances make an award of expenses unjust, the court must—in addition to or in lieu of any other sanction—require the party, the attorney representing the party, or both to pay:

(A) another party’s reasonable expenses, including attorney’s fees, incurred as a result of the conduct;

(B) an assessment to the clerk; or

(C) both.

(3) *Trial Date.* The fact that a trial date has not been set does not preclude sanctions under this rule, including the sanction of excluding untimely disclosed information from evidence.

(j) *Alternative Dispute Resolution.* On motion—or on its own after consulting with the parties—the court may direct the parties to submit the dispute that is the subject matter of the action to an alternative dispute resolution program created or authorized by appropriate local court rules.

(k) *Time Limits.* The court may impose reasonable time limits on trial proceedings.

* * *

Comment

2017 Amendment

Federal Rule of Civil Procedure 26(b)(1) was amended effective December 1, 2015, to expressly use the word “proportional” in describing the scope of discovery. The amendments to Arizona Rules of Civil Procedure 16(a) and 26(b)(1)(C) have not been amended to incorporate use of the word “proportional,” but instead Rule 16(a)(3) uses the word “appropriate.” This was done to avoid any possible misreading of the rules that might place undue emphasis on any one factor (e.g., the amount in controversy). No single factor is intended to be dispositive in all cases, but rather the factors should be considered together in determining the appropriateness of given discovery in an action. While the language of the “proportional” versus “appropriate” differs, the factors under Federal Rule of Civil Procedure 26(b)(1) for reaching that determination are similar to those under amended Arizona Rule of Civil Procedure 16(a)(3) and 26(b)(1)(C).

Rule 16.1. Settlement Conferences: Objectives

(a) Generally. At any party’s request or on its own, a court may hold one or more pretrial settlement conferences unless the action is a lower court appeal or is subject to compulsory arbitration under Rule 72. A pretrial settlement conference must be held in a medical malpractice action.

(b) Deadlines and Scheduling.

(1) *Timing.*

(A) In a medical malpractice action, the court must schedule and conduct a settlement conference no earlier than 4 months after the Rule 16(e) conference and no later than 30 days before trial.

(B) In all other actions, the Scheduling Order sets the deadline for a settlement conference, unless the court orders otherwise.

(2) *Scheduling and Planning.* The order setting a settlement conference should include the date, time and place of the conference, the deadline by which settlement conference memoranda must be submitted, and other matters the court deems appropriate. An order setting a settlement conference may not be modified except by court order for good cause.

(c) Settlement Conference Memoranda.

(1) Requirement and Timing. Each party must submit a settlement conference memorandum to the court at least 5 days before the settlement conference.

(2) Method of Submission.

(A) In a medical malpractice action, a settlement conference memorandum must be filed and served on all other parties participating in the conference.

(B) In all other actions, a settlement conference memorandum must not be filed. Instead, it must be delivered under seal to the judge assigned to the action. Unless the court orders otherwise, the memorandum does not need to be served on the other parties.

(3) Contents. Each settlement conference memorandum must provide:

(A) a general description of the claims, defenses and issues in the action, and the party's position on each claim, defense and issue;

(B) a general description of the evidence that that the party anticipates presenting at trial;

(C) a summary of any settlement negotiations that have already occurred;

(D) the party's assessment of the likely outcome if the action proceeds to trial; and

(E) any other information that might be helpful to the settling the action.

(4) Admissibility. No part of any settlement conference memorandum is admissible in evidence.

(d) Attendance. Every party and its counsel must attend a settlement conference unless specifically excused by the court for good cause. Additionally, each party must have a representative present who has actual authority to enter into a binding settlement agreement. All participants must appear in person unless the parties agree or the court orders otherwise.

(e) Confidentiality. The court may order that discussions between the court and a party or the party's counsel during a settlement conference be treated confidentially and not be revealed to others.

(f) Transfer. On motion or on its own, the court may transfer a settlement conference to another court division that is willing to conduct the conference.

(g) Ex Parte Communications. The court, with the consent of the parties participating in the conference, may engage in *ex parte* communications if the court believes it might facilitate the action's settlement.

(h) Sanctions. A court may enter any of the sanctions provided in Rule 16(i) if a party or its counsel is substantially unprepared to participate in a settlement conference or fails to participate in the conference in good faith.

Rule 16.2. Initial Case Management Conference in Actions Assigned to the Complex Civil Litigation Program

(a) Conference; Subjects for Consideration. Once an action is determined to be a complex civil action under Rule 8(h)(6), the court must conduct an initial case management conference at the earliest practical date with all represented parties, and must promptly enter a Case Management Order after the conference. Among the subjects that should be considered at such a conference are:

- (1)** the status of parties and pleadings;
- (2)** determining whether severance, consolidation, or coordination with other actions is desirable;
- (3)** scheduling motions to dismiss or other preliminary motions;
- (4)** scheduling class certification motions, if applicable;
- (5)** scheduling discovery proceedings, setting limits on discovery and determining whether to appoint a discovery master;
- (6)** issuing protective orders;
- (7)** any requirements or limitations for the disclosure or discovery of electronically stored information, including the form or forms in which the electronically stored information should be produced;
- (8)** any measures the parties must take to preserve discoverable documents or electronically stored information;
- (9)** any agreements reached by the parties for asserting claims of privilege or of protection as to trial-preparation materials after production;
- (10)** appointing liaison counsel and admission of non-resident counsel;
- (11)** scheduling settlement conferences;
- (12)** whether the requirements and timing for disclosure under Rule 26.1 should be varied;
- (13)** scheduling expert disclosures and whether sequencing of expert disclosures is warranted;

- (14) scheduling dispositive motions;
 - (15) adopting a uniform numbering system for documents and establishing a document depository;
 - (16) determining whether electronic service of discovery materials and pleadings is warranted;
 - (17) organizing a master list of contact information for counsel;
 - (18) determining whether expedited trial proceedings are desired or appropriate;
 - (19) scheduling further conferences as necessary;
 - (20) use of technology, videoconferencing and/or teleconferencing;
 - (21) determination of whether the issues can be resolved by summary judgment, summary trial, trial to the court, jury trial, or some combination of these procedures; and
 - (22) such other matters as the court or the parties deem appropriate in managing or expediting the action.
- (b) Meeting of Parties Before Conference.** Before the initial case management conference, all parties who have appeared in the action, or their counsel, must meet and confer concerning the matters to be raised at the conference, must attempt in good faith to reach agreement on as many case management issues as possible, and must submit a joint report to the court no later than 7 days before the conference. The court may sanction a party or its counsel if the party or counsel fails to participate in good faith in this meeting.
- (c) Purpose of Conference.** The purpose of the initial case management conference is to identify the essential issues in the litigation and to avoid unnecessary, burdensome or duplicative discovery and other pretrial procedures in the course of preparing for trial of those issues.
- (d) Establishing Time Limits.** Time limits should be regularly used to expedite major phases of a complex civil action. Time limits should be established early, tailored to the circumstances of each action, firmly and fairly maintained, and accompanied by other methods of sound judicial management. The date of the final pre-trial conference must be set by the court as early as possible.
- (e) Commencement of Discovery.** Unless the parties agree by stipulation filed with the court or the court orders otherwise, no party may initiate discovery or disclosure in a complex civil action until the court has entered a Case Management Order in the action.

IV. PARTIES

Rule 17. Plaintiff and Defendant; Capacity; Public Officers

(a) Real Party in Interest.

(1) ***Designation Generally.*** An action must be prosecuted in the name of the real party in interest. The following may sue in their own names without joining the person for whose benefit the action is brought:

(A) a personal representative or executor;

(B) an administrator;

(C) a guardian;

(D) a bailee;

(E) a trustee of an express trust;

(F) a party with whom or in whose name a contract has been made for another's benefit; and

(G) a party authorized by statute.

(2) ***Action in the Name of the State for Another's Use or Benefit.*** When a state statute so provides, an action for another's use or benefit must be brought in the name of the State of Arizona.

(3) ***Joinder of the Real Party in Interest.*** The court may not dismiss an action for failure to prosecute in the name of the real party in interest until, after an objection, a reasonable time has been allowed for the real party in interest to ratify, join, or be substituted into the action. After ratification, joinder, or substitution, the action proceeds as if it had been originally commenced by the real party in interest.

(b) **Actions by Personal Representatives; Setting Aside Judgment.** An executor, administrator, or guardian may commence or maintain any action that the testator or intestate could have commenced or maintained, and an action may be brought against an executor, administrator, or guardian if it could have been brought against the testator or intestate. The judgment in such an action is as conclusive as if it was rendered in favor of or against the testator or intestate. An interested person may apply to set aside the judgment on the ground that it resulted from fraud or collusion by the executor, administrator, or guardian.

(c) **Actions by or Against a County, City, or Town.** An action brought by or against a county or an incorporated city or town must use its corporate name when identifying it as a party.

- (d) **Public Officer's Title and Name.** A public officer who sues or is sued in an official capacity may be identified as a party by the officer's official title rather than by name, provided that it is sufficient to identify the particular public officer being sued, but the court may require the officer's name to be used or added to identify the officer as the party.
- (e) **Actions Against a Surety, Assignor, or Endorser.** A plaintiff may sue a contractual assignor, endorser, guarantor, surety, or the drawer of a bill that has been accepted, without joining the maker, acceptor, or other principal obligor if:
- (1) the latter resides outside Arizona, or in a part of Arizona where it cannot be served under Rules 4, 4.1, or 4.2;
 - (2) the latter's residence is unknown and cannot be ascertained through reasonable diligence;
 - (3) the latter is dead; or
 - (4) the latter is insolvent.
- (f) **Minor or Incompetent Person.**
- (1) ***With a Representative.*** The following representatives may sue or defend on behalf of a minor or an incompetent person:
 - (A) a general guardian;
 - (B) a conservator; or
 - (C) a similar fiduciary.
 - (2) ***Without a Representative.***
 - (A) ***Generally.*** A minor or an incompetent person who does not have a duly appointed representative may sue by a next friend or by a guardian ad litem. The court must appoint a guardian ad litem—or issue another appropriate order—to protect a minor or incompetent person who is unrepresented in an action.
 - (B) ***Consent.*** No person may be appointed guardian ad litem unless the person files a written consent to the appointment.
 - (C) ***Bond.*** If a next friend or guardian ad litem brings an action on behalf of a minor, that person may not receive any of the minor's money or property without filing a bond as security in an amount and under such terms as the court approves.
 - (D) ***Liability for Costs.*** Unless the court orders otherwise, a next friend or guardian ad litem may not be held personally liable for costs.

(E) *Compensation.* The court may award reasonable compensation to a next friend or a guardian ad litem for their services, which must be taxed as part of the action's costs.

(g) **Partnerships.** A partnership may sue and be sued in the name that it has adopted or by which it is known.

Rule 18. Joinder of Claims

(a) **Generally.** A party asserting a claim, counterclaim, crossclaim, or third-party claim may join, as independent or alternative claims, as many claims as it has against an opposing party.

(b) **Joinder of Contingent Claims.** A party may join two claims even though one of them is contingent on the disposition of the other; but the court may grant relief only in accordance with the parties' relative substantive rights. In particular, a party may state a claim for money and a claim to set aside a conveyance that is fraudulent as to that party, without first obtaining a judgment for the money.

Rule 19. Required Joinder of Parties

(a) **Persons Required to Be Joined if Feasible.**

(1) ***A Person Required to Be Made a Party.*** A person who is subject to service of process and whose joinder will not deprive the court of subject-matter jurisdiction must be joined as a party if:

(A) in that person's absence, the court cannot accord complete relief among existing parties; or

(B) that person claims an interest relating to the subject of the action and is so situated that disposing of the action in the person's absence may:

(i) as a practical matter impair or impede the person's ability to protect the interest; or

(ii) leave an existing party subject to a substantial risk of incurring double, multiple, or otherwise inconsistent obligations because of the interest.

(2) ***Joinder by Court Order.*** If a person required to be made a party has not been joined, the court must order that the person be made a party. A person who refuses to join as a plaintiff may be made either a defendant or, in a proper case, an involuntary plaintiff.

(3) **Venue.** If a joined party objects to venue and the joinder would make venue improper, the court must dismiss that party.

(b) **When Joinder Is Not Feasible.** If a person required to be joined if feasible cannot be joined, the court must determine whether, in equity and good conscience, the action should proceed among the existing parties or should be dismissed. The factors for the court to consider include:

(1) the extent to which a judgment rendered in the person's absence might prejudice that person or the existing parties;

(2) the extent to which any prejudice could be lessened or avoided by:

(A) protective provisions in the judgment;

(B) shaping the relief; or

(C) other measures;

(3) whether a judgment rendered in the person's absence would be adequate; and

(4) whether the plaintiff would have an adequate remedy if the action were dismissed for nonjoinder.

(c) **Pleading the Reasons for Nonjoinder.** When asserting a claim for relief, a party must state:

(1) the name, if known, of any person required to be joined if feasible who is not joined; and

(2) the reasons for not joining that person.

(d) **Exception of Class Actions.** This rule is subject to Rule 23.

Rule 20. Permissive Joinder of Parties

(a) **Persons Who May Join or Be Joined.**

(1) **Plaintiffs.** Persons may join in one action as plaintiffs if:

(A) they assert any right to relief jointly, severally, or in the alternative with respect to or arising out of the same transaction, occurrence, or series of transactions or occurrences; and

(B) any question of law or fact common to all plaintiffs will arise in the action.

(2) **Defendants.** Persons may be joined in one action as defendants if:

(A) any right to relief is asserted against them jointly, severally, or in the alternative with respect to or arising out of the same transaction, occurrence, or series of transactions or occurrences; and

(B) any question of law or fact common to all defendants will arise in the action.

(3) **Extent of Relief.** Neither a plaintiff nor a defendant need be interested in obtaining or defending against all the relief demanded. The court may grant judgment to one or more plaintiffs according to their rights, and against one or more defendants according to their liabilities.

(b) **Protective Measures.** The court may issue orders—including an order for separate trials—to protect a party against embarrassment, delay, expense, or other prejudice that arises from including a person against whom the party asserts no claim and who asserts no claim against the party.

Rule 21. Improper Joinder and Non-joinder of Parties; Severance

Joinder of a party that is not permitted under Rule 20(a) is not a ground to dismiss an entire action. At any time—on just terms—the court may dismiss an improperly joined party or join any party who may be properly joined under Rule 20(a). The court may also sever any claim against a party, and that severed claim may proceed as a separate and independent action.

Rule 22. Interpleader

(a) **Grounds.**

(1) **Generally.** Interpleader is a procedure where one holding money or property subject to adverse claims may seek to avoid multiple liability by joining in a single action anyone who asserts or may assert claims to the money or property.

(2) **By a Plaintiff.** A plaintiff may join as defendants anyone who asserts or may assert claims to the money or property.

(3) **By a Defendant.** A defendant may seek interpleader through a crossclaim or counterclaim.

(4) **Propriety of Interpleader.** Interpleader is proper even though:

(A) the claims, or the titles on which the claims depend, lack a common origin or are adverse and independent rather than identical; or

(B) the party requesting interpleader denies liability in whole or in part to any or all of the claimants.

(b) Release from Liability Upon Deposit or Delivery. A party requesting interpleader under (a) may move the court for an order discharging that party from liability to the claimants. The court may discharge the party upon:

- (1) the party's deposit in court of the money claimed; or
- (2) the party's delivery of the property as the court directs.

(c) Relation to Other Rules. This rule supplements—and does not limit—the joinder of parties allowed by Rule 20.

Rule 23. Class Actions

(a) Prerequisites. One or more members of a class may sue or be sued as representative parties on behalf of all members only if:

- (1) the class is so numerous that joinder of all members is impracticable;
- (2) there are questions of law or fact common to the class;
- (3) the claims or defenses of the representative parties are typical of the claims or defenses of the class; and
- (4) the representative parties will fairly and adequately protect the interests of the class.

(b) Types of Class Actions. A class action may be maintained if Rule 23(a) is satisfied and if:

- (1) prosecuting separate actions by or against individual class members would create a risk of:
 - (A) inconsistent or varying adjudications with respect to individual class members that would establish incompatible standards of conduct for the party opposing the class; or
 - (B) adjudications with respect to individual class members that—as a practical matter—would be dispositive of the interests of the other members not parties to the individual adjudications or would substantially impair or impede the other members' ability to protect their interests;
- (2) the party opposing the class has acted or refused to act on grounds that apply generally to the class, so that final injunctive relief or corresponding declaratory relief is appropriate for the class as a whole; or

- (3) the court finds that the questions of law or fact common to class members predominate over any questions affecting only individual members, and that a class action is superior to other available methods for fairly and efficiently adjudicating the controversy. The matters pertinent to these findings include:
- (A) the class members' interests in individually controlling the prosecution or defense of separate actions;
 - (B) the extent and nature of any litigation concerning the controversy already begun by or against class members;
 - (C) the desirability or undesirability of concentrating the litigation of the claims in the particular forum; and
 - (D) the likely difficulties in managing a class action.

(c) Certification Order; Notice to Class Members; Judgment; Issues Classes; Subclasses.

(1) Certification Order.

- (A) *Time to Issue.* At an early practicable time after a person sues or is sued as a class representative, the court must hold a hearing and determine by order whether to certify the action as a class action.
- (B) *Defining the Class; Appointing Class Counsel.* An order that certifies a class action must:
 - (i) define the class and the class claims, issues, or defenses; and
 - (ii) appoint class counsel under Rule 23(g).
- (C) *Altering or Amending the Order.* An order that grants or denies class certification may be altered or amended before final judgment.

(2) Notice.

- (A) *For (b)(1) or (b)(2) Classes.* For any class certified under Rule 23(b)(1) or (b)(2), the court may direct appropriate notice to the class.
- (B) *For (b)(3) Classes.* For any class certified under Rule 23(b)(3), the court must direct to class members the best notice that is practicable under the circumstances, including individual notice to all members who can be identified through reasonable effort. The notice must clearly and concisely state in plain, easily understood language:
 - (i) the nature of the action;

- (ii) the definition of the class certified;
 - (iii) the class claims, issues, or defenses;
 - (iv) that a class member may enter an appearance through an attorney if the member so desires;
 - (v) that the court will exclude from the class any member who requests exclusion;
 - (vi) the time and manner for requesting exclusion; and
 - (vii) the binding effect of a class judgment on members under Rule 23(c)(3).
- (3) **Judgment.** Whether or not favorable to the class, the judgment in a class action must:
- (A) for any class certified under Rule 23(b)(1) or (b)(2), include and describe those whom the court finds to be class members; and
 - (B) for any class certified under Rule 23(b)(3), include and specify or describe those to whom the Rule 23(c)(2) notice was directed, who have not requested exclusion, and whom the court finds to be class members.
- (4) **Particular Issues.** When appropriate, an action may be brought or maintained as a class action with respect to particular issues.
- (5) **Subclasses.** When appropriate, a class may be divided into subclasses that are each treated as a class under this rule.
- (d) **Conducting the Action.**
- (1) **Generally.** In conducting an action under this rule, the court may issue orders that:
- (A) determine the course of proceedings or prescribe measures to prevent undue repetition or complication in presenting evidence or argument;
 - (B) require—to protect class members and fairly conduct the action—giving appropriate notice to some or all class members of:
 - (i) any step in the action;
 - (ii) the proposed extent of the judgment; or
 - (iii) the members’ opportunity to signify whether they consider the representation fair and adequate, to intervene and present claims or defenses, or to otherwise come into the action;
 - (C) impose conditions on the representative parties or on intervenors;

- (D) require that the pleadings be amended to eliminate allegations about representation of absent persons and that the action proceed accordingly; or
 - (E) deal with similar procedural matters.
- (2) **Combining and Amending Orders.** An order under Rule 23(d)(1) may be altered or amended from time to time and may be combined with an order under Rule 16.
- (e) **Settlement, Voluntary Dismissal, or Compromise.** The claims, issues, or defenses of a certified class may be settled, voluntarily dismissed, or compromised only with the court's approval. The following procedures apply to a proposed settlement, voluntary dismissal, or compromise:
- (1) the court must direct notice in a reasonable manner to all class members who would be bound by the proposal;
 - (2) if the proposal would bind class members, the court may approve it only after a hearing and on finding that it is fair, reasonable, and adequate;
 - (3) the parties seeking approval must file a statement identifying any agreement made in connection with the proposal;
 - (4) if the class action was previously certified under Rule 23(b)(3), the court may refuse to approve a settlement unless it affords a new opportunity to request exclusion by individual class members who had an earlier opportunity to request exclusion but did not do so; and
 - (5) any class member may object to the proposal if it requires court approval under this rule; the objection may be withdrawn only with the court's approval.
- (f) **Appeals.** The court's order certifying or denying class action status is appealable in the same manner as a final order or judgment. During the pendency of an appeal under A.R.S. § 12-1873, all discovery and other proceedings are stayed except that—on motion—the court may permit discovery to continue.
- (g) **Class Counsel.**
- (1) **Appointing Class Counsel.** Unless a statute provides otherwise, a court that certifies a class must appoint class counsel. In appointing class counsel, the court:
 - (A) must consider:
 - (i) the work counsel has done in identifying or investigating potential claims in the action;
 - (ii) counsel's experience in handling class actions, other complex litigation, and the types of claims asserted in the action;

- (iii) counsel’s knowledge of the applicable law; and
 - (iv) the resources that counsel will commit to representing the class;
 - (B) may consider any other matter pertinent to counsel’s ability to fairly and adequately represent the interests of the class;
 - (C) may order potential class counsel to provide information on any subject pertinent to the appointment and to propose terms for attorney’s fees and nontaxable costs;
 - (D) may include in the appointing order provisions about the award of attorney’s fees or nontaxable costs under Rule 23(h); and
 - (E) may make further orders in connection with the appointment.
- (2) ***Standard for Appointing Class Counsel.*** When one applicant seeks appointment as class counsel, the court may appoint that applicant only if the applicant is adequate under Rule 23(g)(1) and (4). If more than one adequate applicant seeks appointment, the court must appoint the applicant best able to represent the interests of the class.
- (3) ***Interim Counsel.*** The court may designate interim counsel to act on behalf of a putative class before determining whether to certify the action as a class action.
- (4) ***Duty of Class Counsel.*** Class counsel must fairly and adequately represent the interests of the class.
- (h) **Attorney’s Fees and Nontaxable Costs.** In a certified class action, the court may award reasonable attorney’s fees and nontaxable costs that are authorized by law or by the parties’ agreement. The following procedures apply:
- (1) A claim for an award must be made by motion under Rule 54(g)—subject to the provisions of this rule—at a time the court sets. Notice of the motion must be served on all parties and, for motions by class counsel, directed to class members in a reasonable manner.
 - (2) A class member, or a party from whom payment is sought, may object to the motion.
 - (3) The court may hold a hearing and must find the facts and state its legal conclusions under Rule 52(a).
 - (4) The court may refer issues related to the amount of the award to a special master, as provided in Rule 53.

Rule 23.1. Derivative Actions

- (a) **Applicability.** This rule applies when one or more shareholders, members, or partners—as applicable—of a corporation, limited liability company, limited partnership, or unincorporated association bring a derivative action to enforce a right that the corporation, limited liability company, limited partnership, or unincorporated association may properly assert but has failed to enforce.
- (b) **Pleading Requirements.** The complaint must:
- (1) be verified;
 - (2) allege facts sufficient to show that the plaintiff has standing to maintain the derivative action; and
 - (3) allege facts sufficient to show that the plaintiff satisfies all statutory and other requirements under the law for maintaining the derivative action.
- (c) **Settlement, Voluntary Dismissal, and Compromise.** A derivative action may not be settled, voluntarily dismissed, or compromised without court approval. Notice of a proposed settlement, voluntary dismissal, or compromise must be given to shareholders, members, or partners—as applicable—in the manner that the court orders. If the court determines that a proposed settlement, voluntary dismissal, or compromise will substantially affect the interests of the shareholders, members, or partners—or a class of shareholders, members, or partners—the court must order that notice be given to the affected shareholders, members or partners.

Rule 23.2. Actions Relating to Unincorporated Associations

This rule applies to an action brought by or against the members of an unincorporated association as a class by naming certain members as representative parties. The action may be maintained only if it appears that those parties will fairly and adequately protect the interests of the association and its members. In conducting the action, the court may enter any appropriate orders corresponding with those in Rule 23(d), and the procedure for settlement, voluntary dismissal, or compromise must correspond with the procedure in Rule 23(e).

Rule 24. Intervention

- (a) **Intervention of Right.** On timely motion, the court must permit anyone to intervene who:
- (1) has an unconditional right to intervene under a statute; or

- (2) claims an interest relating to the subject of the action, and is so situated that disposing of the action in the person's absence may as a practical matter impair or impede the person's ability to protect that interest, unless existing parties adequately represent that interest.

(b) Permissive Intervention.

- (1) **Generally.** On timely motion, the court may permit anyone to intervene who:
 - (A) has a conditional right to intervene under a statute; or
 - (B) has a claim or defense that shares with the main action a common question of law or fact.
- (2) **By a Government Officer or Agency.** On timely motion, the court may permit a state governmental officer or agency to intervene if a party's claim or defense is based on:
 - (A) a statute administered by the officer or agency; or
 - (B) any regulation, order, requirement, or agreement issued or made under a statute administered by the officer or agency.
- (3) **Delay or Prejudice.** In exercising its discretion over permissive intervention, the court must consider whether the intervention will unduly delay or prejudice the adjudication of the original parties' rights.

(c) Procedure.

- (1) **Requirements of Motion.** Anyone moving to intervene must:
 - (A) serve the motion on the parties as provided in Rule 5; and
 - (B) attach as an exhibit to the motion a copy of the proposed pleading in intervention that sets out the claim or defense for which intervention is sought.
- (2) **Filing and Service of Pleading in Intervention.** Unless the court orders otherwise, an intervenor must file and serve the pleading in intervention within 10 days after entry of the order granting the motion to intervene.
- (3) **Response to Pleading in Intervention.** If the pleading in intervention is one to which a party must respond, that party must plead in response to the pleading in intervention within 20 days after it is served. If the pleading in intervention does not require a party to file a responsive pleading, that party may plead in response to the pleading in intervention within 20 days after it is served.

Rule 25. Substitution of Parties

(a) Death.

- (1) *Substitution if the Claim Is Not Extinguished.*** If a party dies and the claim is not extinguished, the court may order substitution of the proper party. Any party or the decedent's successor or representative may file a motion to substitute. If the motion is not made within 90 days after a statement noting the death is served, the court must dismiss the claims by or against the decedent.
 - (2) *Statement Noting Death.*** A party or the decedent's successor or representative may file a statement noting the death of a party. If filed by a party, the statement must identify the decedent's successor or representative if one exists and is known by the party filing the statement. Anyone filing a statement noting death must serve the statement on the parties as provided in Rule 5 and on nonparties in the same manner that a summons and pleading are served under Rules 4, 4.1, or 4.2, as applicable.
 - (3) *Service of Motion to Substitute.*** Anyone filing a motion to substitute must serve the motion on the parties as provided in Rule 5 and on the decedent's successor or representative in the same manner that a summons and pleading are served under Rules 4, 4.1, or 4.2, as applicable.
 - (4) *Continuation Among the Remaining Parties.*** After a party's death, if the claim survives only for or against the remaining parties, the action does not abate, but proceeds in favor of or against the remaining parties. The death should be noted on the record.
- (b) Incompetency.** If a party becomes incompetent, the court may—on motion or on stipulation of the parties and the incompetent party's representative—permit the action to be continued by or against the party's representative. Anyone filing such a motion must serve the motion on the parties as provided in Rule 5 and on the representative of the incompetent party in the same manner that a summons and pleading are served under Rules 4, 4.1, or 4.2, as applicable.
- (c) Transfer of Interest.** If a party's interest is transferred, the action may be continued by or against that party, unless the court—on motion or on stipulation of the parties and the transferee—orders the transferee to be substituted in the action or joined with the original party. Anyone filing such a motion must serve the motion on the parties as provided in Rule 5 and on the transferee in the same manner that a summons and pleading are served under Rules 4, 4.1, or 4.2, as applicable.

(d) Public Officers; Death or Separation from Office. An action does not abate when a public officer who is a party in an official capacity dies, resigns, or otherwise ceases to hold office while the action is pending. The officer's successor is automatically substituted as a party. Counsel for the public officer must file a notice of the substitution and later proceedings should be in the substituted party's name, but any misnomer not affecting the parties' substantial rights must be disregarded. The court may order substitution at any time, but the absence of such an order does not affect the substitution.

V. DISCLOSURE AND DISCOVERY

Rule 26. General Provisions Governing Discovery

(a) Discovery Methods. A party may obtain discovery by any of the following methods:

- (1) depositions by oral examination or written questions under Rules 30 and 31, respectively;
- (2) written interrogatories under Rule 33;
- (3) production of documents or things or permission to enter onto land or other property, for inspection and other purposes under Rule 34;
- (4) physical and mental examinations under Rule 35;
- (5) requests for admission under Rule 36; and
- (6) subpoenas for production of documentary evidence or for inspection of premises under Rule 45(c).

(b) Discovery Scope and Limits. Unless the court orders otherwise in accordance with these rules, the scope of discovery is as follows:

(1) Generally.

- (A) Scope.** Parties may obtain discovery regarding any nonprivileged matter that is relevant to the subject matter of the pending action, including matters relevant to:
- (i) the claim or defense of any party;
 - (ii) the existence, description, nature, custody, condition and location of any books, documents, or other tangible things; and
 - (iii) the identity and location of persons having knowledge of any discoverable matter.
- It is not a ground for objection that the information sought will be inadmissible at the trial if that information appears reasonably calculated to lead to the discovery of admissible evidence.

- (B) *Specific Limits on Discovery of Electronically Stored Information.*** A party need not provide discovery of electronically stored information from sources that the party shows are not reasonably accessible because of undue burden or expense. If a party makes that showing, the court may nonetheless order disclosure or discovery from such sources if the requesting party shows good cause, considering the limits of Rule 26(b)(1)(C). The court may specify conditions for the disclosure or discovery.
- (C) *Limits on Discovery.*** The court—on motion under Rule 26(c) or on its own after reasonable notice to the parties—must limit discovery that would otherwise be permissible if it determines that the discovery: (i) is unreasonably cumulative or duplicative; (ii) can be obtained from another source that is more convenient, less burdensome, or less expensive; (iii) seeks information that the party has had ample opportunity to obtain; or (iv) is unduly burdensome or expensive given the needs of the action, the importance of the discovery in resolving the issues and achieving a just resolution of the action on the merits, the importance of the issues at stake, the amount in controversy, and the parties’ resources.
- (2) *Insurance Agreements.*** Disclosure of insurance agreements is required under Rule 26.1(a)(10).
- (3) *Work Product and Witness Statements.***
- (A) *Documents and Tangible Things Prepared in Anticipation of Litigation or for Trial.*** Ordinarily, a party may not discover documents and tangible things that another party or its representative (including the other party’s attorney, consultant, surety, indemnitor, insurer, or agent) prepared in anticipation of litigation or for trial. But, subject to Rule 26(b)(4), a party may discover those materials if:
- (i)** the materials are otherwise discoverable under Rule 26(b)(1); and
 - (ii)** the party shows that it has a substantial need for the materials to prepare its case and cannot, without undue hardship, obtain their substantial equivalent by other means.
- (B) *Protection Against Disclosure of Opinion Work Product.*** If the court orders discovery of materials under Rule 26(b)(3)(A), it must protect against disclosure of the mental impressions, conclusions, opinions, or legal theories of party’s attorney or other representative concerning the litigation.
- (C) *Discovery of Own Statement.*** Any party or other person may—on request and without the showing required under Rule 26(b)(3)(A)—obtain the party’s or other person’s own previous statement about the action or its subject matter. If

the request is refused, the party or other person may move for a court order, and Rule 37(a)(4) applies to the award of expenses. A statement discoverable under this rule is either:

- (i) a written statement that the party or other person signed or otherwise adopted or approved; or
- (ii) a contemporaneous stenographic, video, audio, or other recording—or a transcription of it—that recites substantially verbatim the party's or other person's oral statement.

(4) *Expert Discovery.*

(A) *Deposition of an Expert Who May Testify.* A party may depose any person who has been disclosed as an expert witness under Rule 26.1(a)(6).

(B) *Expert Employed Only for Trial Preparation.* Ordinarily, a party may not discover facts known or opinions held by an expert who has been retained or specially employed by another party in anticipation of litigation or preparation for trial and who is not expected to be called as a witness at trial. A party may discover such facts or opinions only:

- (i) as provided in Rule 35(b); or
- (ii) on showing exceptional circumstances under which it is impracticable for the party to obtain facts or opinions on the same subject by other means.

(C) *Payment.* Unless manifest injustice would result, the court must require that the party seeking discovery:

- (i) pay the expert a reasonable fee for time spent in responding to discovery under Rule 26(b)(4)(A) or (B); and
- (ii) for discovery under Rule 26(b)(4)(B), also pay the other party a fair portion of the fees and expenses it reasonably incurred in obtaining the expert's facts and opinions.

(D) *Number of Experts Per Issue.*

- (i) *Generally.* Unless the parties agree or the court orders otherwise for good cause, each side is presumptively entitled to call only one retained or specially employed expert to testify on an issue. When there are multiple parties on a side and those parties cannot agree on which expert to call on an issue, the court may designate the expert to be called or—for good cause—allow more than one expert to be called.

(ii) *Standard-of-Care Experts in Medical Malpractice Actions.* Notwithstanding the limits of Rule 26(b)(4)(D)(i), a defendant in a medical malpractice action may—in addition to that defendant’s standard-of-care expert witness—testify on the issue of that defendant’s standard-of-care. In such an instance, the court is not required to allow the plaintiff an additional expert witness on the issue of the standard-of-care.

(5) *Notice of Non-party at Fault.* No later than 150 days after filing its answer, a party must serve on all other parties—and may file with the court—a notice disclosing any person: (A) not currently or formerly named as a party in the action; and (B) whom the party alleges was wholly or partly at fault under A.R.S. § 12-2506(B). The notice must: (A) disclose the identity and location of the non-party allegedly at fault; and (B) disclose the facts supporting the allegation of fault. The trier of fact may not allocate any percentage of fault to a non-party who is not disclosed in accordance with this rule except on stipulation of all the parties or on motion showing good cause, reasonable diligence, and lack of unfair prejudice to all other parties.

(c) Protective Orders.

(1) *Generally.* A party or any person from whom discovery is sought may move for a protective order in the court where the action is pending—or alternatively, on matters relating to a deposition, the court in the county where the deposition will be taken. Subject to Rule 26(c)(4), the court may, for good cause, enter an order to protect a party or person from annoyance, embarrassment, oppression, or undue burden or expense, including one or more of the following:

(A) forbidding the discovery;

(B) specifying terms and conditions, including time and place, for the discovery;

(C) prescribing a discovery method other than the one selected by the party seeking discovery;

(D) forbidding inquiry into certain matters, or limiting the scope of discovery to certain matters;

(E) designating the persons who may be present while the discovery is conducted;

(F) requiring that a deposition be sealed and opened only on court order;

(G) requiring that a trade secret or other confidential research, development, or commercial information not be revealed or be revealed only in a specified way; and

- (H) requiring that the parties simultaneously file specified documents or information in sealed envelopes, to be opened as the court directs.
- (2) **Ordering Discovery.** If a motion for a protective order is wholly or partly denied, the court may, on just terms, order that any party or person provide or permit discovery.
- (3) **Awarding Expenses.** Rule 37(a)(4) applies to the award of expenses on a motion for a protective order.
- (4) **Confidentiality Orders.**
- (A) **Burden of Proof.** Before the court may enter an order that limits a party or person from disclosing information or materials produced in the action to a person who is not a party to the action and before the court may deny an intervenor's request for access to such discovery materials: (a) the party seeking confidentiality must show why a confidentiality order should be entered or continued; and (b) the party or intervenor opposing confidentiality must show why a confidentiality order should be denied in whole or in part, modified or vacated. The burden of showing good cause for an order remains with the party seeking confidentiality.
- (B) **Findings of Fact.** When ruling on a motion for a confidentiality order, the court must make findings of fact concerning any relevant factors, including but not limited to: (i) any party's or person's need to maintain the confidentiality of such information or materials; (ii) any nonparty's or intervenor's need to obtain access to such information or materials; and (iii) any possible risk to the public health, safety, or financial welfare to which such information or materials may relate or reveal. No such findings of fact are needed if the parties have stipulated to such an order or if a motion to intervene and to obtain access to materials subject to a confidentiality order is unopposed.
- (C) **Least Restrictive Means.** An order restricting release of information or materials to nonparties or intervenors must use the least restrictive means necessary to maintain any needed confidentiality.
- (d) **Sequence of Discovery.** Unless, on motion, the court orders otherwise for the parties' and witnesses' convenience and in the interests of justice:
- (1) methods of discovery may be used in any sequence; and
- (2) discovery by one party does not require any other party to delay its discovery.
- (e) **Supplementing Discovery Responses.** A party who has responded to an interrogatory, request for production, or request for admission must supplement or correct its response if it learns that the response was or has become materially

incomplete or incorrect and if the additional or corrective information has not otherwise been disclosed to the other parties during the discovery process or in writing. A party must supplement or correct a discovery response under this rule in a timely manner, but in no event more than 30 days after it learns that the response is materially incomplete or incorrect.

- (f) **Sanctions.** The court may impose an appropriate sanction—including any order under Rule 16(i)—against a party or attorney who has engaged in unreasonable, groundless, abusive, or obstructionist conduct in connection with discovery.
- (g) **Discovery Motions.** Any discovery motion must attach a good faith consultation certificate complying with Rule 7.2(h).

Rule 26.1. Prompt Disclosure of Information

- (a) **Duty to Disclose; Disclosure Categories.** Within the times set forth in Rule 26.1(d) or in a Scheduling Order, each party must disclose in writing and serve on all other parties a disclosure statement that sets forth:
 - (1) The factual basis of each of the disclosing party’s claims or defenses;
 - (2) The legal theory on which each of the disclosing party’s claims or defenses is based, including—if necessary for a reasonable understanding of the claim or defense—citations to relevant legal authorities;
 - (3) The name, address, and telephone number of each witness whom the disclosing party expects to call at trial, and a description of the substance—and not merely the subject matter—of the testimony sufficient to fairly inform the other parties of each witness’ expected testimony;
 - (4) The name and address of each person whom the disclosing party believes may have knowledge or information relevant to the subject matter of the action, and a fair description of the nature of the knowledge or information each such person is believed to possess;
 - (5) The name and address of each person who has given a statement—as defined in Rule 26(b)(3)(C)(i) and (ii)—relevant to the subject matter of the action, and the custodian of each of those statements;
 - (6) The name and address of each person whom the disclosing party expects to call as an expert witness at trial, the subject matter on which the expert is expected to testify, the substance of the facts and opinions to which the expert is expected to testify, a summary of the grounds for each opinion, the expert’s qualifications, and

the name and address of the custodian of copies of any reports prepared by the expert;

- (7) A computation and measure of each category of damages alleged by the disclosing party, the documents or testimony on which such computation and measure are based, and the name, address, and telephone number of each witness whom the disclosing party expects to call at trial to testify on damage;
- (8) The existence, location, custodian, and general description of any tangible evidence, documents, or electronically stored information that the disclosing party plans to use at trial;
- (9) The existence, location, custodian, and general description of any tangible evidence, documents, or electronically stored information that the disclosing party believes may be relevant to the subject matter of the action; and
- (10) For any insurance policy, indemnity agreement, or suretyship agreement under which another person may be liable to satisfy part or all of a judgment entered in the action or to indemnify or reimburse for payments made to satisfy the judgment, (A) the existence and contents of the insurance policy, indemnity agreement, or suretyship agreement; (B) the existence and contents of any disclaimer, limitation or denial of coverage or reservation of rights under the insurance policy, indemnity agreement, or suretyship agreement; and (C) the remaining dollar limits of coverage under the insurance policy, indemnity agreement or suretyship agreement. A party need only supplement its disclosure regarding the remaining dollar limits of coverage upon another party's written request made within 30 days before a settlement conference or mediation or within 30 days before trial. Within 10 days after such a request is served, a party must supplement its disclosure of the remaining dollar limits of coverage. For purposes of this rule, an insurance policy means a contract of or agreement for or effecting insurance, or the certificate memorializing it—by whatever name it is called—and includes all clauses, riders, endorsements, and papers attached to, or a part of, it, but does not include an application for insurance. Information concerning an insurance policy, indemnity agreement, or suretyship agreement is not admissible in evidence merely because it is disclosed under this rule.

(b) Disclosure of Hard Copy Documents and Electronically Stored Information.

- (1) ***Hard Copy Documents.*** Unless there is good cause for not doing so, a party must serve with its disclosure a copy of any documents existing in hard copy that it has identified under Rule 26.1(a)(8), (9), and (10). If production is not so made, the party must provide with its disclosure the name and address of the custodian of the

documents. A party who produces hard copy documents for inspection must produce them as they are kept in the usual course of business.

(2) *Electronically Stored Information.*

(A) *Duty to Confer.* When the existence of electronically stored information is disclosed or discovered, the parties must confer promptly and attempt to agree on matters relating to its disclosure and production, including:

- (i)** requirements and limits on the disclosure and production of electronically stored information;
- (ii)** the form in which the information will be produced; and
- (iii)** if appropriate, sharing or shifting of costs incurred by the parties for disclosing and producing the information.

(B) *Resolution of Disputes.* If the parties are unable to satisfactorily resolve any dispute, they may present it to the court for resolution in a single joint motion. The joint motion must include the parties' positions and the separate certification from all counsel required under Rule 26(g).

(C) *Production of Electronically Stored Information.* Unless the parties agree or the court orders otherwise, within 40 days after serving its initial disclosure statement, a party must produce the electronically stored information identified under Rule 26.1(a)(8) and (9). Absent good cause, no party need produce the same electronically stored information in more than one form.

(D) *Presumptive Form of Production.* Unless the parties agree or the court orders otherwise, a party must produce electronically stored information in the form requested by the receiving party. If the receiving party does not specify a form, the producing party may produce the electronically stored information in native form or in another reasonably usable form that will enable the receiving party to have the same ability to access, search, and display the information as the producing party.

(c) Purpose; Scope.

(1) *Purpose.* The purpose of the disclosure requirements of this Rule 26.1 is to ensure that all parties are fairly informed of the facts, legal theories, witnesses, documents, and other information relevant to the action.

(2) *Scope.* A party must include in its disclosures information and data in its possession, custody and control as well as that which it can ascertain, learn, or acquire by reasonable inquiry and investigation.

(d) Time for Disclosure; Continuing Duty.

(1) *Initial Disclosures.* Unless the parties agree or the court orders otherwise, a party seeking affirmative relief must serve its initial disclosure of information under Rule 26.1(a) as fully as then reasonably possible no later than 40 days after the filing of the first responsive pleading to the complaint, counterclaim, crossclaim or third party complaint that sets forth the party's claim for affirmative relief. Unless the parties agree or the court orders otherwise, a party filing a responsive pleading must serve its initial disclosure of information under Rule 26.1(a) as fully as then reasonably possible no later than 40 days after it files its responsive pleading.

(2) *Additional or Amended Disclosures.* The duty of disclosure prescribed in Rule 26.1(a) is a continuing duty, and each party must serve additional or amended disclosures whenever new or additional information is discovered or revealed. A party must serve such additional or amended disclosures in a timely manner, but in no event more than 30 days after the information is revealed to or discovered by the disclosing party. If the information is disclosed in a written discovery response or a deposition in a manner that reasonably informs all parties of the information, the information need not be presented in a supplemental disclosure statement. A party seeking to use information that it first disclosed later than the deadline set in a Scheduling Order—or in the absence of such a deadline, later than 60 days before trial—must obtain leave of court to extend the time for disclosure as provided in Rule 37(c)(2) or (c)(3).

(e) *Signature Under Oath.* Each disclosure must be in writing and signed under oath by the party making the disclosure.

(f) *Claims of Privilege or Protection of Work Product Materials.*

(1) *Information Withheld.* When a party withholds information from disclosure or discovery on a claim that it is privileged or subject to protection as work product, the party must:

(A) expressly make the claim; and

(B) describe the nature of the information not produced or disclosed in a manner that—without revealing information that is itself privileged or protected—will enable other parties to assess the claim.

(2) *Information Produced.* If a party contends that information subject to a claim of privilege or of protection as work product material has been inadvertently disclosed or produced in discovery, the party making the claim may notify any party who received the information of the claim and the basis for it. After being notified, a party must promptly return, sequester, or destroy the specified information and any

copies it has; must not use or disclose the information until the claim is resolved; must take reasonable steps to retrieve the information if the party disclosed it before being notified; and may promptly present the information to the court under seal for a determination of the claim. The producing party must preserve the information until the claim is resolved.

Rule 26.2. Exchange of Records and Discovery Limits in Medical Malpractice Actions

(a) Exchange of Medical Records.

- (1) *By Plaintiff.*** Within 5 days after the date that plaintiff notifies the court under Rule 16(e) that all served defendants have either answered or filed motions, plaintiff must serve on defendants copies of all of plaintiff's available medical records relevant to the condition that is the subject matter of the action.
- (2) *By Defendants.*** Within 10 days after the date plaintiff serves medical records under Rule 26.2(a)(1), each defendant must serve on plaintiff copies of all of plaintiff's available medical records relevant to the condition that is the subject matter of the action.
- (3) *By Request.*** In lieu of serving copies of the above-described medical records, counsel may—before the deadline for service of the records— inquire of opposing counsel concerning the records that opposing counsel wishes produced and may then serve by the deadline copies of only those records specifically requested.

(b) Discovery Limits Before Comprehensive Pretrial Conference.

- (1) *Generally.*** Unless the parties agree or the court orders otherwise for good cause, the parties are limited to the following discovery before the Comprehensive Pretrial Conference under Rule 16(e) is held:
 - (A)** Service of the uniform interrogatories set forth in Rule 84, Form 4;
 - (B)** Service of 10 additional non-uniform interrogatories under Rule 33, with any subpart to a non-uniform interrogatory counting as a separate interrogatory;
 - (C)** Service of a request for production of documents under Rule 34, limited to the following items:
 - (i)** a party's wage information if relevant;
 - (ii)** written or recorded statements by any party or witness, including reports or statements of experts;

- (iii) any exhibits the party intends to use at trial; and
 - (iv) incident reports; and
 - (D) Depositions of the parties and any known liability experts.
- (2) ***Stipulations for Additional Discovery.*** A party may not unreasonably withhold a stipulation for additional discovery under Rule 26.2(b)(1). A party or counsel who unreasonably withholds a stipulation for additional discovery is subject to sanctions under Rule 26(f).

Rule 27. Discovery Before an Action Is Filed or During an Appeal

(a) Before an Action Is Filed.

- (1) ***Petition.*** A person who wants to perpetuate testimony or to obtain discovery to preserve evidence about any matter cognizable in any Arizona state court may file a verified petition in the superior court in the county where any expected adverse party resides. The petition must be titled in the petitioner's name and must:
- (A) show that the petitioner expects to be a party to an action cognizable in any Arizona state court but cannot presently bring it or cause it to be brought;
 - (B) identify the subject matter of the expected action and the petitioner's interest;
 - (C) show the facts that the petitioner desires to establish by the proposed discovery and the reasons for perpetuating it in advance of the expected action;
 - (D) identify the name or a description of each person whom the petitioner expects to be an adverse party and the person's address to the extent known;
 - (E) identify the name and address of each person from whom discovery is sought—who may but need not be a person identified as an expected adverse party under Rule 27(a)(1)(D)—and the evidence the petitioner expects to obtain from the discovery; and
 - (F) ask for an order: (i) directing the clerk to issue a subpoena under Rule 45 at the petitioner's request to obtain evidence from each named person in order to preserve the evidence; or (ii) under Rule 35 for a physical or mental examination of an expected adverse party or of a person in the custody or under the legal control of an expected adverse party.
- (2) ***Hearing Required.*** Unless the petitioner and all expected adverse parties file a stipulation agreeing to the discovery requested in the petition, the court must hold a hearing on the relief that the petition seeks.

- (3) *Notice and Service.*** At least 20 days before the hearing date, the petitioner must serve each expected adverse party with a copy of the petition and a notice stating the time and place of the hearing. If an expected adverse party is a minor or incompetent, Rule 17(g) applies. The petition and notice may be served either inside or outside Arizona in the manner provided in Rules 4, 4.1, or 4.2 for serving a summons and pleading. If the petition seeks an order under Rule 35 for a physical or mental examination, the petition and notice must be served on the expected adverse party whose examination is sought or who has custody or legal control of the person whose examination is sought. In all other instances, if service cannot be made with reasonable diligence on an expected adverse party, the court may order service by publication or otherwise.
- (4) *Opposition and Reply.*** At least 7 calendar days before the hearing date, any expected adverse party may file an opposition to the petition. The opposition must be served on the petitioner and each other expected adverse party using any of the methods described in Rule 5(c). Unless the court orders otherwise, the petitioner may not file a reply memorandum.
- (5) *Order and Effect.***
- (A) *Order.*** If satisfied that perpetuating the testimony or preserving other evidence may prevent a failure or delay of justice, the court must enter an order that identifies each person who may be served with a subpoena under Rule 45 to obtain testimony or to allow inspection of documents or premises and specifies the subject matter of the permitted examination.
- (B) *Effect and Use.*** Discovery authorized by the court must be conducted, and may be used, as provided in these rules. A reference in these rules to the court where an action is pending means—for this rule’s purposes—the court where the petition for the discovery was filed. A deposition to perpetuate testimony taken under these rules may be used under Rule 32(a) in any later-filed action in an Arizona state court involving the same subject matter. Subpoena recipients have the rights of non-parties under Rule 45 regardless of whether they are identified as an expected adverse party under Rule 27(a)(1)(D).
- (C) *Appointment of Counsel.*** If a court authorizes a deposition but an expected adverse party is not served in the manner provided in Rules 4, 4.1, or 4.2 and is otherwise unrepresented by counsel, the court must appoint an attorney to represent that expected adverse party and to cross-examine the deponent. The petitioner must pay for an appointed attorney’s services in an amount fixed by the court.

(b) Pending Appeal.

- (1) **Generally.** The superior court that rendered judgment may—if an appeal has been taken or may still be taken—permit a party to conduct discovery under the rules to preserve evidence for use in any later superior court proceedings in that action.
- (2) **Motion.** The party who wants to perpetuate testimony or preserve evidence under the rules may move for leave to conduct discovery. The moving party must provide the same notice and serve the motion in the same manner as if the action was still pending in superior court. The motion must:

 - (A) identify the name and address of each person to be deposed or from whom discovery under the rules is sought, and the expected substance of the testimony or other discovery; and
 - (B) show the reasons for perpetuating the testimony or other discovery.
- (3) **Order and Effect.** If satisfied that perpetuating the testimony or preserving the other evidence may prevent a failure or delay of justice, the court may order the requested discovery to be taken. Discovery authorized by the court must be conducted, and may be used, as provided in these rules.

Rule 28. Persons Before Whom Depositions May Be Taken; Depositions in Foreign Countries; Letters of Request and Commissions

(a) Deposition in the United States.

- (1) **Generally.** Within the United States or a territory or insular possession subject to United States jurisdiction, a deposition must be taken before:

 - (A) an officer authorized to administer oaths by federal law, Arizona law, or the law in the place of examination;
 - (B) a person appointed by the court where the action is pending to administer oaths and take testimony; or
 - (C) any certified reporter designated by the parties under Rule 29.
- (2) **Definition of “Officer”.** The term “officer” as used in Rules 30, 31, and 32 includes a person appointed by the court under this rule or designated by the parties under Rule 29.

(b) Deposition in a Foreign Country.

(1) **Generally.** A deposition may be taken in a foreign country:

(A) under an applicable treaty or convention;

(B) under a letter of request, whether or not captioned a “letter rogatory”;

(C) on notice, before a person authorized to administer oaths by federal law, Arizona law, or the law in the place of examination; or

(D) before a person commissioned by the court where the action is pending to administer any necessary oath and take testimony.

(2) **Form of a Request, Notice or Commission.** When a letter of request or any other device is used according to a treaty or convention, it must be captioned in the form prescribed by that treaty or convention. A letter of request may be addressed “To the Appropriate Authority in [name of country].” A deposition notice or a commission must designate by name or descriptive title the person before whom the deposition is to be taken.

(3) **Letter of Request—Admitting Evidence.** Evidence obtained in response to a letter of request need not be excluded because it is not a verbatim transcript, because the testimony was not taken under oath, or because of any similar departure from the requirements for depositions taken within the United States under these rules.

(c) Letters of Request and Commissions.

(1) **Not Required.** A deposition in a pending superior court action may be taken anywhere upon notice prescribed by these rules without a letter of request, commission, or other like writ.

(2) **Issuing Letter of Request or Commission.** The clerk may issue a letter of request—whether or not captioned a “letter rogatory”—a commission, or both:

(A) on appropriate terms after an application and one full day’s notice to the other parties; and

(B) without a showing that taking the deposition in another manner is impracticable or inconvenient.

(3) **Objections; Waiver.** A party waives any error in the form of a letter of request or commission if it does not file a written objection before the clerk issues the letter of request or commission. The court must rule on any timely filed objection before the clerk may issue a letter of request or commission.

(d) Disqualification. A deposition may not be taken before a person who is:

- (1) any party's relative, employee, or attorney;
- (2) related to or employed by any party's attorney; or
- (3) financially interested in the action.

Rule 29. Modifying Discovery Procedures and Deadlines

(a) By Stipulation.

(1) **Generally.** Unless the court orders otherwise, the parties may stipulate to:

- (A) take a deposition before any certified reporter, at any time or place, on any notice, and in any manner specified—in which event it may be used in the same way as any other deposition; and
- (B) modify other procedures in these rules governing or limiting discovery.

(2) **Court Order.** Unless it interferes with court-ordered deadlines, the time set for a hearing, or the time set for trial, a stipulation under Rule 29(a)(1) is effective without court order.

(b) By Motion. A party may move to modify any procedure governing or limiting discovery. The motion must:

- (1) set forth the modification sought;
- (2) show good cause for the modification; and
- (3) comply with Rule 26(g).

Rule 30. Depositions by Oral Examination

(a) When a Deposition May Be Taken.

(1) **Depositions Permitted.** A party may depose: (A) any party; (B) any person disclosed as an expert witness under Rule 26.1(a)(6); and (C) any document custodian in order to secure production of documents and establish evidentiary foundation. Unless all parties agree or the court orders otherwise for good cause, a party may not depose any other person or depose a person who has already been deposed in the action. A party may not unreasonably withhold a stipulation for additional depositions under this rule.

(2) ***Depositions by Plaintiff Fewer Than 30 Days After Serving the Summons and Complaint.*** A plaintiff must obtain leave of court to take a deposition earlier than 30 days after serving the summons and complaint on any defendant unless: (A) a defendant has served a deposition notice or otherwise sought discovery under these rules; or (B) the plaintiff certifies in the deposition notice, with supporting facts, that the deponent is expected to leave Arizona and will be unavailable for deposition after expiration of the 30-day period. If a party shows that it was unable, despite diligent efforts, to obtain counsel to represent it at a deposition taken under this Rule 30(a)(2), the deposition may not be used against that party.

(3) ***Incarcerated Deponents.*** Subject to Rule 30(a)(1), a party may depose an incarcerated person only by agreement of the person’s custodian or by leave of court on such terms as the court prescribes.

(4) ***Compelling Attendance of Deponent.*** A party may compel a non-party deponent’s attendance by serving a subpoena under Rule 45. A party noticing the deposition of a party—or an officer, director, or managing agent of a party—need not serve a subpoena under Rule 45.

(b) Notice of a Deposition; Method of Recording; Deposition by Remote Means; Deposition of an Entity; Other Formal Requirements.

(1) ***Notice Generally.*** Unless all parties agree or the court orders otherwise, a party who wants to depose a person by oral questions must serve written notice to every other party at least 10 days before the date of the deposition. The notice must state the date, time and place of the deposition and, if known, the deponent’s name and address. If the deponent’s name is unknown, the notice must provide a general description sufficient to identify the person or the particular class or group to which the person belongs.

(2) ***Producing Documents.*** If a subpoena duces tecum has been or will be served on the deponent, the materials designated for production, as set out in the subpoena, must be listed in the deposition notice or in an attachment to the notice. A deposition notice to a deponent who is a party to the action may be accompanied by a separate request under Rule 34 to produce documents and tangible things at the deposition. The procedures under Rule 34 apply to any such request.

(3) *Method of Recording.*

(A) ***Permitted Methods.*** Unless all parties agree or the court orders otherwise, testimony must be recorded by a certified reporter and may also be recorded by audio or audiovisual means.

- (B) *Method Stated in the Notice.* The party who notices the deposition must state in the notice the method for recording the testimony. Unless the parties agree or the court orders otherwise, the noticing party bears the recording costs.
- (C) *Additional Method.* With at least two days prior written notice to the deponent and other parties, any other party may designate another method for recording the testimony in addition to that specified in the original notice. Unless the parties agree or the court orders otherwise, that party bears the expense of the additional recording.
- (D) *Notice of Recording by Audiovisual Means.* Any notice of recording the testimony by audiovisual means must identify the placement of the camera(s).
- (E) *Transcription.* Any party may request that the testimony be transcribed. If the testimony is transcribed, the party who originally noticed the deposition will be responsible for the cost of the original transcript. Any other party may, at its expense, arrange to receive a certified copy of the transcript.
- (4) *By Remote Means.* The parties may stipulate or the court may order that a deposition be taken by telephone or other remote means. For the purposes of this rule and Rules 28(a), 37(a)(1), 45(b)(3)(B), and 45(f), the deposition takes place where the deponent answers the questions. If the deponent is not in the officer's physical presence, the officer may nonetheless place the deponent under oath or affirmation with the same force and effect as if the deponent were in the officer's physical presence.
- (5) *Officer's Duties.*
- (A) *Before Deposition.* Unless the parties stipulate otherwise, a deposition must be conducted before an officer appointed or designated under Rule 28. The officer must begin the deposition with a statement or notation on the record that includes:
- (i) the officer's name, certification number, if any, and business address;
 - (ii) the date, time and place of the deposition;
 - (iii) the deponent's name;
 - (iv) the officer's administration of the oath or affirmation to the deponent; and
 - (v) the identity of all persons present.
- (B) *Conducting the Deposition; Avoiding Distortion.* If the deposition is recorded by audio or audiovisual means, the officer must repeat the items in Rule 30(b)(5)(A)(i)-(iii) (A) through (C) at the beginning of each unit of the recording

medium. The deponent's and attorneys' appearance or demeanor must not be distorted through recording techniques.

(C) *After the Deposition.* At the end of the deposition, the officer must state or note on the record that the deposition is complete and must set out any stipulations made by the attorneys about custody of the transcript or recording and of the exhibits, or about any other relevant matters.

(6) *Notice or Subpoena Directed to an Entity.* In its deposition notice or subpoena, a party may name as the deponent a public or private corporation, a limited liability company, a partnership, an association, a governmental agency, or other entity, and must then describe with reasonable particularity the matters for examination. The named entity must then designate one or more officers, directors, managing agents, or other persons who consent to testify on its behalf. If the entity designates more than one person to testify, it must set out the matters on which each designated person will testify. Each designated person must testify about information known or reasonably available to the entity. This Rule 30(b)(6) does not preclude a deposition by any other procedure allowed by these rules.

(c) Examination and Cross-Examination; Record of the Examination; Objections; Conferences Between Deponent and Counsel; Written Questions.

(1) *Examination and Cross-Examination.* The examination and cross-examination of a deponent proceed as they would at trial under the Arizona Rules of Evidence, except for Rules 103 and 615. Any party not present within 30 minutes after the time specified in the notice of deposition waives any objection that the deposition was taken without its presence. After putting the deponent under oath or affirmation, the officer personally—or a person acting in the presence and under the direction of the officer—must record the testimony by the method(s) designated under Rule 30(b)(3).

(2) *Objections.* The officer must note on the record any objection made during the deposition—whether to evidence, to a party's, deponent's, or counsel's conduct, to the officer's qualifications, to the manner of taking the deposition, or to any other aspect of the deposition. An objection must be stated concisely, in a nonargumentative manner, and without suggesting an answer to the deponent. Unless requested by the party who asked the question, an objecting person may not specify the defect in the form of a question or answer. Counsel may instruct a deponent not to answer—or a deponent may refuse to answer—only when necessary to preserve a privilege, to enforce a limitation ordered by the court, or to present a motion under Rule 30(d)(3). Otherwise, the deponent must answer and the testimony is taken subject to any objection.

(3) ***Conferences Between Deponent and Counsel.*** The deponent and his or her counsel may not engage in continuous and unwarranted conferences off the record during the deposition. Unless necessary to preserve a privilege, the deponent and his or her counsel may not confer off the record while a question is pending.

(4) ***Participating Through Written Questions.*** Instead of participating in the oral examination, a party may serve written questions in a sealed envelope on the party who noticed the deposition, who must deliver them to the officer. The officer must ask the deponent those questions and record the answers verbatim.

(d) Duration; Sanction; Motion to Terminate or Limit.

(1) ***Duration.*** Unless the parties agree or the court orders otherwise, a deposition is limited to 4 hours and must be completed in a single day.

(2) ***Sanction.*** The court may impose an appropriate sanction—including any order under Rule 16(i)—against a party or attorney who has engaged in unreasonable, groundless, abusive or obstructionist conduct in connection with a deposition.

(3) *Motion to Terminate or Limit.*

(A) ***Grounds.*** At any time during a deposition, the deponent or a party may move to terminate or limit the deposition on the ground that it is being conducted in bad faith or in a manner that unreasonably annoys, embarrasses, or oppresses the deponent or party. The deponent or party must file the motion in the court where the action is pending or the court where the deposition is being taken. If the objecting deponent or party so demands, the deposition must be suspended for the time necessary to obtain an order.

(B) ***Order.*** The court may order that the deposition be terminated or that its scope and manner be limited as provided in Rule 26(c). If terminated, the deposition may be resumed only by order of the court where the action is pending.

(C) ***Award of Expenses.*** Rule 37(a)(4) applies to the award of expenses.

(e) Review by the Deponent; Changes.

(1) ***Review; Statement of Changes.*** If requested by the deponent or a party before the deposition is completed, the deponent must be allowed 30 days after being notified by the officer that the transcript or recording is available in which:

(A) to review the transcript or recording; and

(B) if there are changes in form or substance, to sign and deliver to the officer a statement listing the changes and the reasons for making them.

(2) Officer’s Certificate to Attach Changes. The officer must note in the certificate prescribed by Rule 30(f)(1) whether a review was requested and, if so, must attach any changes the deponent makes during the 30-day period.

(f) Officer’s Certification and Delivery; Exhibits; Copies of the Transcript or Recording; Filing.

(1) Certification and Delivery. The officer must certify in writing that the deponent was duly sworn by the officer and that the deposition accurately records the deponent’s testimony. The certificate must accompany the record of the deposition. Unless the court orders otherwise, the officer must seal the deposition in an envelope or package bearing the title of the action and marked “Deposition of [witness’s name]” and must promptly deliver it to the attorney who arranged for the transcript or recording. The attorney must store it under conditions that will protect it against loss, destruction, tampering, or deterioration.

(2) Documents and Tangible Things.

(A) Originals and Copies. Documents and tangible things produced for inspection during a deposition must, on a party’s request, be marked for identification and attached to the deposition—and any party may inspect and copy them—except that if the person who produced them wants to keep the originals, the person may:

- (i)** offer copies to be marked, attached to the deposition, and then used as originals—after giving all parties a fair opportunity to verify the copies by comparing them with the originals; or
- (ii)** give all parties a fair opportunity to inspect and copy the originals after they are marked—in which event the originals may be used as if attached to the deposition.

(B) Order Regarding the Originals. On motion of any party, the court may order that the originals be attached to the deposition until final disposition of the action.

(3) Copies of the Transcript or Recording. Unless the parties agree or the court orders otherwise, the officer must retain the record of a deposition according to the applicable records retention and disposition schedules adopted by the Supreme Court. Upon payment of a reasonable charge, the officer must provide a copy of the transcript or recording to any party or the deponent.

- (g) Failure to Attend a Deposition or Serve a Subpoena; Expenses.** A party who attends a noticed deposition in person or by an attorney may recover reasonable expenses for attending, including attorney’s fees, if the noticing party failed to:
- (1) attend and proceed with the deposition; or
 - (2) serve a subpoena on a nonparty deponent, who consequently did not attend.

Rule 31. Depositions by Written Questions

(a) When a Deposition May Be Taken.

- (1) ***Depositions Permitted.*** A party may, by written questions, depose: (A) any party; (B) any person disclosed as an expert witness under Rule 26.1(a)(6); and (c) any document custodian in order to secure production of documents and establish evidentiary foundation. Unless all parties agree or the court orders otherwise for good cause, a party may not, by written questions, depose any other person or depose a person who has already been deposed in the action. A party may not unreasonably withhold a stipulation for additional depositions under this rule.
- (2) ***Service of Written Questions by Plaintiff Earlier Than 30 Days After Serving the Summons and Complaint.*** Unless a defendant has served a deposition notice or otherwise sought discovery under these rules, a plaintiff must obtain leave of court to serve written questions under Rule 31(b) earlier than 30 days after serving the summons and complaint on that defendant.
- (3) ***Incarcerated Deponents.*** Subject to Rule 31(a)(1), a party may depose an incarcerated person only by agreement of the person’s custodian or by leave of court on such terms as the court prescribes.
- (4) ***Compelling Attendance of Deponent.*** A party may compel a non-party deponent’s attendance by serving a subpoena under Rule 45. A party noticing the deposition of a party—or an officer, director, or managing agent of a party—need not serve a subpoena under Rule 45.

(b) Notice; Service of Questions and Objections; Questions Directed to an Entity.

- (1) ***Service of Written Questions; Required Notice.*** A party who wants to depose a person by written questions must serve them on all parties, with a notice stating, if known, the deponent’s name and address. If the deponent’s name is unknown, the notice must provide a general description sufficient to identify the person or the particular class or group to which the person belongs. The notice must also state the

name or descriptive title and the address of the officer before whom the deposition will be taken.

- (2) ***Service of Additional Questions.*** Unless the parties agree or the court orders otherwise, any additional questions to the deponent must be served on all parties as follows: cross-questions, within 30 days after being served with the notice and direct questions; redirect questions, within 10 days after being served with cross-questions; and recross-questions, within 10 days after being served with redirect questions.
 - (3) ***Service of Objections.*** A party who objects to the form of a written question served under Rule 30(b)(1) or (2) must serve the objection in writing on all parties within the time allowed for serving the succeeding cross-, redirect, or recross-questions, or, if to a recross-question, within 5 days after service of the recross-questions.
 - (4) ***Questions Directed to an Entity.*** In accordance with Rule 30(b)(6), a party may depose by written questions a public or private corporation, a limited liability company, a partnership, an association, a governmental agency, or another entity.
- (c) **Delivery to the Officer; Officer's Duties.** The party who noticed the deposition must deliver to the officer designated in the notice a copy of the notice and copies of all the questions and objections served under Rule 30(b). The officer must promptly proceed in the manner provided in Rule 30(c), (e), and (f) to:
- (1) take the deponent's testimony in response to the questions;
 - (2) prepare and certify the deposition; and
 - (3) deliver it to the party who noticed the deposition, attaching a copy of the notice, the questions, and the objections.

Rule 32. Using Depositions in Court Proceedings

(a) Using Depositions.

- (1) ***In the Same or Similar Action.*** At a hearing or trial, all or part of a deposition taken in the action—or in another federal or state court action involving the same subject matter between the same parties, or their representatives or predecessors in interest—may be used against a party if:
 - (A) the testimony would be admissible under the Arizona Rules of Evidence if the deponent were present and testifying;
 - (B) the party or its predecessor in interest was present or represented at the deposition or had reasonable notice of it; and

- (C) the party, its representative or its predecessor in interest had an opportunity and similar motive to develop the testimony by examination at the deposition.
- (2) ***In a Different Action.*** At a hearing or trial, all or part of a deposition taken in another federal or state court action may be used as allowed by the Arizona Rules of Evidence.
- (3) ***Deponent's Availability at Trial.*** Subject to Rule 32(a)(1) and (2), all or part of a deposition may be used at trial regardless of the deponent's availability to testify at trial. Use of a deposition at trial does not limit, in any way, any party's right to call the deponent to testify in person.
- (4) ***Using Part of a Deposition.*** If a party offers in evidence only part of a deposition, the court may require the offeror to introduce contemporaneously other parts that in fairness should be considered with the part offered.
- (5) ***Substituted Party.*** Substituting a party under Rule 25 does not affect the right to use a previously taken deposition.
- (b) **Objections to Admissibility.** Subject to Rules 28(b) and 32(d)(3), an objection may be made at a hearing or trial to the admission of any deposition testimony that would be inadmissible if the witness were present and testifying.
- (c) **Form of Presentation.** Unless the court orders otherwise, a party must provide a transcript of any deposition testimony the party offers, but also may provide the court with the testimony in nontranscript form. On any party's request, deposition testimony offered in a jury trial for any purpose other than impeachment must be presented in nontranscript form, if available, unless the court orders otherwise for good cause. If the testimony is not available in audio or audiovisual form, the court may require a single presenter to read the designated portions of the deposition testimony to the jury.
- (d) **Waiver of Objections.**
- (1) ***To the Notice.*** An objection to an error or irregularity in a deposition notice is waived unless promptly served in writing on the party giving the notice.
- (2) ***To the Officer's Qualifications.*** An objection to the qualification of the officer before whom a deposition is to be taken is waived if not made:
- (A) before the deposition begins; or
- (B) promptly after the basis for disqualification becomes known or, with reasonable diligence, could have been known.

(3) *To the Taking of the Deposition.*

(A) *Objection to Competence, Relevance, or Materiality.* An objection to a deponent's competence—or to the competence, relevance, or materiality of testimony—is not waived by a failure to make the objection before or during the deposition, unless the ground for the objection could have been corrected at that time.

(B) *Objection to an Error or Irregularity at an Oral Deposition.* An objection to an error or irregularity at an oral deposition is waived if:

(i) the objection related to the manner of taking the deposition, the form of a question or answer, the oath or affirmation, a party's conduct, or other matters that could have been corrected at that time; and

(ii) the objection is not timely made during the deposition.

(C) *Objection to a Written Question.* An objection to the form of a written question under Rule 31 is waived if it is not served under Rule 31(b)(3).

(4) *To the Officer's Completion and Return of Deposition.* An objection to how the officer transcribed the testimony—or to how the officer prepared, signed, certified, sealed, endorsed, delivered, or otherwise dealt with the deposition—is waived unless a motion to suppress is made promptly after the error or irregularity becomes known or, with reasonable diligence, could have been known.

Rule 33. Interrogatories to Parties

(a) Generally.

(1) *Definition.* Interrogatories are written questions served by a party on another party.

(2) *Number.* Unless the parties agree or the court orders otherwise, a party may serve on any other party no more than 40 written interrogatories, including all subparts. A uniform interrogatory and its subparts count as one interrogatory.

(3) *Scope.* An interrogatory may ask about any matter allowed under Rule 26(b). An interrogatory is not improper merely because it asks for an opinion. An interrogatory may ask for a party's contention about facts or the application of law to facts. On motion, the court may order that such a contention interrogatory need not be answered until a later time.

(4) *Uniform Interrogatories.* Forms 4, 5, and 6 of Rule 84 contain uniform interrogatories, which a party may use under this rule. A party may use a uniform interrogatory when it is appropriate to the legal or factual issues of the particular

action, regardless of how the action or claims are designated. A party propounding a uniform interrogatory may do so by serving a notice that identifies the uniform interrogatory by form and number. A party may limit the scope of a uniform interrogatory—such as by requesting a response only as to particular persons, events, or issues—without converting it into a non-uniform interrogatory.

(b) Answers and Objections.

- (1) *Time to Respond.*** Unless the parties agree or the court orders otherwise, the responding party must serve its answers and any objections within 30 days after being served with the interrogatories. But a defendant may serve its answers and any objections within 60 days after service—or execution of a waiver of service—of the summons and complaint on that defendant.
- (2) *Answers Under Oath.*** An answering party must—to the extent it does not state an objection—answer each interrogatory separately and fully in writing under oath. In answering an interrogatory, a party—including a public or private entity—must furnish the information available to it. It also must reproduce the text of an interrogatory immediately above its answer to that interrogatory.
- (3) *Objections.*** The grounds for objecting to an interrogatory must be stated with specificity. Any ground not stated in a timely objection is waived unless the court, for good cause, excuses the failure. If a party states an objection, it must still answer the interrogatory to the extent that it is not objectionable.
- (4) *Signature.*** The party who answers the interrogatories must sign them under oath. If the answering party is a public or private entity, an authorized representative with knowledge of the information contained in the answers, obtained after reasonable inquiry, must sign them under oath. An attorney who objects to any interrogatories must sign the objections.

(c) Use. An answer to an interrogatory may be used to the extent allowed by the Arizona Rules of Evidence.

(d) Option to Produce Business Records. If the answer to an interrogatory may be determined by examining, auditing, compiling, abstracting, or summarizing a party's business records (including electronically stored information), and if the burden of deriving or ascertaining the answer will be substantially the same for either party, the responding party may answer by:

- (1)** specifying the records that must be reviewed, in sufficient detail to enable the interrogating party to locate and identify them as readily as the responding party could; and

- (2) giving the interrogating party a reasonable opportunity to examine and audit the records and to make copies, compilations, abstracts, or summaries.

Rule 34. Producing Documents, Electronically Stored Information, and Tangible Things, or Entering Onto Land, for Inspection and Other Purposes

(a) Generally. A party may serve on any other party a request within the scope of Rule 26(b):

- (1) to produce and permit the requesting party or its representative to inspect, copy, test, or sample the following items in the responding party's possession, custody, or control:

(A) any designated documents or electronically stored information—including writings, drawings, graphs, charts, photographs, sound recordings, images, and other data or data compilations—stored in any medium from which information can be obtained either directly or, if necessary, after translation by the responding party into a reasonably usable form; or

(B) any designated tangible things; or

- (2) to permit entry onto designated land or other property possessed or controlled by the responding party, so that the requesting party may inspect, measure, survey, photograph, test, or sample the property or any designated object or operation on it.

(b) Procedure.

(1) **Number.** Unless the parties agree or the court orders otherwise, a party may not serve requests for more than 10 items or distinct categories of items on any other party.

(2) **Contents of the Request.** The request:

(A) must describe with reasonable particularity each item or distinct category of items to be inspected;

(B) must specify a reasonable time, place, and manner for the inspection and for performing the related acts; and

(C) may specify the form or forms in which electronically stored information is to be produced.

(3) **Responses and Objections.**

(A) **Time to Respond.** Unless the parties agree or the court orders otherwise, the party to whom the request is directed must respond in writing within 30 days

after being served. But a defendant may serve its responses and any objections within 60 days after service—or execution of a waiver of service—of the summons and complaint on that defendant.

- (B) *Responding to Each Item.*** For each item or category, the response must either state that inspection and related activities will be permitted as requested or state the grounds for objecting with specificity, including the reasons.
 - (C) *Objections.*** An objection must state whether any responsive materials are being withheld on the basis of that objection. A party objecting to part of a request must specify the objectionable part and permit inspection of the other requested materials.
 - (D) *Responding to a Request for Production of Electronically Stored Information.*** The response may state an objection to a requested form for producing electronically stored information. If the responding party objects to a requested form—or if no form was specified in the request—the party must state the form or forms it intends to use.
 - (E) *Producing the Documents or Electronically Stored Information.*** Unless the parties agree or the court orders otherwise, these procedures apply to producing documents or electronically stored information:
 - (i)** A party must produce documents as they are kept in the usual course of business or must organize and label them to correspond to the categories in the request;
 - (ii)** If a request does not specify a form for producing electronically stored information, a party must produce it in a native form or in another reasonably usable form that will enable the requesting party to have the same ability to access, search and display the information as the producing party; and
 - (iii)** Absent good cause, a party need not produce the same electronically stored information in more than one form.
- (c) Nonparties.** As provided in Rule 45, a nonparty may be compelled to produce documents and tangible things or to permit an inspection.

Rule 35. Physical and Mental Examinations

(a) Examination on Order.

- (1) *Generally.*** The court where the action is pending may order a party whose physical or mental condition is in controversy to submit to a physical or mental examination

by a suitably licensed or certified examiner. The court has the same authority to order a party to produce for examination a person who is in the party's custody or under the party's legal control.

(2) *Motion and Notice; Contents of the Order.* An order under Rule 35(a)(1):

- (A) may be entered only on motion for good cause and on notice to all parties and the person to be examined;
- (B) must specify the time, place, manner, conditions, and scope of the examination; and
- (C) must specify the person or persons who will perform the examination.

(b) Examination on Notice; Motion Objecting to Examiner; Failure to Appear.

(1) *Notice.* When the parties agree that an examination is appropriate but do not agree as to the examiner, the party seeking the examination may proceed by giving reasonable—and not fewer than 30 days—written notice to all other parties. The notice must:

- (A) identify the party or person to be examined;
- (B) specify the time, place, and scope of the examination; and
- (C) identify the examiner(s).

(2) *Motion Objecting to Examiner.* After being served with a proper notice under Rule 35(b)(1), a party who objects to the examiner(s) identified in the notice may file a motion in the court where the action is pending. For good cause, the court may order that the examination be conducted by a suitably licensed or certified examiner other than the one specified in the notice.

(3) *Failure to Appear.* Unless the party has filed a motion under Rule 36(b)(2), the party must appear—or produce the person in the party's custody or legal control—for the noticed examination. If the party fails to do so, the court where the action is pending may on motion make such orders concerning the failure as are just, including those under Rule 37(f).

(c) Attendance of Representative; Recording.

(1) *Attendance of Representative.* Unless his or her presence may adversely affect the examination's outcome, the person to be examined has the right to have a representative present during the examination.

(2) Recording.

- (A) *Audio Recording.* The person to be examined may audio-record any physical examination. Unless such recording may adversely affect the examination's outcome, the person to be examined may audio-record any mental examination.
- (B) *Video Recording.* On order for good cause—or on stipulation of the parties and the person to be examined—an examination may be video-recorded.
- (C) *Copy of Recording.* A copy of a recording made of an examination must be provided to any party upon request.

(d) Examiner's Report; Other Like Reports of Same Condition; Waiver of Privilege.

- (1) *Contents.* The examiner's report must be in writing and set out in detail the examiner's findings, including diagnoses, conclusions, and the results of any tests.
- (2) *Request by the Party or Person Examined.* The party who is examined—or who produces the person examined—may request the examiner's report, like reports of the same condition, and written or recorded notes from the examination. On such request, the party who moved for or noticed the examination must, within 20 days, deliver to the requestor copies of:
 - (A) the examiner's report;
 - (B) like reports of all earlier examinations of the same condition; and
 - (C) all written or recorded notes made by the examiner and the person examined at the time of the examination, and must provide access to the original written or recorded notes for purposes of comparing same with the copies.
- (3) *Request by the Examining Party.* After delivering the materials required by Rule 35(d)(2), the party who moved for or noticed the examination is entitled, on its request, to receive from the party who was examined—or who produced the person examined—like reports of all earlier or later examinations of the same condition. But those reports need not be delivered by the party with custody or control of the person examined if the party shows that it could not obtain them.
- (4) *Waiver of Privilege.* By requesting and obtaining the examiner's report, or by deposing the examiner, the party examined waives any privilege it may have—in that action or any other action involving the same controversy—concerning testimony about all examinations of the same condition.
- (5) *Failure to Deliver a Report as Ordered.* The court on motion may order—on just terms—that a party deliver a report of an examination. If the report is not delivered as ordered, the court may exclude the examiner's testimony at trial.

- (6) **Scope.** This Rule 35(d) applies to examinations conducted by agreement of the parties, unless the agreement states otherwise. This rule does not preclude obtaining an examiner's report or deposing an examiner under other rules.

Rule 36. Requests for Admission

(a) Scope and Procedure.

- (1) **Scope.** A party may serve on any other party a written request to admit, for purposes of the pending action only, the truth of any matters within the scope of Rule 26(b) relating to:
- (A) facts, the application of law to fact, or opinions about either; and
 - (B) the genuineness of any described documents.
- (2) **Form; Copy of a Document.** Each matter must be separately stated. A request to admit the genuineness of a document must be accompanied by a copy of the document unless it is, or has been, otherwise furnished or made available for inspection and copying.
- (3) **Number.** Unless the parties agree or the court orders otherwise, a party may serve on any other party no more than 25 requests for admission.
- (4) **Time to Respond; Effect of Not Responding.** A matter is admitted unless, within 30 days after being served, the party to whom the request is directed serves on the requesting party a written answer or objection addressed to the matter and signed by the party or its attorney. But a defendant may serve its answers and any objections within 60 days after service—or execution of a waiver of service—of the summons and complaint on that defendant. A shorter or longer time for responding may be stipulated to or be ordered by the court.
- (5) **Answer.** If a matter is not admitted, the answer must specifically deny it or state in detail why the answering party cannot truthfully admit or deny it. A denial must fairly respond to the substance of the matter; and when good faith requires that a party qualify an answer or deny only a part of a matter, the answer must specify the part admitted and qualify or deny the rest. The answering party may assert lack of knowledge or information as a reason for failing to admit or deny only if the party states that it has made reasonable inquiry and that the information it knows or can readily obtain is insufficient to enable it to admit or deny.
- (6) **Objections.** The grounds for objecting to a request must be stated. A party may not object solely on the ground that the request presents a genuine issue for trial.

(7) ***Motion Regarding the Sufficiency of an Answer or Objection.*** The requesting party may move to determine the sufficiency of an answer or objection. Unless the court finds an objection justified, it must order that an answer be served. If the court finds that an answer does not comply with this rule, the court may order either that the matter is admitted or that an amended answer be served. The court may defer its final decision until a pretrial conference or a specified time before trial. Rule 37(e) applies to an award of expenses.

(b) **Effect of an Admission; Withdrawing or Amending It.** A matter admitted under this rule is conclusively established unless the court, on motion, permits the admission to be withdrawn or amended. Subject to Rule 16, the court may permit withdrawal or amendment if it would promote the presentation of the merits of the action and if the court is not persuaded that it would prejudice the requesting party in maintaining or defending the action on the merits. An admission under this rule is not an admission for any other purpose and cannot be used against the party in any other proceeding.

Rule 37. Failure to Make Disclosures or to Cooperate in Discovery; Sanctions

(a) Motion for Order Compelling Disclosure or Discovery.

(1) ***Generally.*** A party may move for an order compelling disclosure or discovery. The party must serve the motion on all other parties and affected persons and must attach a good faith consultation certificate complying with Rule 7.2(h).

(2) ***Appropriate Court.*** A motion for an order to a party must be made in the court where the action is pending. A motion for an order to a nonparty must be made in the court in the county where the discovery is or will be taken.

(3) *Specific Motions.*

(A) ***To Compel Disclosure.*** If a party fails to make a disclosure required by Rule 26.1, any other party may move to compel disclosure and for appropriate sanctions.

(B) ***To Compel a Discovery Response.*** A party seeking discovery may move for an order compelling an answer, designation, production, or inspection if:

(i) a deponent fails to answer a question asked under Rule 30 or 31;

(ii) a corporation or other entity fails to make a designation under Rule 30(b)(6) or 31(a)(4);

(iii) a party fails to answer an interrogatory served under Rule 33;

- (iv) a party fails to respond that inspection will be permitted—or fails to permit inspection—as requested under Rule 34; or
 - (v) a person fails to produce documents requested in a subpoena served under Rule 45.
- (C) *Related to a Deposition.* When taking an oral deposition, the party asking a question may complete or adjourn the examination before moving for an order to compel.
- (4) ***Evasive or Incomplete Disclosure, Answer, or Response.*** For purposes of this rule, the court may treat an evasive or incomplete disclosure, answer, or response as a failure to disclose, answer, or respond.
- (5) ***Payment of Expenses; Protective Orders.***
- (A) *If the Motion Is Granted (or Disclosure or Discovery Is Provided After Filing).* If the motion is granted—or if the disclosure or requested discovery is provided after the motion was filed—the court may, after giving an opportunity to be heard, require the party or person whose conduct necessitated the motion, the party or attorney advising that conduct, or both, to pay the movant’s reasonable expenses incurred in making the motion, including attorney’s fees. But the court must not order this payment if:
- (i) the movant filed the motion before attempting in good faith to obtain the disclosure or discovery without court action;
 - (ii) the opposing party’s nondisclosure, response, or objection was substantially justified; or
 - (iii) other circumstances make an award of expenses unjust.
- (B) *If the Motion Is Denied.* If the motion is denied, the court may issue any protective order authorized under Rule 26(c) and may, after giving an opportunity to be heard, require the movant, the attorney filing the motion, or both to pay the party or person who opposed the motion its reasonable expenses incurred in opposing the motion, including attorney’s fees. But the court must not order this payment if the motion was substantially justified or other circumstances make an award of expenses unjust.
- (C) *If the Motion Is Granted in Part and Denied in Part.* If the motion is granted in part and denied in part, the court may issue any protective order authorized under Rule 26(c) and may, after giving an opportunity to be heard, apportion the reasonable expenses for the motion.

(b) Failure to Comply With a Court Order.

(1) *Sanctions by the Court in the County Where the Deposition Is Taken.* If the court in the county where the deposition is taken orders a deponent to be sworn or to answer a question and the deponent fails to obey, the failure may be treated as contempt of court.

(2) *Sanctions by the Court Where the Action Is Pending.*

(A) *For Not Obeying a Discovery Order.* If a party or a party's officer, director, or managing agent—or a witness designated under Rule 30(b)(6) or 31(a)(4)—fails to obey an order to provide or permit discovery, including an order under Rule 35 or Rule 37(a), the court where the action is pending may enter further just orders. They may include the following:

- (i)** directing that the matters described in the order or other designated facts be taken as established for purposes of the action, as the prevailing party claims;
- (ii)** prohibiting the disobedient party from supporting or opposing designated claims or defenses, or from introducing designated matters in evidence;
- (iii)** striking pleadings in whole or in part;
- (iv)** staying further proceedings until the order is obeyed;
- (v)** dismissing the action or proceeding in whole or in part;
- (vi)** rendering a default judgment against the disobedient party; or
- (vii)** treating as contempt of court the failure to obey any order except an order to submit to a physical or mental examination.

(B) *For Not Producing a Person for Examination.* If a party fails to comply with an order under Rule 35(a) requiring it to produce another person for examination, the court may issue any of the orders listed in Rule 37(b)(2)(A)(i)-(vi), unless the disobedient party shows that it cannot produce the other person.

(C) *Payment of Expenses.* Instead of or in addition to the orders above, the court may order the disobedient party, the attorney advising that party, or both to pay the reasonable expenses, including attorney's fees, caused by the failure, unless the failure was substantially justified or other circumstances make an award of expenses unjust.

(c) Failure to Timely Disclose; Inaccurate or Incomplete Disclosure; Disclosure After Deadline or During Trial.

- (1) *Failure to Timely Disclose.*** Unless the court orders otherwise for good cause, a party who fails to timely disclose information, a witness, or a document required by Rule 26.1 may not, unless such failure is harmless, use the information, witness, or document as evidence at trial, at a hearing, or on a motion.
- (2) *Inaccurate or Incomplete Disclosure.*** On motion, the court may order a party or attorney who makes a disclosure under Rule 26.1 that the party or attorney knew or should have known was inaccurate or incomplete to reimburse the opposing party for the reasonable cost, including attorney's fees, of any investigation or discovery caused by the inaccurate or incomplete disclosure.
- (3) *Other Available Sanctions.*** In addition to or instead of the sanctions under Rule 37(c)(1) and (2), the court, on motion and after giving an opportunity to be heard:
 - (A)** may order payment of the reasonable expenses, including attorney's fees, caused by the failure;
 - (B)** may inform the jury of the party's failure; and
 - (C)** may impose other appropriate sanctions, including any of the orders listed in Rule 37(b)(2)(A)(i)-(vi).
- (4) *Use of Information, Witness or Document Disclosed After Scheduling Order Deadline or Later Than 60 Days Before Trial.*** A party seeking to use information, a witness, or a document that it first disclosed later than (A) the deadline set in a Scheduling Order, or (B) in the absence of such a deadline, 60 days before trial, must obtain leave of court by motion. The motion must be supported by affidavit and must show that:
 - (A)** the information, witness, or document would be allowed under the standards of Rule 37(c)(1); and
 - (B)** the party disclosed the information, witness, or document as soon as practicable after its discovery.
- (5) *Use of Information, Witness, or Document Disclosed During Trial.*** A party seeking to use information, a witness, or a document that it first disclosed during trial must obtain leave of court by motion. The motion must be supported by affidavit and must show that:
 - (A)** the party, acting with due diligence, could not have earlier discovered and disclosed the information, witness, or document; and

- (B) the party disclosed the information, witness, or document immediately upon its discovery.
- (d) **Failure to Timely Disclose Unfavorable Information.** If a party or attorney knowingly fails to make a timely disclosure of damaging or unfavorable information required under Rule 26.1, the court may impose serious sanctions, up to and including dismissal of the action—or rendering of a default judgment—in whole or in part.
- (e) **Expenses on Failure to Admit.** If a party fails to admit what is requested under Rule 36 and if the requesting party later proves the matter true—including the genuineness of a document—the requesting party may move that the non-admitting party pay the reasonable expenses, including attorney’s fees, incurred in making that proof. The court must so order unless:
- (1) the request was held objectionable under Rule 36(a);
 - (2) the admission sought was of no substantial importance;
 - (3) the party failing to admit had a reasonable ground to believe that it might prevail on the matter; or
 - (4) there was other good reason for the failure to admit.
- (f) **Party’s Failure to Attend Its Own Deposition or to Respond to Interrogatories or Requests for Production.**
- (1) **Generally.**
 - (A) *Motion; Grounds for Sanctions.* The court where the action is pending may, on motion, order sanctions if:
 - (i) a party or a party’s officer, director, or managing agent—or a person designated under Rules 30(b)(6) or 31(a)(4)—fails, after being served with proper notice, to appear for his or her deposition; or
 - (ii) a party—after being properly served with interrogatories under Rule 33 or a request for production under Rule 34—fails to serve its answers, objections, or written response.
 - (B) *Certification.* A motion for sanctions for failing to answer or respond must attach a good faith consultation certificate complying with Rule 7.2(h).
 - (2) **Unacceptable Excuse for Failing to Act.** A failure described in Rule 37(f)(1)(A) is not excused on the ground that the discovery sought was objectionable, unless the party failing to act has a pending motion for a protective order under Rule 26(c).

(3) Types of Sanctions. Sanctions may include any of the orders listed in Rule 37(b)(2)(A)(i)-(vi). Instead of or in addition to these sanctions, the court may require the party failing to act, the attorney advising that party, or both to pay the reasonable expenses—including attorney’s fees—caused by the failure, unless the failure was substantially justified or other circumstances make an award of expenses unjust.

(g) Failure to Preserve Electronically Stored Information.

(1) Duty to Preserve.

(A) Generally. A party or person has a duty to take reasonable steps to preserve electronically stored information relevant to an action once it commences the action, once it learns that it is a party to the action, or once it reasonably anticipates the action’s commencement, whichever first occurs. A court order or statute also may impose a duty to preserve certain information.

(B) Reasonable Anticipation. A person reasonably anticipates an action’s commencement if:

- (i)** it knows or reasonably should know that it is likely to be a defendant in a specific action; or
- (ii)** it seriously contemplates commencing an action or takes specific steps to do so.

(C) Reasonable Steps to Preserve.

- (i)** A party must take reasonable steps to prevent the routine operation of an electronic information system or policy from destroying information that should be preserved.
- (ii)** Factors that a court should consider in determining whether a party took reasonable steps to preserve relevant electronically stored information include the nature of the issues raised in the action or anticipated action, the information’s probative value, the accessibility of the information, the difficulty in preserving the information, whether the information was lost as a result of the good-faith routine operation of an electronic information system, the timeliness of the party’s actions, and the relative burdens and costs of a preservation effort in light of the importance of the issues at stake, the parties’ resources and technical sophistication, and the amount in controversy.

(2) Remedies and Sanctions. If electronically stored information that should have been preserved is lost because a party—either before or after an action’s

commencement—failed to take reasonable steps to preserve it, a court may order additional discovery to restore or replace it, including, if appropriate, an order under Rule 26(b)(1)(B). If the information cannot be restored or replaced through additional discovery, the court:

- (A) upon finding prejudice to another party from the loss of the information, may order measures no greater than necessary to cure the prejudice; or
- (B) only upon finding that the party acted with the intent to deprive another party of the information's use in the litigation, may:
 - (i) presume that the lost information was unfavorable to the party;
 - (ii) instruct the jury that it may or must presume the information was unfavorable to the party; or
 - (iii) upon also finding prejudice to another party, dismiss the action or enter a default judgment.

VI. TRIALS

Rule 38. Right to a Jury Trial; Demand; Waiver

- (a) **Right Preserved.** The right of trial by jury is preserved to the parties inviolate.
- (b) **Demand.** On any issue triable of right by a jury, a party may obtain a jury trial as follows:
 - (1) ***Non-Medical Malpractice Actions.*** In all actions other than a medical malpractice action, a party may demand a jury trial by filing and serving a written demand at any time after the action is commenced, but no later than the date on which the court sets a trial date or 10 days after the date a Joint Report and Proposed Scheduling Order under Rule 16(b) or Rule 16.3 are filed, whichever first occurs. A demand for a jury trial may not be combined with any other motion or pleading filed with the court.
 - (2) ***Medical Malpractice Actions.*** In a medical malpractice action, it is presumed that one or more of the parties demand a jury trial and no written demand needs to be filed or served. The parties may affirmatively waive the right to a jury trial by filing and serving a written stipulation waiving the right to a jury trial, signed by all parties, at any time after the action is commenced, but no later than 30 days before the trial is scheduled to begin. The stipulation waiving the right to a jury trial may not be combined with any other motion or pleading filed with the court.

- (c) **Specifying Issues.** In its demand, a party may specify the issues that it wishes to have tried by a jury; otherwise, the party is deemed to have demanded a jury trial on all issues triable by jury. If a party has demanded a jury trial on only some issues, any other party may—within 10 days after the demand is served or within a shorter time ordered by the court—serve a demand for jury trial on any other or all factual issues triable by jury.
- (d) **Waiver; Withdrawal.** A party waives a jury trial unless its demand is properly filed and served. A proper demand may be withdrawn only if the parties consent.

Rule 38.1. Setting of Civil Actions for Trial; Postponements; Scheduling Conflicts; Dismissal Calendar

- (a) **Trial Setting.** Civil actions are set for trial under Rule 16 or Rule 77. Preference is given to short causes and actions that are entitled to priority by statute, rule or court order. The court must give the parties at least 30 days' notice of the trial date.

(b) **Postponements.**

- (1) **Generally.** If a court has set an action for trial on a specified date, it may not postpone the trial unless: (A) sufficient cause exists to do so, supported by affidavit or other evidence; (B) the parties consent; or (C) postponement is required by operation of law. Trial also may be postponed as authorized or required by local rule.

- (2) **Motion and Certification.** A party seeking postponement of a trial must file a motion setting forth the basis for the request and the evidence supporting it. Moving counsel must attach a separate statement to the motion certifying that the requested postponement is not being sought for the solely for the purpose of delay and that the postponement will serve the interests of justice.

(3) **Witness Unavailability or Absence.**

- (A) **Generally.** If the ground for postponement is the unavailability or absence of the witness, the moving party must submit an affidavit stating or showing:
- (i) the name and address of the witness—if known;
 - (ii) the witness's expected testimony;
 - (iii) the expected testimony's materiality;
 - (iv) the reason for the witness's unavailability or absence;

(v) the party's diligence in procuring such testimony and efforts to make the witness available; and

(vi) the testimony cannot be obtained from any other source.

(B) Denial of a Motion for Postponement. The court may deny a motion for postponement if, among other grounds, it rules that the described testimony would be inadmissible if presented at trial or if all adverse parties stipulate that the movant's description of witness's expected testimony is accurate and would be admissible if presented at trial. If the adverse parties offer such a stipulation, the movant's description of the witness's expected testimony may be read to the jury at trial as the witness's testimony. Such testimony may be controverted as if the witness were personally present.

(c) Scheduling Conflicts Between Courts.

(1) Notice to Courts and Counsel. Upon learning of a scheduling conflict between a trial in superior court and another trial or hearing in state or federal court, counsel must promptly notify the affected judges and counsel.

(2) Resolving a Conflict. Upon being advised of a scheduling conflict, the affected judges should confer with each other and counsel in an effort to resolve the conflict. Neither federal nor state court actions have priority in scheduling. A court may consider the following factors in resolving the conflict:

(A) whether the other action is a criminal matter, and, if so, whether a speedy trial problem exists;

(B) each action's relative urgency or importance;

(C) whether either action involves out-of-town witnesses, parties or counsel;

(D) the actions' respective ages;

(E) which action was first set for trial;

(F) any priority granted by rule or statute; and

(G) any other pertinent factor.

(3) Inter-division Conflicts. Conflicts in scheduling between divisions of the same court may be governed by local rule or general order.

(d) Dismissal Calendar.

(1) Placing an Action on the Dismissal Calendar. The clerk or court administrator must place a civil action on the Dismissal Calendar if 270 days have passed since the action was commenced, and if:

- (A) in an action other than a medical malpractice action or an action assigned to arbitration, the parties have not filed a Joint Report and a Proposed Scheduling Order under Rule 16(b) or Rule 16.3;
 - (B) in a medical malpractice action, the court has not set a date for a Comprehensive Pretrial Conference under Rule 16(e) and the parties have not filed a proposed scheduling order; or
 - (C) in actions assigned to arbitration, the arbitrator has not filed a notice of decision under Rule 76.
- (2) **Dismissal.** If an action remains on the Dismissal Calendar for 60 days, the court must dismiss it without prejudice and make an appropriate order regarding any bond or other posted security, unless, before the 60-day period expires:
- (A) the parties file a Joint Report and a Proposed Scheduling Order under Rule 16(b) or Rule 16.3;
 - (B) in a medical malpractice action, the court sets a date for a Comprehensive Pretrial Conference under Rule 16(e) or the parties file a proposed scheduling order;
 - (C) in an action assigned to arbitration, the arbitrator files a notice of decision under Rule 76; or
 - (D) the court, on motion showing good cause, orders the action to be continued on the Dismissal Calendar for a specified period of time without being dismissed.
- (3) **Notification.** The clerk or court administrator, whoever is designated by the presiding superior court judge in the county, must promptly notify counsel in writing when an action is placed on the Dismissal Calendar, but they are not required to provide further notice before the court dismisses an action under Rule 38.1(d)(2).

Rule 39. Trial by Jury or by the Court

- (a) **If a Demand Is Made.** If a jury trial is demanded under Rule 38, the action must be designated on the docket as a jury action. The trial on all issues so demanded must be by jury unless:
- (1) the parties or their attorneys file a stipulation to a nonjury trial or so stipulate on the record; or
 - (2) the court, on motion or on its own, finds that there is no right to a jury trial on some or all of those issues.

- (b) **If No Demand Is Made.** The court must try all issues on which a jury trial is not properly demanded, but the court may, on motion, order a jury trial on any issue for which a jury might have been demanded.
- (c) **Advisory Jury; Jury Trial by Consent.** In an action not triable of right by a jury, the court, on motion or on its own:
- (1) may try any issue with an advisory jury; or
 - (2) may, with the parties' consent, order a jury trial on any issue, and the verdict will have the same effect as if a jury trial had been held as a matter of right.

Rule 40. Trial Procedures

- (a) **Scope.** Rule 40 governs jury trials and, to the extent applicable, trials to the court.
- (b) **Objectives.** The court should adopt trial procedures as necessary or appropriate to facilitate a just, speedy and efficient resolution of the action. To achieve this objective, the court may:
- (1) impose time limits and allocate trial time;
 - (2) sequence the presentation of claims, evidence and arguments;
 - (3) allow advance scheduling of witnesses and other evidence;
 - (4) order pretrial admission of exhibits or other evidence;
 - (5) allow electronic presentation of evidence; and
 - (6) adopt other means of managing or expediting trial.
- (c) **Order of Trial.** A trial should proceed in the following order, unless the court orders otherwise for good cause:
- (1) **Preliminary Instructions.** Immediately after the jury is sworn, the court must give preliminary instructions as provided in Rule 51(a).
 - (2) **Opening Statements.** Each party may make a concise opening statement regarding the facts that it proposes to establish by evidence at trial. Any party may decline to make an opening statement. Opening statements should proceed in the following order:
 - (A) the plaintiff or the plaintiff's counsel;
 - (B) the defendant or the defendant's counsel, unless deferred until after the close of the plaintiff's presentation of evidence; and

- (C) other parties or their counsel, unless deferred until after the close of the plaintiff's and defendant's presentations of evidence, in the order the court directs.
- (3) **Evidence.** Unless the court orders otherwise, the parties should introduce evidence in the following order:
- (A) plaintiff;
 - (B) defendant;
 - (C) other parties, if any, in the order the court directs;
 - (D) plaintiff's rebuttal evidence;
 - (E) defendant's rebuttal evidence in support of the defendant's counterclaim(s), if any; and
 - (F) rebuttal evidence from other parties or with respect to cross-claims or third party complaints, as the court permits and in the order it directs.
- (4) **Final Instructions.** Final jury instructions, as provided in Rule 51, may be given before or after counsel's closing arguments.
- (5) **Closing Argument.** The party with the burden of proof on the whole case under the pleadings should make the first and last argument in closing. If the remaining parties have different claims or defenses and are represented by different counsel, the court should prescribe the order in which they will make their respective closing arguments.
- (d) **Supplementing Testimony.** At any time before closing arguments begin and if justice requires, the court may allow a party to introduce omitted testimony on such terms as the court orders.
- (e) **Jury Deliberations.**
- (1) **Place.** During deliberations, jurors should be kept together in a convenient place in the charge of an officer that the court designates. The court may permit jurors to separate while not deliberating, or, on motion or on its own, it may require them to be sequestered in the charge of a designated officer whenever they leave the courtroom or place of deliberation.
 - (2) **Time.** Juror deliberations should take place during normal work hours unless the court, after consulting the jury and the parties, determines that the interests of justice require evening or weekend deliberations and it will not impose an undue hardship on the jurors.

(f) Juror Notes and Notebooks.

- (1) **Juror Notes.** The court should instruct that the jurors that they may take and keep notes on the evidence to help refresh their memory during recesses, discussions and deliberations. The court should provide suitable writing materials for this purpose. After the jury has rendered its verdict, the notes should be collected and promptly destroyed.
- (2) **Juror Notebooks.** The court may allow documents and exhibits to be included in notebooks for each juror's use during trial to help the jurors perform their duties.
- (3) **Access.** During recesses, discussions and deliberations, jurors should have access to their notes and to any juror notebooks allowed by the court.

(g) Officer Duties. Unless the court orders otherwise, the officer in charge of the jurors should not:

- (1) allow any communication to be made to them, or make any, except to ask them if they have agreed on their verdict; or
- (2) communicate with any person the status of the jury's deliberations or any verdict the jury may have reached.

(h) Juror Admonitions.

(1) Discussions.

- (A) The court should admonish the jury that until deliberations are completed, and at all times when the jurors are allowed to separate during trial, they must not converse among themselves or with anyone else on any subject connected with the trial while not deliberating.
 - (B) Subject to such limitations as the court may impose for good cause, the jurors should be instructed that they are permitted to discuss the evidence among themselves in the jury room during recesses from trial when all are present, so long as they reserve judgment about the action's outcome until deliberations begin.
- (2) **Other Influences.** The court should admonish jurors that they should not read or view any media stories or accounts from any other sources regarding the action, or view the place or places where the events at issue occurred.

(i) Juror Communications.

- (1) **The Court.** The officer in charge of the jurors should notify the court of any juror request to communicate with the court during deliberations. If the jury is brought

into court, their foreman should state to the court, either orally or in writing, what they desire to communicate.

(2) **Witnesses.** Jurors may submit to the court written questions directed to witnesses or to the court. Counsel must be allowed to object to such questions out of the jury's presence. For good cause, the court may prohibit or limit jury questions to witnesses.

(j) **Assisting Jurors at Impasse.** If the jury advises the court that it has reached an impasse in its deliberations, the court may, in counsel's presence, ask the jurors to determine whether and how court and counsel can assist them in their deliberative process. After receiving the jurors' response, if any, the judge may direct that further proceedings occur as appropriate.

(k) Dismissal and Discharge of Jury; New Trial.

(1) **Discharge Before Verdict.** After the action is submitted to them, the jurors may be discharged if the court determines that they are unlikely to reach a verdict, or if a calamity, sickness or accident requires it. If a jury is discharged without having rendered a verdict, the action may be tried again.

(2) **Dismissal After Verdict.** When dismissing a jury after the action's conclusion, the court should inform the jurors that they are discharged from service and, if appropriate, it may release them from their duty of confidentiality and explain their rights regarding inquiries from counsel, the media, or any person.

(l) **Memoranda.** Post-trial memoranda may not be filed, except:

(1) in support of or in opposition to a motion under Rules 50(b), 52(b), 59 or 60; or

(2) as ordered by the court.

Rule 41. Dismissal of Actions

(a) Voluntary Dismissal.

(1) By the Plaintiff.

(A) **On Notice or Order on Stipulation.** Subject to Rule 41(a)(1)(A)(iii), the plaintiff may dismiss an action:

(i) by filing a notice of dismissal before the opposing party serves either an answer or a motion for summary judgment; or

- (ii) by order based on a stipulation of dismissal signed by all parties who have appeared. The order may be signed by a judge, an authorized court commissioner, the court clerk or a deputy clerk.

Dismissals under this Rule 41(a)(1)(A) are subject to Rules 23(e), 23.1(c), 23.2, and 66(d) and any applicable statute.

- (B) *Effect.* Unless the notice or order states otherwise, the dismissal is without prejudice. But if the plaintiff previously dismissed an action in any court based on or including the same claim, a notice of dismissal operates as an adjudication on the merits.

- (2) ***By Other Court Order; Effect.*** Except as provided in Rule 41(a)(1), an action may be dismissed at the plaintiff's request only by court order, on terms that the court considers proper. If a defendant has pleaded a counterclaim before being served with the plaintiff's motion to dismiss, the action may be dismissed over the defendant's objection only if the counterclaim can remain pending for independent adjudication. Unless the order states otherwise, a dismissal under this Rule 41(a)(2) is without prejudice.

- (b) **Involuntary Dismissal; Effect.** If the plaintiff fails to prosecute or to comply with these rules or a court order, a defendant may move to dismiss the action or any claim against it. Unless the dismissal order states otherwise, and excepting dismissals for lack of jurisdiction, improper venue, or failure to join a party under Rule 19:

- (1) a dismissal under Rule 41(b) operates as an adjudication on the merits; and
- (2) any other dismissal not under Rule 41 operates as an adjudication on the merits.

- (c) **Dismissing a Counterclaim, Crossclaim, or Third-Party Claim.** This rule applies to a dismissal of any counterclaim, crossclaim, or third-party claim. A claimant's voluntary dismissal under Rule 41(a)(1)(A)(i) must be made:

- (1) before a responsive pleading is served; or
- (2) if there is no responsive pleading, before evidence is introduced at a hearing or trial.

- (d) **Costs of a Previously Dismissed Action.** If a plaintiff who previously dismissed an action in any court files an action based on or including the same claim against the same defendant, the court:

- (1) may order the plaintiff to pay all or part of the costs of that previous action; and
- (2) may stay the proceedings until the plaintiff has complied.

Rule 42. Consolidation; Separate Trials

- (a) Consolidation.** If actions before the court involve a common question of law or fact, the court may:
- (1)** join for hearing or trial any or all matters at issue in the actions;
 - (2)** consolidate the actions; or
 - (3)** issue any other orders to avoid unnecessary cost or delay.
- (b) Separate Trials.** For convenience, to avoid prejudice, or to expedite and economize, the court may order a separate trial of one or more separate issues, claims, crossclaims, counterclaims, or third-party claims. When ordering a separate trial, the court must preserve any right to a jury trial.

Rule 42.1. Change of Judge as of Right

- (a) When Available.** In any action in superior court, except an action in the Tax Court, each side is entitled as a matter of right to a change of one judge. Each action, whether single or consolidated, must be treated as having only two sides. If two or more parties on a side have adverse or hostile interests, the presiding judge may allow additional changes of judge as a matter of right, but each side must have the right to the same number of such changes. The term “judge” as used in this rule refers to any judge, judge pro tem, or court commissioner. The term “presiding judge” as used in this rule refers to the presiding superior court judge in the county where the action is pending, or that judge’s designee.
- (b) Notice Requirements.** A party seeking a change of judge as a matter of right must either file a written notice, or make an oral request on the record, in the manner provided below:
- (1) Written Notice.** A written notice of change of judge must be served on all other parties, the presiding judge, the noticed judge and the court administrator, if any, by any method provided in Rule 5(c). The notice must not specify grounds, but must contain:
 - (A)** the name of the judge to be changed;
 - (B)** a statement that:
 - (i)** the notice is timely under Rule 42.1(c);
 - (ii)** no waiver has occurred under Rule 42.1(d); and

- (iii) the party has not been granted a change of a judge as a matter of right previously in the action.
- (2) **Oral Notice.** An oral request for change of judge must include the information required by Rule 42.1(b)(1)(A) and (B). When made, it is deemed to be an “oral notice of change of judge” for purposes of this rule. The judge must enter on the record the date of the oral notice, the name of the requesting party and the judge’s disposition of the request. A party obtaining a change of judge based on an oral notice is deemed to have exercised its right to a change of judge under Rule 42.1(a). For purposes of this rule, an oral notice is deemed “filed” on the date that it is made on the record.
- (c) **Time Limitations.** A party is precluded from changing judge as a matter of right unless timely notice is filed. The following time periods govern the timeliness of any notice of change of judge:
- (1) Notice must be filed within 90 days after the party giving notice first appears in the case.
 - (2) If an assignment identifies a judge for the first time after the time period set forth in Rule 42.1(c)(1) has expired, or fewer than 10 days before that time period will expire, a notice is timely if filed within 10 days after the party receives notice of the new assignment, or within 10 days after the new judge is assigned, whichever is later.
 - (3) A notice of change of judge is ineffective if filed within 3 days of a scheduled proceeding, unless the parties have received fewer than 5 days’ notice of that proceeding or the judge’s assignment. The filing of an ineffective notice neither requires a change of judge nor bars the party who filed it from later filing a notice of change of judge that satisfies this rule’s requirements.
- (d) **Waiver.** A party waives the right to change of a judge assigned to preside over any proceeding in the action, if:
- (1) the party agrees to the assignment;
 - (2) the judge rules on any contested issue, provided the party had an opportunity to file a written or oral notice of change of judge before the ruling is made;
 - (3) the judge grants or denies a motion to dispose of one or more claims or defenses in the action;
 - (4) a scheduling, pretrial, trial-setting or similar conference begins;
 - (5) a scheduled contested hearing begins; or

(6) trial begins.

(e) **Actions Remanded from an Appellate Court.** The right to a change of judge in actions remanded by an appellate court is renewed, and no event connected with the first trial constitutes a waiver:

- (1) if the appellate decision requires a new trial or reverses summary judgment on one or more issues; and
- (2) the party seeking a change of judge—or the side on which the party belongs—has not previously exercised its right to a change of judge in the action.

(f) **Procedures on Notice.**

(1) ***On Proper Notice.*** If a notice is timely filed and no waiver has occurred, the judge named in the notice or affidavit should proceed no further in the action except to make such temporary orders as are absolutely necessary to prevent immediate and irreparable injury, loss or damage from occurring before the action can be transferred to another judge. However, if the named judge is the only judge in the county where the action is pending, that judge also may perform the functions of the presiding judge.

(2) ***On Improper Notice.*** If the court determines that the party who filed the notice or affidavit is not entitled to a change of judge, then the judge named in the notice may proceed with the action.

(3) ***Reassignment.***

(A) ***On Stipulation.*** If a notice of change of judge is filed, the parties should inform the court in writing if they have agreed on a judge who is available and is willing to hear the action. Such an agreement of all parties may be honored and, if so, bars further changes of judge as a matter of right unless the judge agreed on becomes unavailable. If a judge to whom an action is assigned by agreement later becomes unavailable because of a change of calendar assignment, death, illness or other legal incapacity, the parties may assert any rights under this rule as they existed immediately before the action’s assignment to that judge.

(B) ***Absent Stipulation.*** If no judge is agreed on, the presiding judge must promptly reassign the action.

Rule 42.2. Change of Judge for Cause

(a) **Generally.** This rule governs proceedings for a change of judge under A.R.S. § 12-409. The term “judge” as used in this rule refers to any judge, judge pro tem, or

court commissioner. The term “presiding judge” as used in this rule refers to the presiding superior court judge in the county where the action is pending, or that judge’s designee.

- (b) Grounds.** A party seeking a change of judge for cause must establish grounds by affidavit as required by A.R.S. § 12-409.
- (c) Filing and Service.** The affidavit must be filed and copies served on the parties, the presiding judge, the noticed judge and the court administrator, if any, by any method provided in Rule 5(c).
- (d) Timeliness and Waiver.** An affidavit seeking a change of judge for cause must be filed within 20 days after discovering that grounds exist for a change of judge. Case events or actions taken before that discovery do not waive a party’s right to a change of judge for cause.
- (e) Hearing and Assignment.** If a party timely files and serves an affidavit complying with A.R.S. § 12-409:
 - (1)** Within 5 days after the affidavit is served, any other party may file an opposing affidavit or a responsive memorandum of no more than two pages in length. No reply memorandum or affidavits are permitted unless authorized by the presiding judge.
 - (2)** The presiding judge may hold a hearing to determine the issues raised in the affidavit, or may decide the issues based on any affidavits and memoranda filed by the parties.
 - (3)** The judge named in the affidavit should proceed no further in the action except to make such temporary orders as are absolutely necessary to prevent immediate and irreparable injury, loss or damage from occurring before the request is decided and the action can be transferred to another judge. However, if the named judge is the only judge in the county where the action is pending, that judge may also perform the functions of the presiding judge.
 - (4)** The presiding judge must decide the issues by the preponderance of the evidence. Under § 12-409(B)(5), the sufficiency of any “cause to believe” must be determined by an objective standard, not by reference to the affiant’s subjective belief. If grounds for disqualification are found, the presiding judge must promptly reassign the action to the original judge or make a new assignment. Any new assignment must comply with A.R.S. § 12-411.
 - (5)** If the court determines that the party who filed the affidavit is not entitled to a change of judge, then the judge named in the notice may proceed with the action.

Rule 43. Taking Testimony

- (a) **Definition of Witness.** A witness is a person whose testimony under oath or affirmation is offered as evidence for any purpose, whether by oral examination, deposition or affidavit.
- (b) **Affirmation Instead of Oath.** When these rules require an oath, a solemn affirmation suffices.
- (c) **Interpreter.** The court may appoint an interpreter of its choosing and may set the interpreter's reasonable compensation, to be paid from funds provided by law or by one or more parties. The compensation may be taxed as costs.
- (d) **Limitation on Examining Witness.** Except as allowed by the court, only one attorney for each party may examine a witness.
- (e) **In Open Court.** At trial, witness testimony must take place in open court, unless a statute, these rules, or the Arizona Rules of Evidence provide otherwise. For good cause and with appropriate safeguards, the court may permit testimony in open court by contemporaneous transmission from a different location.
- (f) **Evidence on a Motion.** If a motion relies on facts outside the record, the court may hear the matter on affidavits or may hear it wholly or partly on oral testimony or on depositions.
- (g) **Preserving Recording of Court Proceedings.**
 - (1) **Transcripts and Other Recordings.** The official verbatim recording of any court proceeding is an official record of the court. The original recording must be kept by the person who recorded it, a court-designated custodian, or the clerk, in a place designated by the court. The recording must be retained according to the records retention and disposition schedules adopted by the Arizona Supreme Court, unless the court specifies a different retention period.
 - (2) **Transcription.** If a court reporter's verbatim recording is to be transcribed, the court reporter who made the recording must be given the first opportunity to make the transcription, unless that court reporter no longer serves in that position or is unavailable for any other reason.

Rule 44. Proving an Official Record

(a) Authenticating an Official Record—Generally.

- (1) **Domestic Record.** A record—or an entry in it—may be authenticated as an official record if it is kept within the United States, any state, district, or commonwealth, or

any territory subject to the administrative or judicial jurisdiction of the United States and it is:

- (A) an official publication of the record; or
- (B) a copy attested by the officer with legal custody of the record—or by the officer’s deputy—and accompanied by a certificate that the officer has custody. The certificate must be made under seal, or its equivalent:
 - (i) by a judge of a court of record in the district or political subdivision where the record is kept; or
 - (ii) by any public officer with a seal of office and with official duties in the district or political subdivision where the record is kept.

(2) Foreign Record.

- (A) *Generally.* A record—or an entry in it—may be authenticated as a foreign official record if:
 - (i) it is an official publication of the record; or
 - (ii) the record—or a copy—is attested by an authorized person and is accompanied either by a final certification of genuineness or by a certification under a treaty or convention to which the United States and the country where the record is located are parties.
- (B) *Final Certification of Genuineness.* A final certification must certify the genuineness of the signature and official position of the attester or of any foreign official whose certificate of genuineness relates to the attestation or is in a chain of certificates of genuineness relating to the attestation. A final certification may be made by a secretary of a United States embassy or legation; by a consul general, vice consul, or consular agent of the United States; or by a diplomatic or consular official of the foreign country assigned or accredited to the United States.
- (C) *Other Means of Proof.* If all parties have had a reasonable opportunity to investigate a foreign record’s authenticity and accuracy, the court may, for good cause, either:
 - (i) admit an attested copy without final certification; or
 - (ii) permit the contents of the record to be proved by an attested summary with or without a final certification.

- (b) Means of Proving Appointment of Guardian, Personal Representative, Administrator or Conservator.** The appointment and qualifications of a guardian, personal representative, administrator or conservator may be proved by the letters issued as provided by law, or by a certificate of the clerk under official seal that the letters issued.
- (c) Lack of a Record.** A written statement that a diligent search of designated records revealed no record or entry on a specified topic is admissible as evidence that the records contain no such record or entry. For domestic records, the statement must be authenticated under Rule 44(a)(1). For foreign records, the statement must comply with Rule 44(a)(2)(C)(ii).
- (d) Other Proof.** A party may authenticate an official record—or an entry or lack of an entry in it—by any other method authorized by law.

Rule 44.1. Determining Foreign Law

A party who intends to raise an issue about a foreign country's law must give reasonable written notice, filed with the court. In determining foreign law, the court may consider any relevant material or source, including testimony, whether or not submitted by a party or admissible under the Arizona Rules of Evidence. The court's determination must be treated as a ruling on a question of law.

Rule 45. Subpoena

(a) Generally.

(1) Requirements—Generally. Every subpoena must:

- (A)** state the name of the Arizona court from which it issued;
- (B)** state the title of the action, the name of the court in which it is pending, and its civil action number;
- (C)** command each person to whom it is directed to do the following at a specified time and place:
 - (i)** attend and testify at a deposition, hearing or trial; or
 - (ii)** produce and permit inspection, copying, testing, or sampling of designated documents, electronically stored information, or tangible things in that person's possession, custody or control; or
 - (iii)** permit the inspection of premises; and

(D) be substantially in the form set forth in Rule 84, Form 9.

(2) **Issuance by Clerk.** The clerk must issue a signed but otherwise blank subpoena to a party requesting it. That party must complete the subpoena before service. The State Bar of Arizona may also issue signed subpoenas on behalf of the clerk through an online subpoena issuance service approved by the Arizona Supreme Court.

(b) Subpoena for Deposition, Hearing or Trial; Duties; Objections.

(1) **Issuing Court.** A subpoena commanding attendance at a hearing or trial must issue from the superior court for the county where the hearing or trial is to be held. Except as otherwise provided in Rule 45.1, a subpoena commanding attendance at a deposition must issue from the superior court for the county where the action is pending.

(2) **Combining or Separating a Command to Produce or to Permit Inspection.** A command to produce documents, electronically stored information, or tangible things, or to permit the inspection of premises, may be included in a subpoena commanding attendance at a deposition, hearing, or trial, or may be set out in a separate subpoena.

(3) **Place of Appearance.**

(A) **Trial Subpoena.** Subject to Rule 45(e)(2)(B)(iii), a subpoena commanding attendance at a trial may require the subpoenaed person to travel from anywhere within the state.

(B) **Deposition or Hearing Subpoena.** A subpoena commanding a person who is neither a party nor a party's officer to attend a deposition or hearing may not require the subpoenaed person to travel to a place other than:

(i) the county where the person resides or transacts business in person;

(ii) the county where the person is served with a subpoena, or within forty miles from the place of service; or

(iii) such other convenient place fixed by a court order.

(4) **Command to Attend a Deposition—Notice of Recording Method.** A subpoena commanding attendance at a deposition must state the method for recording the testimony.

(5) **Objections; Appearance Required.** Objections to a subpoena commanding attendance at a deposition, hearing, or trial, must be made by timely motion under Rule 45(e)(2). Unless excused from doing so by the party or attorney serving a

subpoena, by a court order, or by any other provision of this Rule 45, a person who is properly served with a subpoena must attend and testify at the date, time and place specified in the subpoena.

(c) Subpoena to Produce Materials or to Permit Inspection; Duties; Objections.

(1) *Issuing Court.* If separate from a subpoena commanding attendance at a deposition, hearing, or trial, a subpoena commanding a person to produce designated documents, electronically stored information or tangible things, or to permit the inspection of premises, must issue from the superior court for the county where the production or inspection is to be made.

(2) *Electronically Stored Information.*

(A) *Specifying the Form for Electronically Stored Information.* A subpoena may specify the form or forms in which electronically stored information is to be produced.

(B) *Form for Electronically Stored Information Not Specified.* If a subpoena does not specify a form for producing electronically stored information, the person responding must produce it in a form or forms in which it is ordinarily maintained or in a reasonably usable form or forms.

(C) *Electronically Stored Information Produced in Only One Form.* The person responding need not produce the same electronically stored information in more than one form.

(D) *Inaccessible Electronically Stored Information.* The person responding need not provide discovery of electronically stored information from sources that the person identifies as not reasonably accessible because of undue burden or cost. On motion to compel discovery or for a protective order, the person responding must show that the information is not reasonably accessible because of undue burden or cost. If that showing is made, the court may nonetheless order discovery from such sources if the requesting party shows good cause, considering the limitations of Rule 26(b)(1)(B) and (C). The court may specify conditions for the discovery.

(3) *Appearance Not Required.* A person commanded to produce documents, electronically stored information, or tangible things, or to permit the inspection of premises, need not appear in person at the place of production or inspection unless the subpoena also commands attendance at a deposition, hearing or trial.

(4) Documents. A person responding to a subpoena to produce documents must produce them as they are kept in the usual course of business or organize and label them to correspond with the categories in the demand.

(5) Objections.

(A) Form and Time for Objection.

- (i)** A person commanded to produce documents, electronically stored information or tangible things, or to permit inspection, may serve a written objection to producing, inspecting, copying, testing or sampling any or all of the materials; to inspecting the premises; or to producing electronically stored information in the form or forms requested or from sources that are not reasonably accessible because of undue burden or cost. The objection must state the basis for the objection, and must include the name, address, and telephone number of the person, or the person's attorney, serving the objection.
- (ii)** The objection must be served upon the party or attorney serving the subpoena before the time specified for compliance or within 14 days after the subpoena is served, whichever is earlier.
- (iii)** A person served with a subpoena that combines a command to produce materials, or to permit inspection, with a command to attend a deposition, hearing or trial, may object to any portion of the subpoena. A person objecting to the portion of a combined subpoena that commands attendance at a deposition, hearing or trial must attend and testify at the date, time and place specified in the subpoena, unless excused as provided in Rule 45(b)(5).

(B) Procedure After Objecting.

- (i)** A person objecting to a subpoena to produce materials or to permit inspection need not comply with those portions of the subpoena that are the subject of the objection, unless ordered to do so by the issuing court.
- (ii)** The party serving the subpoena may move under Rule 37(a) to compel compliance with the subpoena. The motion must comply with Rule 37(a)(2)(C), and must be served on the subpoenaed person and all other parties under Rule 5(c).
- (iii)** Any order to compel entered by the court must protect a person who is neither a party nor a party's officer from undue burden or expense resulting from compliance.

(C) Claiming Privilege or Protection.

- (i)** A person withholding subpoenaed information under a claim that it is privileged or subject to protection as trial-preparation material must expressly make the claim and describe the nature of the withheld documents, communications, or tangible things in a manner that, without revealing information itself privileged or protected, will enable the demanding party to assess the claim.
- (ii)** If information produced in response to a subpoena is subject to a claim of privilege or of protection as trial preparation material, the person making the claim may notify any party that received the information of the claim and the basis for it. After being notified, a party must promptly return, sequester, or destroy the specified information and any copies it has; must not use or disclose the information until the claim is resolved; and must take reasonable steps to retrieve the information if the party disclosed it before being notified. A receiving party may promptly present the information to the court under seal for a determination of the claim. The person who produced the information must preserve the information until the claim is resolved.

(6) Production to Other Parties. Unless otherwise stipulated by the parties or ordered by the court, a party receiving documents, electronically stored information or tangible things in response to a subpoena must promptly make such materials available to all other parties for inspection and copying, along with any other disclosures required by Rule 26.1.

(d) Service.

- (1) General Requirements; Tendering Fees.** A subpoena may be served by any person who is not a party and is at least 18 years old. Serving a subpoena requires delivering a copy to the named person and, if the subpoena requires that person's attendance, tendering to that person the fees for 1 day's attendance and the mileage allowed by law.
- (2) Exceptions to Tendering Fees.** Fees and mileage need not be tendered when the subpoena commands attendance at a trial or hearing or is issued on behalf of the state or any of its officers or agencies.
- (3) Service on Other Parties.** A copy of every subpoena and any proof of service must be served on every other party in accordance with Rule 5(c).
- (4) Service Within the State.** A subpoena may be served anywhere within the state.

(5) Proof of Service. Proof of service should not be filed except as allowed by Rule 5(g)(2)(A). Any such filing must be with the clerk of the court for the county where the action is pending and must include the server's certificate stating the date and manner of service and the names of the persons served.

(e) Protecting a Person Subject to a Subpoena; Motion to Quash or Modify.

(1) Avoiding Undue Burden or Expense; Sanctions. A party or an attorney responsible for serving a subpoena must take reasonable steps to avoid imposing undue burden or expense on a person subject to the subpoena. The issuing court must enforce this duty and may impose an appropriate sanction—which may include lost earnings and reasonable attorney's fees—on a party or attorney who fails to comply.

(2) Quashing or Modifying a Subpoena.

(A) When Required. On timely motion, the court in the county where the case is pending or from which a subpoena was issued must quash or modify a subpoena if it:

- (i)** fails to allow a reasonable time to comply;
- (ii)** requires a person who is neither a party nor a party's officer to travel to a location other than the places specified in Rule 45(b)(3)(B);
- (iii)** requires disclosure of privileged or other protected matter, if no exception or waiver applies; or
- (iv)** subjects a person to undue burden.

(B) When Permitted. On timely motion, the superior court of the county where the case is pending or from which a subpoena was issued may quash or modify a subpoena if:

- (i)** it requires disclosing a trade secret or other confidential research, development, or commercial information;
- (ii)** it requires disclosing an unretained expert's opinion or information that does not describe specific occurrences in dispute and results from the expert's study that was not requested by a party;
- (iii)** it requires a person who is neither a party nor a party's officer to incur substantial travel expense; or
- (iv)** justice so requires.

- (C) *Specifying Conditions as an Alternative.* In the circumstances described in Rule 45(e)(2)(B), the court may, instead of quashing or modifying a subpoena, order appearance or production under specified conditions, including any conditions and limitations set forth in Rule 26(c), as the court deems appropriate:
- (i) if the party or attorney serving the subpoena shows a substantial need for the testimony or material that cannot be otherwise met without undue hardship; and
 - (ii) if the person's travel expenses or the expenses resulting from the production are at issue, the party or attorney serving the subpoena assures that the subpoenaed person will be reasonably compensated.
- (D) *Time for Motion.* A motion to quash or modify a subpoena must be filed before the time specified for compliance or within 14 days after the subpoena is served, whichever is earlier.
- (E) *Service of Motion.* Any motion to quash or modify a subpoena must be served on the party or the attorney serving the subpoena. The party or attorney who served the subpoena must serve a copy of any such motion on all other parties.
- (f) **Contempt.** The issuing court may hold in contempt a person who, having been served, fails without adequate excuse to obey the subpoena or an order related to it. A failure to obey must be excused if the subpoena purports to require a person who is neither a party nor a party's officer to attend or produce at a location other than the places specified in Rule 45(b)(3)(B).

Rule 45.1. Interstate Depositions and Discovery

(a) **Definitions.** In this rule:

- (1) Foreign jurisdiction means a state other than Arizona;
- (2) Foreign subpoena means a subpoena issued under a foreign court's authority;
- (3) State means a state of the United States, the District of Columbia, Puerto Rico, the United States Virgin Islands, a federally recognized Indian tribe, or any territory or insular possession subject to the jurisdiction of the United States;
- (4) Subpoena means a document issued under court authority requiring a person to:
 - (A) attend and testify at a deposition;

- (B) produce and permit inspection, copying, testing, or sampling of designated documents, electronically stored information, or tangible things in that person's possession, custody, or control; or
- (C) permit the inspection of premises.

(b) Issuing Subpoena.

- (1) ***Presenting the Foreign Subpoena.*** To obtain a subpoena under this Rule 45.1, a party must present a foreign subpoena to the court clerk in the county where the discovery will be conducted. The foreign subpoena must include the following phrase below the case number: "For the Issuance of an Arizona Subpoena Under Ariz. R. Civ. P. 45.1." A request for a Rule 45.1 subpoena does not constitute an appearance in an Arizona court.
- (2) ***Clerk's Duties.*** On receiving a foreign subpoena under Rule 45.1(b)(1), the clerk must promptly issue a signed but otherwise blank subpoena to the party requesting it, and that party must complete the subpoena before service.
- (3) ***Content of Subpoena.*** A subpoena under Rule 45.1(b)(2) must:
 - (A) state the name of the issuing Arizona court;
 - (B) bear the caption and case number of the out-of-state case to which it relates, identifying (before the case number) the foreign jurisdiction and court where the case is pending;
 - (C) accurately incorporate the discovery requested in the foreign subpoena;
 - (D) contain or be accompanied by the names, addresses, telephone numbers and email addresses of all counsel of record in the proceeding to which the subpoena relates and of any party not represented by counsel;
 - (E) be in the form required by Rule 45(a)(1); and
 - (F) comply with Rule 45's other requirements.
- (c) **Service.** A subpoena issued as provided in Rule 45.1(b) must be served in compliance with Rule 45(d).
- (d) **Deposition, Production, and Inspection.** Rule 45 applies to subpoenas issued under Rule 45.1(b). Discovery taken under this rule must be conducted consistent with, and subject to applicable limitations in, the Arizona Rules of Civil Procedure, except as follows:

- (1) Rules 30(a)(1) (“Depositions Permitted”) and 30(a)(2) (“Depositions by Plaintiff Fewer than 30 Days after Serving the Summons and Complaint”) and 30(a)(4) (“Compelling Attendance of Deponent”) do not apply; and
- (2) Rule 30(c)(2) (“Objections”) applies, but counsel participating in the foreign action may object in the manner required to preserve objections in the jurisdiction where the action is pending, if those requirements differ from Rule 30(c)(2)’s requirements.

(e) Objections; Motion to Quash or Modify; Seeking Protective Order.

- (1) **Objections.** Rule 45 governs the time and manner for objecting to subpoenas issued under this rule. Objections to a subpoena commanding attendance at a deposition must be made by timely motion under Rule 45(e)(2). Unless excused from doing so by the party or attorney serving a subpoena, by a court order, or by any other provision of Rules 45 or 45.1, a person who is properly served with a deposition subpoena must attend and testify at the date, time and place specified in the subpoena.
- (2) **Motions to Quash, Modify, Compel or for Protective Order.** Motions to compel, or for a protective order, or to quash or modify a subpoena issued under this rule:
 - (A) must comply with Rule 45 and other applicable Arizona rules and statutes;
 - (B) must be filed with the court clerk in the county where the discovery is to be conducted; and
 - (C) must be filed as a separate civil action bearing the same caption as appears on the subpoena. The following phrase must appear below the case number of the newly filed action: “Motion or Application Related to a Subpoena Issued Under Ariz. R. Civ. P. 45.1.” Any later motion or application relating to the same subpoena must be filed in the same action.

Rule 46. Objecting to a Ruling or Order

A formal exception to a ruling or order is unnecessary to preserve a claim of error. When the ruling or order is requested or made, a party need only state the action that it wants the court to take or objects to, along with the grounds for the request or objection. Failing to object does not prejudice a party who has no opportunity to object when the ruling or order is made.

Rule 47. Jury Selection; Juror Information; Voir Dire; Challenges

(a) Jury Selection. If an action is to be tried by jury, the initial jury panel for the action will consist of persons summoned for jury service who have appeared. The clerk will randomly select—either manually or by electronic means—a sufficient number of persons from this group for consideration as jurors in the action. The clerk will then prepare a list of these prospective jurors’ names in random order, and deliver it to the court. The clerk will read the names of prospective jurors in the order in which they appear on the list until a jury is fully selected or the names on the list are exhausted. If the names on the list are exhausted before a jury is fully selected, the clerk will prepare an additional list of prospective jurors in the same manner as provided in this rule.

(b) Juror Information.

(1) Personal Information. Before jury selection and voir dire examination starts, the clerk must provide the parties with the following information for each prospective juror: name, zip code, employment status, occupation, employer, residency status, education level, prior jury experience, and felony conviction status. The clerk must keep all prospective jurors’ home, business and telephone numbers confidential and may not disclose them unless good cause is shown.

(2) Questionnaires. The court may order prospective jurors to complete a written questionnaire prepared by the parties and submitted to the court for approval before trial. Unless the court orders otherwise, the clerk must provide copies of any such juror questionnaire and answers to the parties and their respective counsel. Any party or counsel receiving a copy of the questionnaire and answers must keep the information strictly confidential and must not disclose the information to any other person. When jury selection is done, each recipient must return all copies of the juror questionnaires and answers to the clerk.

(c) Voir Dire Oath and Procedure.

(1) Voir Dire Oath. The prospective jurors must take an oath administered by the clerk before they are examined about their qualifications. The oath’s substance must be as follows: “You do solemnly swear (or affirm) that you will truthfully answer all questions about your qualifications to serve as a trial juror in this action, so help you God.” If a prospective juror elects to affirm rather than swear the oath, the clause “so help you God” must be omitted.

(2) Brief Opening Statements. Before voir dire begins, the court may allow or require the parties to present brief opening statements to the prospective jurors.

(3) *Extent of Voir Dire.*

- (A) *Questioning by Court and Parties.*** The court must thoroughly question the jury panel to ensure that prospective jurors are qualified and are fair and impartial. The court must permit each of the parties to ask the panel additional questions, but may impose reasonable limitations on the questioning. Written questions also may be used as provided in Rule 47(b)(2).
- (B) *Extent of Questioning.*** Voir dire questioning of a jury panel is not limited to the grounds listed in Rule 47(d) and may include questions about any subject that might disclose a basis for the exercise of a peremptory challenge.

(d) Challenges for Cause.

- (1) *Grounds.*** A party may challenge a prospective juror for cause on one or more of the following grounds:
 - (A)** The prospective juror lacks one or more of the required statutory qualifications specified in A.R.S. § 21-211.
 - (B)** The prospective juror is a party's:
 - (i)** family member;
 - (ii)** guardian or ward;
 - (iii)** master or servant;
 - (iv)** employer or employee;
 - (v)** principal or agent;
 - (vi)** business partner; or
 - (vii)** surety or obligee on a bond or obligation.
 - (C)** The prospective juror was a witness or served as a juror in a previous trial between the same parties in the same action.
 - (D)** The prospective juror has—by words or actions—shown bias or prejudice for or against any party or otherwise demonstrated that he or she is unfit to serve as a juror.
- (2) *Procedure.*** The court must rule on challenges for cause. A prospective juror who is challenged for cause may be examined under oath by the court or, with the court's permission, by a party.

(e) Peremptory Challenges.

- (1) *Procedure.*** When the voir dire is finished and the court has ruled on all challenges for cause, the clerk will give the parties a list of the remaining prospective jurors for the exercise of peremptory challenges. The parties must exercise their challenges by alternate strikes, beginning with the plaintiff, until each party's peremptory challenges are exhausted or waived. If a party fails to exercise a peremptory challenge, it waives any remaining challenges, but it does not affect the right of other parties to exercise their remaining challenges.
- (2) *Number.*** Each side is entitled to 4 peremptory challenges. For this rule's purposes, each action—whether a single action or two or more actions consolidated for trial—must be treated as having only two sides. If it appears that two or more parties on a side have adverse or hostile interests, the court may allow them to have additional peremptory challenges, but each side must have an equal number of peremptory challenges. If the parties on a side are unable to agree on how to allocate peremptory challenges among them, the court must determine the allocation.

(f) Alternate Jurors.

- (1) *Generally.*** The court may order that up to 6 additional jurors be called and impaneled in the same manner as other jurors under this rule, to allow the court to later designate some of the jurors as alternates.
- (2) *Instructions.*** The court should explain to the jury why alternate jurors are needed and how they will be selected at the end of trial.
- (3) *Selecting and Excusing an Alternate Juror.*** The court will determine the identities of the alternate jurors by a drawing held in open court after closing arguments and final jury instructions are given but before deliberations begin. If an alternate juror is excused, the court must instruct him or her to continue to observe the juror admonitions until a verdict is returned or the jury is discharged.
- (4) *Substituting an Alternate Juror.*** If a deliberating juror is disqualified or unable to perform the required duties, the court may substitute an alternate juror in the juror's place. If an alternate juror joins the deliberations, the court must instruct the jury to start over in its deliberations.
- (5) *Additional Peremptory Challenges.*** In addition to the peremptory challenges otherwise allowed by law, each side is entitled to one peremptory challenge if one or two alternate jurors will be impaneled, two peremptory challenges if 3 or 4 alternate jurors will be impaneled, and 3 peremptory challenges if 5 or 6 alternate jurors will be impaneled.

Rule 48. Stipulations on Jury Size and Verdict

- (a) **Jury Size.** The parties may stipulate to a jury of fewer than 8 but not fewer than 3 members, exclusive of any alternate jurors who are permitted to deliberate.
- (b) **Verdict.** The parties may stipulate that a verdict or a finding of a stated number of jurors be taken as the verdict or finding of the jury.

Rule 49. Special Verdict; General Verdict and Questions; Proceedings on Return of Verdict; Form of Verdict

(a) Special Verdict.

- (1) **Generally.** The court may require a jury to return only a special verdict in the form of a special written finding on each issue of fact. The court may do so by:
 - (A) submitting written questions susceptible of a brief answer;
 - (B) submitting written forms of the special findings that might properly be made under the pleadings and evidence; or
 - (C) using any other method that the court considers appropriate.
- (2) **Instructions.** The court must give the instructions and explanations necessary to enable the jury to make its findings on each submitted issue.
- (3) **Issues Not Submitted.** A party waives the right to a jury trial on any issue of fact raised by the pleadings or evidence but not submitted to the jury unless, before the jury retires, the party demands its submission to the jury. If the party does not demand submission, the court may make a finding on the issue. If the court makes no finding, it is considered to have made a finding consistent with its judgment on the special verdict.

(b) General Verdict With Answers to Written Questions.

- (1) **Generally.** The court may submit to the jury forms for a general verdict, together with written questions on one or more issues of fact that the jury must decide. The court must give the instructions and explanations necessary to enable the jury to render a general verdict and answer the questions in writing, and must direct the jury to do both.
- (2) **Verdict and Answers Consistent.** If the general verdict and the answers are consistent, the court must approve, for entry under Rule 58, an appropriate judgment on the verdict and answers.

(3) *Answers Inconsistent With the Verdict.* If the answers are consistent with each other but one or more is inconsistent with the general verdict, the court may:

(A) approve, for entry under Rule 58, an appropriate judgment according to the answers, notwithstanding the general verdict;

(B) direct the jury to further consider its answers and verdict; or

(C) order a new trial.

(4) *Answers Inconsistent With Each Other and the Verdict.* If the answers are inconsistent with each other and one or more is also inconsistent with the general verdict, judgment must not be entered; instead, the court must direct the jury to further consider its answers and verdict, or must order a new trial.

(c) *Written Questions in Actions Seeking Equitable Relief.* If a jury is demanded in an action seeking equitable relief and more than one material issue of fact is presented, the court may submit written questions to the jury covering all or part of the issues of fact. The questions may be submitted only if the court approves them, and each question must be confined to a single question of fact and framed so that it can be answered yes or no. The jury's answers are advisory only and are not binding on the court.

(d) *Return of Verdict.*

(1) *Number of Jurors Who Must Agree.* Subject to any stipulation of the parties under Rule 48, if a jury has 8 members, 6 or more members must agree on the verdict.

(2) *Return of Verdict.* If the jurors unanimously agree on a verdict, it must be signed by the foreman and returned to the court. If the jurors do not unanimously agree on a verdict, but a sufficient number agree to support the verdict, those jurors who agree must each sign the verdict and return it to the court.

(e) *Proceedings on Return of Verdict.*

(1) *Generally.* The following procedures apply once a verdict is returned:

(A) the clerk must read the verdict and inquire of the jury, or jurors agreeing, if it is their verdict;

(B) if any juror disagrees that it is their verdict, the jury must retire to consider the case further; and

(C) if no juror disagrees, and subject to reformation under Rule 49(f), the court should receive the verdict and order it to be entered in the minutes, and discharge the jury.

(2) ***Polling the Jury.*** After the jury returns a verdict but before the court discharges the jury, the court must on a party's request, or may on its own, poll the jurors individually. The court must not identify the individual jurors by name during polling, but should use other methods or form of identification as is appropriate to ensure that the poll is accurate and to accommodate the jurors' privacy. If the poll reveals a lack of unanimity or lack of assent by the required number of jurors, the court may direct the jury to deliberate further or may order a new trial.

(f) Form of Verdict.

(1) ***Defective, Informal, or Nonresponsive Verdict.*** On request of a party or on its own, the court may order that an informal or defective verdict be reformed. Any such reformation of the verdict should take place before the jury is discharged and with their assent. If the verdict is not responsive to the issue submitted to the jury, the court should inform the jury of the issue and require further deliberations.

(2) ***No Special Form of Verdict Required.*** No special form of verdict is required. If the jury's verdict is in substantial compliance with the law, the court should enter judgment thereon, notwithstanding a defect in form.

(3) ***Fixing Net Recovery Amount.*** If two opposing parties have claims against each other for the recovery of money, and each of those parties obtains a jury verdict awarding money, the jury must separately find the amount of recovery on each claim. The court may enter judgment for the party who has the greater recovery, in an amount reflecting the difference in the amounts awarded to the two parties.

Rule 50. Judgment as a Matter of Law in a Jury Trial; Related Motion for a New Trial; Conditional Ruling

(a) Judgment as a Matter of Law.

(1) ***Generally.*** If a party has been fully heard on an issue during a jury trial and the court finds that a reasonable jury would not have a legally sufficient evidentiary basis to find for the party on that issue, the court may:

(A) resolve the issue against the party; and

(B) grant a motion for judgment as a matter of law against the party on a claim or defense that, under the controlling law, can be maintained or defeated only with a favorable finding on that issue.

- (2) **Motion.** A motion for judgment as a matter of law may be made at any time before the case is submitted to the jury. The motion must specify the judgment sought and the law and facts that entitle the movant to the judgment.
- (b) **Renewing the Motion After Trial; Alternative Motion for a New Trial.** If the court does not grant a motion for judgment as a matter of law made under Rule 50(a), the court is considered to have submitted the action to the jury subject to the court's later deciding the legal questions raised by the motion. No later than 15 days after the entry of judgment—or if the trial ends without a verdict or with an incomplete verdict that does not decide an issue raised by the motion, no later than 15 days after the jury was discharged—the movant may file a renewed motion for judgment as a matter of law and may include an alternative or joint request for a new trial under Rule 59. In ruling on the renewed motion, the court may:
- (1) allow judgment on the verdict, if the jury returned a verdict;
 - (2) order a new trial; or
 - (3) direct the entry of judgment as a matter of law.
- (c) **Granting the Renewed Motion; Conditional Ruling on a Motion for a New Trial.**
- (1) **Generally.** If the court grants a renewed motion for judgment as a matter of law, it must also conditionally rule on any motion for a new trial by determining whether a new trial should be granted if the judgment is later vacated or reversed. The court must state the grounds for conditionally granting or denying the motion for a new trial.
 - (2) **Effect of a Conditional Ruling.** Conditionally granting the motion for a new trial does not affect the judgment's finality; if the judgment is reversed, the new trial must proceed unless the appellate court orders otherwise. If the motion for a new trial is conditionally denied, the appellee may assert error in that denial; if the judgment is reversed, the case must proceed as the appellate court orders.
- (d) **Time for a Losing Party's New-Trial Motion.** Any motion for a new trial under Rule 59 by a party against whom judgment as a matter of law is rendered must be filed no later than 15 days after the entry of the judgment.
- (e) **Denying the Motion for Judgment as a Matter of Law; Reversal on Appeal.** If the court denies the motion for judgment as a matter of law, the prevailing party may, as appellee, assert grounds entitling the party to a new trial in the event the appellate court concludes that the trial court erred in denying the motion. If the appellate court reverses the judgment, it may order a new trial, direct the trial court to determine whether a new trial should be granted, or direct the entry of judgment.

Rule 51. Instructions to the Jury; Objections; Preserving a Claim of Error

(a) Requests.

- (1) *Before or at the Close of the Evidence.*** Before trial and, as the court permits, during trial, a party may file written requests for the jury instructions it wants the court to give.
- (2) *After the Close of the Evidence.*** After the close of the evidence, a party may:
 - (A)** file requests for instructions on issues that could not reasonably have been anticipated by any earlier filing deadline ordered by the court; and
 - (B)** with the court's permission, file untimely requests for instructions on any issue.

(b) Instructions.

- (1) *Generally.*** Jury instructions should be as readily understandable as possible by individuals unfamiliar with the legal system. Each juror must be provided with a copy of the court's preliminary and final instructions on the law before they are read to the jury and before the jury retires to deliberate.
- (2) *Preliminary Instructions.*** After the jury is sworn, the court should instruct the jury on:
 - (A)** its duties and conduct;
 - (B)** the order of proceedings;
 - (C)** the procedure for submitting written questions to witnesses or to the court;
 - (D)** the procedure for note-taking;
 - (E)** the nature of the evidence and its evaluation;
 - (F)** any issues to be addressed; and
 - (G)** the legal principles that will govern the trial.
- (3) *Final Instructions.*** The court:
 - (A)** may give an instruction as proposed, refuse to give the instruction, or modify the instruction, indicating on the record the modifications made;
 - (B)** must inform the parties of its proposed instructions and proposed action on the requests before instructing the jury and before final jury arguments;
 - (C)** must give the parties an opportunity to object on the record and out of the jury's hearing before the instructions and arguments are delivered;
 - (D)** may instruct the jury at any time before the jury is discharged; and

(E) must make a record of its rulings.

(c) Objections.

(1) ***How to Make.*** A party who objects to an instruction or the failure to give an instruction must do so on the record, stating distinctly the matter objected to and the grounds for the objection.

(2) ***When to Make.*** An objection is timely if:

(A) a party objects at the opportunity provided under Rule 51(b)(3)(C); or

(B) a party was not informed of an instruction or action on a request before having an opportunity to object under Rule 51(b)(3)(C), and the party objects promptly after learning that the instruction or request will be, or has been, given or refused.

(d) Assigning Error; Fundamental Error.

(1) ***Assigning Error.*** A party may assign as error:

(A) an error in an instruction actually given, if that party properly objected; or

(B) a failure to give an instruction, if that party properly requested it and—unless the court rejected the request in a definitive ruling on the record—also properly objected.

(2) ***Fundamental Error.*** A court may consider a fundamental error as allowed by law, even if the error was not preserved.

(e) Record.

(1) ***Jury Communications.*** All communications between the court and members of the jury panel must be in writing or on the record.

(2) ***Preliminary and Final Instructions.*** The court's preliminary and final instructions on the law must be in writing and filed.

Rule 52. Findings and Conclusions by the Court; Judgment on Partial Findings

(a) Findings and Conclusions.

(1) ***Generally.*** In an action tried on the facts without a jury or with an advisory jury, if requested before trial, the court must find the facts specially and state its conclusions of law separately. The findings and conclusions may be stated on the record after the close of the evidence or may appear in an opinion, minute entry or memorandum of decision filed by the court. Judgment must be entered under Rule 58.

- (2) ***For an Interlocutory Injunction.*** In granting or refusing an interlocutory injunction, the court must state the findings and conclusions that support its action as provided in Rule 52(a)(1).
 - (3) ***For a Motion.*** The court is not required to state findings or conclusions when ruling on a motion under Rule 12 or 56 or, unless these rules provide otherwise, on any other motion.
 - (4) ***Effect of a Master's Findings.*** A master's findings, to the extent adopted by the court, must be considered the court's findings.
 - (5) ***Questioning the Evidentiary Support.*** A party may later question the sufficiency of the evidence supporting the findings, whether or not the party requested findings, objected to them, moved to amend them, or moved for partial findings.
 - (6) ***Setting Aside the Findings.*** Findings of fact, whether based on oral or other evidence, must not be set aside unless clearly erroneous, and the reviewing court must give due regard to the trial court's opportunity to judge the credibility of witnesses.
- (b) **Amended or Additional Findings.** On a party's motion filed no later than 15 days after the entry of judgment, the court may amend its findings—or make additional findings—and may amend the judgment accordingly. The motion may accompany a motion for a new trial under Rule 59.
- (c) **Judgment on Partial Findings.** If a party has been fully heard on an issue during a nonjury trial and the court finds against the party on that issue, the court may enter judgment against that party on a claim or defense that, under the controlling law, can be maintained or defeated only with a favorable finding on that issue. The court may, however, decline to render any judgment until the close of the evidence. A judgment on partial findings must be supported by findings of fact and conclusions of law if requested as required by Rule 52(a).
- (d) **Submission on Agreed Statement of Facts.** The parties may submit a matter in controversy to the court on an agreed statement of facts, signed by them and filed with the clerk. The court must render its decision based on the agreed statement unless it finds the statement to be insufficient.

Rule 53. Masters

(a) Appointment.

(1) *Scope.* Unless a statute provides otherwise, a court may appoint a master only to:

- (A)** perform duties consented to by the parties;
- (B)** hold trial proceedings and make or recommend findings of fact and conclusions of law on issues to be decided without a jury if appointment is warranted by:
 - (i)** some exceptional condition; or
 - (ii)** the need to perform an accounting or resolve a difficult computation of damages; or
- (C)** address pretrial and post-trial matters that cannot be effectively and timely addressed by an available superior court judge in the county in which the court sits.

(2) *Disqualification; Affidavit.*

- (A)** A master must not have a relationship to the parties, attorneys, action, or court that would require disqualification of a judge under Rule 81 of the Rules of the Supreme Court of Arizona, unless the parties, with the court's approval, consent to the appointment after the master discloses any potential grounds for disqualification.
- (B)** Promptly on receiving notice of an appointment or a prospective appointment, and before accepting the appointment, the prospective appointee must file an affidavit disclosing whether there is any ground for disqualification under Rule 53(a)(2)(A).
- (3) *Possible Expense or Delay.*** In appointing a master, the court must consider the fairness of imposing the likely expenses on the parties and must protect against unreasonable expense or delay.

(b) Order Appointing a Master.

- (1) *Notice.*** Before appointing a master, the court must give the parties notice and an opportunity to be heard. Any party may suggest candidates for appointment.
- (2) *Objection.*** If one or more parties object to the appointment of a master or to a proposed appointee, the court may:
 - (A)** decline to make the appointment; or

- (B) appoint a master based on a finding on the record stating the reasons that:

 - (i) one or more of the circumstances for the appointment specified in Rule 53(a)(1) are present;
 - (ii) the benefit to the parties and the court outweighs the likely expense; and
 - (iii) the appointment is warranted after considering the parties' respective abilities to pay the likely expense.
- (3) **Contents.** The appointing order must direct the master to proceed with all reasonable diligence and must state:

 - (A) the master's duties, including any investigation or enforcement duties, and any limits on the master's authority under Rule 53(c);
 - (B) the circumstances, if any, in which the master may communicate ex parte with the court or a party;
 - (C) the nature of the materials to be preserved and filed as the record of the master's activities;
 - (D) the time limits, method of filing the record, other procedures, and standards for reviewing the master's orders, findings, and recommendations; and
 - (E) the basis, terms, and procedure for fixing the master's compensation under Rule 53(g).
- (4) **Amending.** The order may be amended at any time after notice to the parties and an opportunity to be heard.
- (5) **Providing Master With Copy of Order.** When a master is appointed, the clerk must provide the master with a copy of the appointing order in a timely manner.
- (c) **Master's Authority.**

 - (1) **Generally.** Unless the appointing order directs otherwise, a master may:

 - (A) regulate all proceedings;
 - (B) take all appropriate measures to perform the assigned duties fairly and efficiently; and
 - (C) if conducting an evidentiary hearing, exercise the appointing court's power to compel, take, and record evidence.
 - (2) **Sanctions.** The master may by order impose on a party any noncontempt sanction provided in Rule 37 or 45, and may recommend a contempt sanction against a party and sanctions against a nonparty.

- (3) **Meetings.** Unless the court orders otherwise, on receiving the appointing order the master must promptly set a time and place for the first meeting of the parties or their attorneys. The first meeting should be held within 20 days after the date of the appointing order. If a party fails to appear at the scheduled meeting, the master may proceed ex parte or, in the master's discretion, reschedule the meeting with notice to the parties.
- (4) **Master to Proceed With Reasonable Diligence.** The master must proceed with reasonable diligence. Either party, after notice to the parties and master, may apply to the court for an order requiring the master to expedite the proceedings and, if applicable, make the report.
- (d) **Master's Orders.** A master who issues an order must file it and promptly serve a copy on each party. The clerk must enter the order on the docket.
- (e) **Master's Reports.** A master must report to the court as required by the appointing order. The master must file the report and promptly serve a copy on each party, unless the court orders otherwise.
- (f) **Action on the Master's Order, Report, or Recommendations.**
- (1) **Opportunity to Object; Action Generally.** In acting on a master's final order, report, or recommendations, the court:
- (A) must consider and rule on any objections and motions filed by the parties; and
 - (B) may adopt or affirm, modify, wholly or partly reject or reverse, or resubmit to the master with instructions.
- (2) **Time to Object or Move to Adopt or Modify.** A party may file objections to—or a motion to adopt or modify—the master's final order, report, or recommendations no later than 10 days after the master's final order, report, or recommendations are served, unless the court sets a different time.
- (3) **Reviewing Factual Findings.** The court must decide all objections to findings of fact made or recommended by a master under the clearly erroneous standard, unless the parties stipulate with the court's consent that:
- (A) the master's findings will be reviewed de novo; or
 - (B) the findings of a master will be final.
- (4) **Reviewing Legal Conclusions.** The court must decide de novo all objections to conclusions of law made or recommended by a master.

(5) **Reviewing Procedural Matters.** Unless the appointing order establishes a different standard of review, the court may set aside a master’s ruling on a procedural matter only for an abuse of discretion.

(g) Compensation.

(1) **Fixing Compensation.** Before or after judgment, the court must fix the master’s compensation on the basis and terms stated in the appointing order, but the court may set a new basis and terms after giving notice and an opportunity to be heard.

(2) **Payment.** The compensation must be paid either:

(A) by a party or parties; or

(B) from a fund or subject matter of the action within the court’s control.

(3) **Allocating Payment.** If a master’s compensation is to be paid by a party or the parties, the court must allocate payment among the parties after considering the nature and amount of the controversy, the parties’ means, and the extent to which any party is more responsible than other parties for the reference to a master, and any other factor the court deems relevant. An interim allocation may be amended by the court to reflect a decision on the merits after providing notice to the parties and an opportunity to be heard.

VII. JUDGMENT

Rule 54. Judgment; Costs; Attorney’s Fees

(a) **Definition; Form.** “Judgment” as used in these rules includes a decree and any order from which an appeal lies. A judgment should not include recitals of pleadings, a master’s report, or a record of earlier proceedings.

(b) **Judgment on Multiple Claims or Involving Multiple Parties.** If an action presents more than one claim for relief—whether as a claim, counterclaim, crossclaim, or third-party claim—or if multiple parties are involved, the court may direct entry of a final judgment as to one or more, but fewer than all, claims or parties only if the court expressly determines that there is no just reason for delay. If there is no such express determination, any order or other decision, however designated, that adjudicates fewer than all the claims or the rights and liabilities of fewer than all the parties is not a final judgment as to any of the claims or parties, and that order or decision may be revised at any time before entry of a final Rule 54(c) judgment. If a final judgment is entered under this rule and a timely motion is filed under Rule 54(g), the court retains jurisdiction to award attorney’s fees with respect to that judgment.

- (c) **Judgment as to All Claims and Parties.** A judgment as to all claims and parties is not final unless the judgment recites that no further matters remain pending and that the judgment is entered under Rule 54(c).
- (d) **Demand for Judgment; Relief to Be Granted.** A default judgment must not differ in kind from, or exceed in amount, what is demanded in the pleadings. Every other final judgment should grant the relief to which each party is entitled, even if the party has not demanded that relief in its pleadings.
- (e) **Entry of Judgment After Party's Death.** Judgment may be entered on a verdict or decision after a party's death on an issue of fact rendered while the party was alive.
- (f) **Costs.**
- (1) **Statement of Costs.** A party claiming costs must file a statement of costs within 10 days after judgment is entered, unless the court extends the time for good cause. An opposing party may file objections within 5 days after the statement of costs is served. The court must rule on any objections and may order corrections to the statement of costs as appropriate.
 - (2) **Expert Witness Fees as Costs.** In medical malpractice actions only, a party may claim as a taxable cost under A.R.S. § 12-332(a)(1) the reasonable fees paid to expert witnesses for testifying at trial.
- (g) **Attorney's Fees.**
- (1) **Generally.** A claim for attorney's fees must be made in the pleadings or in a Rule 12 motion filed before the movant's responsive pleading.
 - (2) **Time for Filing Motion—Rule 54(c) Judgments.** If a decision adjudicates all claims or rights of all of the parties and judgment is to be entered under Rule 54(c), any motion for attorney's fees must be filed within 20 days after the decision is filed.
 - (3) **Time for Filing Motion—Rule 54(b) Decisions or Judgments.**
 - (A) If a decision adjudicates all claims or rights pertaining to a party or parties and a party either moves for entry of a final judgment under Rule 54(b) or includes Rule 54(b) language in a proposed form of judgment:
 - (i) a motion seeking fees must be filed within 20 days after service of the motion or proposed form of judgment seeking Rule 54(b) treatment, or by such other date as the court may order; and

- (ii) if the court does not include Rule 54(b) language in the judgment, a motion for attorney's fees may be brought at any time permitted under Rule 54(g)(3)(B).
- (B) For any other decision or judgment under Rule 54(b), a prevailing party may move for attorney's fees at any time after the decision is filed, but must move for attorney's fees by the earlier of the time prescribed in Rule 54(g)(2) or the date of the action's dismissal.
- (4) **Motion and Proceedings.** Unless a statute or court order provides otherwise, a motion for attorney's fees must be supported by affidavit and is governed by Rule 7.2. If the court so orders, the movant must disclose the terms of any agreement about fees for the services for which the claim is made.
- (5) **Scope.** Rules 54(g)(1) through (4) do not apply to claims for fees and expenses that may be awarded as sanctions under a statute or rule, or if the substantive law requires fees to be proved at trial as an element of damages.

Rule 55. Default; Default Judgment

(a) Entering a Default.

- (1) **Generally.** If a party against whom a judgment for affirmative relief is sought has failed to plead or otherwise defend as provided in these rules, the clerk must enter the party's default in accordance with the procedures set forth below.
- (2) **Application for Default.** A party must request entry of default by written application to the court clerk. The filing of the application for default constitutes the entry of default. An application for default must:
 - (A) identify the party against whom default is sought;
 - (B) state that the party has failed to plead or otherwise defend within the time allowed by these Rules;
 - (C) provide a current mailing address for the party claimed to be in default or, if none is known, so state;
 - (D) identify any attorney known to represent the party claimed to be in default in the action in which default is sought or in a related matter, or state that no such attorney is known; and
 - (E) attach a copy of the Rule 4(g) proof of service, establishing the date and manner of service on the party claimed to be in default.

(3) Notice. For any default entered under Rule 55(a)(1), notice must be provided as follows:

(A) To the Party. If the party requesting the entry of default knows the whereabouts of the party claimed to be in default, a copy of the application for entry of default must be mailed or otherwise delivered to the party claimed to be in default, even if the party is represented by an attorney who has entered an appearance in the action.

(B) To the Attorney for a Represented Party. If the party requesting the entry of default knows that the party claimed to be in default is represented by an attorney in the action in which default is sought or in a related matter, a copy of the application also must be mailed or otherwise delivered to the attorney, whether or not that attorney has formally appeared in the action. A party requesting the entry of default is not required to make affirmative efforts to determine the existence or identity of an attorney representing the party claimed to be in default.

(C) Location of Unrepresented Party Unknown. If the party requesting the entry of default does not know the whereabouts of a party claimed to be in default or the identity of that party's attorney, then the application for entry of default must so state.

(D) To Other Parties. An application for entry of default must be served on all other parties who have appeared in the action, as provided in Rule 5(a).

(4) A Default's Effective Date. The clerk's entry of default is effective 10 days after the application for entry of default is filed.

(5) Effect of Responsive Pleading. A default will not become effective if the party claimed to be in default pleads or otherwise defends as provided in these rules within 10 days after the application for entry of default is filed.

(b) Default Judgment.

(1) Default Judgment by Motion Without Hearing.

(A) Generally. If the plaintiff's claim is for a sum certain or a sum that can be made certain by computation, the court—on the plaintiff's motion, with an affidavit showing the amount due and without a hearing—may enter judgment for that amount and costs against a defendant who has been defaulted for not appearing and who is neither a minor nor an incompetent person.

(B) Fee Award—Specific Amount Stated. A default judgment entered under Rule 55(b)(1) may include an award of reasonable attorney's fees if the claim states a

specific sum of attorney's fees that will be sought if judgment is rendered by default, and:

- (i) the amount of the award is supported by affidavit;
- (ii) the award is allowed by law; and
- (iii) the award does not exceed the amount demanded in the claim.

(C) *Fee Award—No Specific Amount Stated.* If the claim requests an award of attorney's fees, but does not specify the amount of fees that will be sought if judgment is rendered by default, a default judgment entered under Rule 55(b)(1) may include an award of reasonable attorney's fees only if:

- (i) an affidavit establishes the reasonable amount of the fee award;
- (ii) the defendant has not entered an appearance in the action; and
- (iii) the award is allowed by law.

(2) *Default Judgment by Hearing.*

(A) *Generally.* If Rule 55(b)(1) does not apply, the party must apply to the court for a default judgment.

(B) *Default Against a Minor or an Incompetent Person.* A default judgment may be entered against a minor or incompetent person only if the person is represented by a general guardian, conservator, or other like fiduciary who has appeared.

(C) *Notice.* If the party against whom default judgment is sought has appeared personally or by a representative, that party or its representative must be served with written notice of the application at least 3 days before the hearing.

(D) *Hearings and Referrals.* The court may conduct hearings or make referrals—preserving any right to a jury trial—when, to enter or effectuate judgment, it needs to:

- (i) conduct an accounting;
- (ii) determine the amount of damages;
- (iii) establish the truth of any allegation by evidence; or
- (iv) investigate any other matter.

(3) *Conformity With the Demand.* A judgment by default must not be different in kind from, or exceed in amount, that prayed for in a pleading's demand for judgment.

- (c) **Setting Aside a Default or a Final Default Judgment.** The court may set aside an entry of default for good cause, and it may set aside a final default judgment under Rule 60(c).
- (d) **Judgment Against the State.** A default judgment may be entered against the State of Arizona, a state officer, or a state agency only if, after a hearing, the claimant establishes a claim or right to relief by evidence that satisfies the court.
- (e) **Plaintiffs, Counterclaimants and Cross-claimants.** The provisions of Rule 55 apply whether the party entitled to the judgment by default is a plaintiff, a third-party plaintiff, or a party who has pleaded a cross-claim or counterclaim.

Rule 56. Summary Judgment

- (a) **Motion for Summary Judgment or Partial Summary Judgment.** A party may move for summary judgment, identifying each claim or defense—or the part of each claim or defense—on which summary judgment is sought. The court shall grant summary judgment if the moving party shows that there is no genuine dispute as to any material fact and the moving party is entitled to judgment as a matter of law. The court should state on the record the reasons for granting or denying the motion.
- (b) **Time to File a Motion.**
 - (1) **Claimant.** A claimant may move for summary judgment only after:
 - (A) the date when a responsive pleading is due from the party against whom summary judgment is sought; or
 - (B) the filing of a Rule 12(b)(6) motion to dismiss or a summary judgment motion by the party against whom summary judgment is sought.
 - (2) **Other Parties.** Any other party may move for summary judgment at any time after the action is commenced.
 - (3) **Filing Deadline.** A summary judgment motion may not be filed later than the dispositive motion deadline set by the court or local rule, or absent such a deadline, 90 days before the date set for trial.
- (c) **Procedures.**
 - (1) **Hearings.** On timely request by any party, the court must hold a hearing on the motion, unless it determines that the motion should be denied or the motion is uncontested. The court may hold a hearing on the motion even if no party requests one.

- (2) ***Opposition and Reply.*** An opposing party must file its response and any supporting materials within 30 days after the motion is served. The moving party must serve any reply memorandum and supporting materials 15 days after the response is served. These time periods may be shortened or enlarged as provided in Rule 7.1(g).
- (3) ***Supporting and Opposing Statements of Fact.***
- (A) ***Moving Party's Statement.*** The moving party must set forth, in a statement separate from the supporting memorandum, the specific facts relied on in support of the motion. The facts must be stated in concise, numbered paragraphs. The statement must cite the specific portion of the record where support for each fact may be found.
- (B) ***Opposing Party's Statement.*** An opposing party must file a statement in the form prescribed by Rule 56(c)(3), specifying:
- (i) the numbered paragraphs in the moving party's statement that are disputed; and
 - (ii) those facts which establish a genuine dispute or otherwise preclude summary judgment in favor of the moving party.
- (C) ***Joint Statement.*** In addition or as an alternative to submitting separate statements under Rule 56(c)(3)(A) and (B), the moving and opposing parties may file a joint statement in the form prescribed by this Rule, setting forth those facts that are undisputed. The joint statement may provide that any stipulation of fact is not binding for any purpose other than the summary judgment motion.
- (4) ***Objections to Evidence.*** Rule 7.1(f)(2) governs objections to the admissibility of evidence on summary judgment motions, except that an objection may be included in a party's response to another party's separate statement of facts in lieu of (or in addition to) including it in the party's responsive memorandum. Any objection presented in the party's response to the separate statement of facts must be stated concisely.
- (5) ***Affidavits.*** An affidavit used to support or oppose a motion must be made on personal knowledge, set out facts that would be admissible in evidence, and show that the affiant is competent to testify on the matters stated. If an affidavit refers to a document or part of a document, a properly authenticated copy must be attached to or served with the affidavit.

(6) **Other Materials.** Affidavits may be supplemented or opposed by deposition excerpts, interrogatory responses, admissions, additional affidavits, or other materials that would be admissible in evidence.

(d) When Facts Are Unavailable to the Opposing Party; Request for Rule 56(d) Relief; Expedited Hearing.

(1) **Requirements.** If an opposing party cannot present evidence essential to justify its opposition, it may file a request for relief and expedited hearing under Rule 56(d). The request must be titled: “Request for Rule 56(d) Relief and for Expedited Hearing.” The request must be accompanied by:

(A) a supporting affidavit establishing specific and adequate grounds for the request and addressing, if applicable, the following:

(i) the particular evidence beyond the party’s control;

(ii) the location of the evidence;

(iii) what the party believes the evidence will reveal;

(iv) the methods to be used to obtain it; and

(v) an estimate of the amount of time the additional discovery will require.

(B) a certification of the party’s efforts to resolve the matter as required by Rule 7.2(h).

(2) **Effect.** Unless the court orders otherwise, a request for relief under Rule 56(d)(1) does not by itself extend the date for an opposing party to file its responsive memorandum and separate statement of facts under Rule 56(c).

(3) **Responses to Request.** Unless the court orders otherwise, the party moving for summary judgment is not required to respond to a Rule 56(d) request for relief. If such a party elects to file a response, it must be filed no later than 2 days before any hearing scheduled to consider the requested relief.

(4) **Expedited Hearing.** The court must hold an expedited hearing, in person or by telephone, within 7 days after a request is filed in compliance with Rule 56(d)(1). If the court’s calendar does not allow a hearing within 7 days, the court should set a hearing date at the earliest available time allowed by the court’s calendar.

(5) **Relief.** When a request is filed in compliance with Rule 56(d)(1), the court may, after holding a hearing:

(A) defer considering the summary judgment motion and allow time to obtain affidavits or to take discovery before a response to the motion is required;

- (B) deny the requested relief and require a response to the summary judgment motion by a date certain; or
 - (C) issue any other appropriate order.
- (e) **Failing to Properly Oppose a Motion.** When a summary judgment motion is made and supported as provided in this rule, an opposing party may not rely merely on allegations or denials of its own pleading. The opposing party must, by affidavits or as otherwise provided in this rule, set forth specific facts showing a genuine issue for trial. If the opposing party does not so respond, summary judgment, if appropriate, shall be entered against that party.
- (f) **Judgment Independent of the Motion.** After giving notice and a reasonable time to respond, the court may:
- (1) grant summary judgment for a nonmoving party, if the grounds for doing so are the same as those underlying the court’s grant of summary judgment to another party;
 - (2) grant summary judgment on grounds not raised by a party; or
 - (3) consider granting summary judgment after identifying for the parties material facts that may not be genuinely in dispute.
- (g) **Failing to Grant All the Requested Relief.** If the court does not grant all the relief requested by the motion, or if judgment is not rendered on the whole case under Rule 56(f), the court may enter an order identifying any material fact—including an item of damages or other relief—that is not genuinely in dispute and treating the fact as established in the case.
- (h) **Affidavit Submitted in Bad Faith.** If a Rule 56 affidavit is submitted in bad faith or solely for delay, the court—after notice and a reasonable time to respond—may order the submitting party to pay the other party the reasonable expenses, including attorney’s fees, incurred as a result, or may impose other appropriate sanctions.

Rule 57. Declaratory Judgment

These rules govern the procedure for obtaining a declaratory judgment. The existence of another adequate remedy does not preclude a declaratory judgment that is otherwise appropriate. The court may order a speedy hearing of a declaratory judgment action.

Rule 57.1. Declaration of Factual Innocence

- (a) Scope of Rule.** This rule governs the determination of factual innocence of a person who claims under A.R.S. § 12-771 that the person's personal identifying information was taken, and, as a result, the person's name was used by another person who was arrested, cited, or charged with a criminal offense, or the person's name was later entered as of record in a judgment of guilt in a criminal action.
- (b) Filing.** A petition brought under this rule must be filed in the superior court in the county in which the other person was arrested for, or cited or charged with, a criminal offense. The petition must be assigned a civil case number. If applicable, the petition should state the specific court location where the underlying charge was filed, or the judgment of guilt was entered, and the case number of that prior filing. The petition must identify, as applicable, the names and mailing addresses of all persons and entities entitled under A.R.S. § 12-771(H) to notice of a finding of factual innocence. The petition should be captioned: In re: (name of petitioner).
- (c) Service.** The petitioner must serve the petition on the individuals and entities identified in A.R.S. § 12-771(D) and (E). Service must be made in the same manner that a summons and pleading are served under Rules 4, 4.1, or 4.2, as applicable.
- (d) Redacted Filings and Filings Under Seal.** A person may request, and the court may order, that a filing containing potentially sensitive identifying information such as the person's birth date, social security number, or financial account numbers, be filed or retained in redacted form or under seal.
- (e) Transmission of Records.** If the petition is related to a charge filed in a justice of the peace court or a municipal court, the clerk of the superior court must request the justice of the peace or presiding officer of the municipal court to transmit a copy of the file to the clerk.
- (f) Discovery and Disclosure.** Discovery may be conducted and disclosure under Rule 26.1 may be required only by stipulation of the parties, or by court order.
- (g) Evidence.** The petitioner must establish factual innocence by clear and convincing evidence.
- (h) Hearing and Determination.**

 - (1)** The court may hold a hearing to determine the petitioner's factual innocence.
 - (2)** The court may enter an order under this rule on submission of proof by affidavit.

- (3) At any hearing, the victim of the offense identified in a judgment of guilt, or committed by the person arrested for, or cited or charged with, a criminal offense, has a right to be present and to be heard at the hearing.
- (i) **Order.** On a finding of factual innocence related to an arrest, citation, or charge, the court must notify the following, if applicable: the petitioner; the prosecuting agency that filed the charge; the law enforcement agency that made the arrest or issued the citation; and the defense attorney.

Rule 57.2. Declaration of Factual Improper Party Status

- (a) **Scope of Rule.** This rule governs petitions alleging factual improper party status under A.R.S. § 12-772, if as a result of a person's personal identifying information being taken, the person's name was entered as of record in a civil action or judgment.
- (b) **Filing.** A petition brought under this rule must be filed in the superior court for the county in which the petitioner's name was entered as of record in a civil action or judgment because of alleged improper use of the petitioner's personal identifying information. The petition must be assigned a civil case number. The petition must state the specific court location where the underlying action was filed, and the case number of the prior filing. The petition should be captioned: In re: (name of petitioner).
- (c) **Service.** The petitioner must serve the petition on all parties in the civil action in which the petitioner's identity was allegedly used. Service must be made in the same manner that a summons and pleading are served under Rules 4, 4.1, or 4.2, as applicable.
- (d) **Redacted Filings and Filings Under Seal.** A person may request, and the court may order, that a filing containing potentially sensitive identifying information—such as the person's birth date, social security number, or financial account numbers—be filed in redacted form or be filed under seal.
- (e) **Transmission of Records.** If the petition is related to an action filed in a justice of the peace court, the clerk of the superior court must request the justice of the peace to transmit a copy of the file to the clerk's office.
- (f) **Discovery and Disclosure.** Discovery proceedings may be conducted and disclosure under Rule 26.1 may be required only by stipulation of the interested parties, or by court order.
- (g) **Evidence.** The petitioner must establish improper party status by clear and convincing evidence.

(h) Hearing and Determination.

- (1) The court may hold a hearing on the petition.
 - (2) The court may enter an order under this rule upon submission of proof by affidavit.
- (i) Order.** The court must provide notice of the court's findings to the petitioner and to all parties in the civil action in which the petitioner's identity was allegedly used.

Rule 58. Entering Judgment; Minute Entries

(a) Form of Judgment; Objections to Form.

- (1) ***Proposed Forms of Judgment.*** Proposed forms of judgment must be served on all parties and must comply with Rule 5(j)(1).
- (2) ***Objections to Form.***
 - (A) A judgment may not be entered until 5 days after the proposed form of judgment is served, unless:
 - (i) the opposing party endorses on the judgment its approval as to the judgment's form; or
 - (ii) the court waives or shortens the 5-day notice requirement for good cause; or
 - (iii) the judgment is against a party in default.
 - (B) An opposing party not in default may file an objection to the proposed form of judgment within 5 days after it is served. If an objection is made:
 - (i) the party submitting the proposed form of judgment may reply within 5 days after the objection is served; and
 - (ii) after that time expires, the court may decide the matter with or without a hearing.

(b) Entering Judgment.

- (1) ***Written Document.*** Except as provided in Rule 58(b)(2)(B) regarding habeas corpus proceedings, all judgments must be in writing and signed by a judge or a court commissioner duly authorized to do so.
- (2) ***Time and Manner of Entry.***
 - (A) ***Generally.*** A judgment is not effective before entry, except that a court may direct the entry of a judgment nunc pro tunc in such circumstances and on such notice as justice requires, stating the reasons on the record. A judgment,

including a judgment in the form of a minute entry, is entered when the clerk files it.

(B) *In Habeas Corpus Proceedings.* A judgment in habeas corpus proceedings need not be signed, and is final when set forth in a minute entry that is filed.

(3) *Cost or Fee Awards.*

(A) *Fees.* Except as permitted by Rule 54(g)(3):

(i) a judgment may not be entered until claims for attorney's fees have been resolved and are addressed in the judgment; and

(ii) the judgment must include a blank in the form of judgment to allow the court to include an attorney's fees award.

(B) *Costs.* Entry of judgment must not be delayed nor the time for appeal extended to tax costs.

(c) *Notice of Entry of Judgment.*

(1) *Manner of Notice.*

(A) *By the Clerk.* Immediately upon the entry of a judgment, or the entry of a minute entry constituting a judgment, the clerk must:

(i) distribute notice, in the form required by Rule 58(c)(2), either electronically, by U.S. mail, or attorney drop box, to every party not in default for failing to appear; and

(ii) make a record of the distribution.

(B) *By Any Party.* In addition to the clerk's notice under Rule 58(c)(1)(A), any party may serve notice of entry of judgment in the manner provided in Rule 5.

(2) *Form of Notice.* Notice of entry of judgment must be in the following form:

(A) a written notice of the entry of judgment;

(B) a minute entry; or

(C) a conformed copy of the file-stamped judgment.

(3) *Lack of Notice.* Lack of notice of the entry of judgment by the clerk does not affect the time to appeal or relieve or authorize the court to relieve a party for failure to appeal within the allowed time, except as provided in Rule 9(f), Arizona Rules of Civil Appellate Procedure.

(d) Remittitur.

- (1) Procedure.** A party in whose favor a verdict or judgment has been rendered may, in open court, or in a writing filed with the court, remit any part of the verdict or judgment. A remittitur announced in open court must be set forth in a minute entry.
 - (2) Effect on Execution.** After remitting a portion of a judgment or verdict, a party may execute on a judgment only for the balance of the judgment or verdict after deducting the amount remitted.
 - (3) Effect of Right of Appeal.** The remittitur does not affect the rights of the opposing party to appeal from the judgment, and for purposes of appeal the amount of the original judgment must be considered the amount in controversy.
- (e) Clerk’s Distribution of Minute Entries.** The clerk must distribute, either by U.S. mail, electronic mail, or attorney drop box, copies of all minute entries to all parties.

Rule 59. New Trial; Altering or Amending a Judgment

- (a) Generally.** This rule governs motions for a new trial or to alter or amend a judgment, following a trial, the grant of summary judgment, or other proceeding that results in a final judgment.
- (1) Grounds for New Trial.** The court may, on motion, grant a new trial on all or some of the issues—and to any party—on any of the following grounds materially affecting that party’s rights:
 - (A)** any irregularity in the proceedings or abuse of discretion depriving the party of a fair trial;
 - (B)** misconduct of the jury or prevailing party;
 - (C)** accident or surprise that could not reasonably have been prevented;
 - (D)** newly discovered material evidence that could not have been discovered and produced at the trial with reasonable diligence;
 - (E)** excessive or insufficient damages;
 - (F)** error in the admission or rejection of evidence, error in giving or refusing jury instructions, or other errors of law at the trial or during the action;
 - (G)** the verdict is the result of passion or prejudice; or
 - (H)** the verdict, decision, findings of fact, or judgment is not supported by the evidence or is contrary to law.

(2) **Further Action After a Nonjury Trial.** After a nonjury trial, the court may, on motion for a new trial, vacate the judgment if one has been entered, take additional testimony, amend findings of fact and conclusions of law or make new ones, and direct the entry of a new judgment.

(b) Time to File a Motion; Response and Reply.

(1) **Motion.** A motion for a new trial, along with any supporting affidavits, must be filed no later than 15 days after the entry of judgment. The motion may be amended at any time before the court rules on it.

(2) **Response and Reply.** Rule 7.2 governs responses and replies to a motion for new trial.

(c) **New Trial on the Court's Initiative or for Reasons Not in the Motion.** No later than 15 days after the entry of judgment, the court, on its own, may order a new trial for any reason set forth in Rule 59(a). After giving the parties notice and an opportunity to be heard, the court may grant a timely motion for a new trial for a reason not stated in the motion. In either event, the court must specify the reasons in its order.

(d) **Motion to Alter or Amend a Judgment.** A motion to alter or amend a judgment must be filed no later than 15 days after the entry of the judgment.

(e) **Scope of New Trial.** A new trial, if granted, must be limited to the question or questions found to be in error, if separable. If a new trial is ordered solely because the damages are excessive or inadequate and if the issue of damages is separable from all other issues in the action, the verdict may be set aside only on damages, and must stand in all other respects.

(f) Motion on Ground of Excessive or Inadequate Damages.

(1) Conditional Grant of New Trial.

(A) **Generally.** When a motion for new trial is based on the ground that the awarded damages are either excessive or insufficient, the court may grant the new trial conditionally if, within the time set by the court, the party adversely affected by the reduction or increase in damages files a statement accepting the amount of damages as designated by the court.

(B) **Effect on Grant or Denial of New Trial.** If the party adversely affected by the reduction or increase in damages files a statement as provided in Rule 59(g)(1)(A), the motion for new trial is deemed denied as of the date the statement is filed. If the party adversely affected does not file a statement, the motion for new trial is deemed granted as of the deadline specified by the court for filing the statement. No further written order is required to make an order

granting or denying the new trial final. If the conditional order of the court requires a reduction of or increase in damages, then the new trial may be granted only as to damages, and the verdict must stand in all other respects.

(2) *Effect on Appeal.* If a statement of acceptance is filed by the party adversely affected by reduction or increase of damages, and the other party later files an appeal, the party filing such statement may cross-appeal and, at its election, seek review of the superior court's ruling that the awarded damages are either excessive or insufficient. If the court's ruling on damages is affirmed, the party's prior acceptance will remain in effect, unless the appeal's final disposition requires otherwise.

(g) Motion for New Trial After Service by Publication.

(1) *Generally.* When judgment has been rendered on service by publication, and the defendant has not appeared, the court may grant a new trial if the defendant—within one year after entry of judgment—files an application establishing good cause for a new trial.

(2) *Bond Required to Stay Execution.* Execution of judgment should not be stayed unless the defendant posts a bond in double the amount of the judgment or the value of the property that is the subject of the judgment. The bond must be conditioned on the defendant's prosecution of the application for new trial and on satisfaction of the judgment in full should the court deny the application.

(h) Number of New Trials. No more than two new trials may be granted to a party in the same action, except on the grounds of jury misconduct or errors of law.

(i) Order Specifying Grounds. Any order granting a new trial or altering or amending a judgment must specify with particularity the ground or grounds for the court's order.

Rule 60. Relief from Judgment or Order

(a) Corrections Based on Clerical Mistakes; Oversights; and Omissions. A court may correct a clerical mistake or a mistake arising from oversight or omission if one is found in a judgment, order, or other part of the record. The court may do so on motion or on its own, with or without notice. But after an appeal has been filed and while it is pending in the appellate court, such a mistake may be corrected only with the appellate court's leave.

(b) Grounds for Relief from a Final Judgment, Order, or Proceeding. On motion and just terms, the court may relieve a party or its legal representative from a final judgment, order, or proceeding for the following reasons:

- (1) mistake, inadvertence, surprise or excusable neglect;
- (2) newly discovered evidence that, with reasonable diligence, could not have been discovered in time to move for a new trial under Rule 59(d);
- (3) fraud (whether previously called intrinsic or extrinsic), misrepresentation, or other misconduct of an opposing party;
- (4) the judgment is void;
- (5) the judgment has been satisfied, released, or discharged; it is based on an earlier judgment that has been reversed or vacated; or applying it prospectively is no longer equitable; or
- (6) any other reason justifying relief.

(c) Timing and Effect of the Motion.

- (1) **Timing.** A motion under Rule 60(b) must be made within a reasonable time—and for reasons (1), (2) and (3) no more than 6 months after the entry of the judgment or order or date of the proceeding, whichever is later.
- (2) **Effect on Finality.** The motion does not affect the judgment’s finality or suspend its operation.

(d) Other Powers to Grant Relief. This rule does not limit the court’s power to:

- (1) entertain an independent action to relieve a party from a judgment, order, or proceeding;
- (2) grant relief to a defendant served by publication as provided in Rule 59(j); or
- (3) set aside a judgment for fraud upon the court.

(e) Correction of Error in Record of Judgment.

- (1) After a mistake in a judgment is corrected as provided in Rule 60(a), execution must conform to the corrected judgment.
- (2) On motion and after notice, the court must correct a judgment if there is a mistake, miscalculation, or misrecital of a sum of money, or a mistake about, or a misspelling of, a name.

(f) Reversed Judgment of Foreign State. If a judgment was rendered on a foreign judgment from another state or country and the court of such state or country reverses or sets aside the foreign judgment, the Arizona court that rendered judgment must set aside, vacate, and annul its judgment.

Rule 61. Harmless Error

Unless justice requires otherwise, an error in admitting or excluding evidence—or any other error by the court or a party—is not grounds for granting a new trial, for setting aside a verdict, or for vacating, modifying, or otherwise disturbing a judgment or order. At every stage of the proceeding, the court must disregard all errors and defects that do not affect any party’s substantial rights.

Rule 62. Stay of Proceedings to Enforce a Judgment

- (a) **No Automatic Stay.** Except as provided in Rule 7 of the Arizona Rules of Civil Appellate Procedure or otherwise provided by court order, an interlocutory or final judgment—including in an action for an injunction or a receivership—is not stayed after being entered, even if an appeal is taken.
- (b) **Stay Pending the Disposition of a Motion.** On appropriate terms for the opposing party’s security, the court may stay the execution of a judgment—or any proceedings to enforce it—pending disposition of any of the following motions:
- (1) under Rule 50, for judgment as a matter of law;
 - (2) under Rule 52(b), to amend the findings or for additional findings;
 - (3) under Rule 59, for a new trial or to alter or amend a judgment;
 - (4) under Rule 60(a) and (c), for relief from a judgment or order; or
 - (5) when justice so requires in other instances until such time as the court may fix.
- (c) **Injunction Pending an Appeal.** While an appeal is pending from an interlocutory order or final judgment that grants, dissolves, or denies an injunction, the court may suspend, modify, restore, or grant an injunction on terms for bond, security or other conditions that preserve the opposing party’s rights.
- (d) **Stay of Judgment Ordering Execution of an Instrument or Sale of Perishable Property.**
- (1) **Judgment Directing Execution of Instrument.** If a party is appealing a judgment or order directing the execution of a conveyance or other instrument, the judgment or order may not be stayed unless and until the conveyance or other instrument is executed and deposited with the clerk pending the appeal’s outcome.
 - (2) **Judgment Directing Sale of Perishable Property and Distribution of Proceeds.** A judgment or order directing the sale of perishable property may not be stayed

pending appeal, but the proceeds of the sale must be deposited with the clerk pending the outcome of the appeal.

(e) Stay of a Judgment Against the State or Its Agencies or Political Subdivisions.

(1) *Money Judgments.* If a money judgment is entered against the State of Arizona or one of its agencies or political subdivisions, the judgment is automatically stayed upon the filing of an appeal.

(2) *Non-Money Judgments.* If a judgment entered against the State of Arizona or one of its agencies or political subdivisions and the judgment is other than a money judgment, the judgment is not automatically stayed upon the filing of an appeal. If a court grants a stay of such a judgment, it may not require a bond, obligation or other security.

(f) Stay of Judgment Entered Under Rule 54(b). A court may stay the enforcement of a final judgment entered under Rule 54(b) until it enters a later judgment or judgments, and may prescribe terms necessary to secure the benefit of the stayed judgment for the party in whose favor it was entered.

(g) Stay of a Judgment in Rem. If a claimant has filed a timely claim to the property and is not in default, a judgment in rem is not self-executing until 15 days after its entry, and no execution or other process may issue on the judgment during that time.

Rule 63. Judge’s Inability to Proceed

If a judge conducting a hearing or trial is unable to proceed, any other judge may proceed with the hearing or trial upon certifying familiarity with the record and determining that the action may be completed without prejudice to the parties. In a hearing or a nonjury trial, the successor judge must, at a party’s request, recall any witness whose testimony is material and disputed and who is available to testify again without undue burden. The successor judge also may recall any other witness.

**VIII. PROVISIONAL AND FINAL REMEDIES;
SPECIAL PROCEEDINGS**

Rule 64. Seizing a Person or Property

(a) Remedies—Generally. At the commencement of and throughout an action, every remedy authorized by law is available for the seizure of a person or property to secure satisfaction of a potential judgment.

(b) Specific Kinds of Remedies. The remedies available under this rule include the following—however designated and regardless of whether the remedy is ancillary to the action or requires an independent action:

- (1) arrest;
- (2) attachment;
- (3) garnishment;
- (4) replevin;
- (5) sequestration; and
- (6) other corresponding or equivalent remedies.

Rule 64.1. Civil Arrest Warrant

(a) Nature of Rule; Illustrative Uses. This rule does not create a substantive basis for the power of arrest. Rather, it sets forth the procedure for how a court may exercise its inherent power to command the attendance in court of persons who disobeyed a prior order to appear in a civil action. The procedure described in this rule can be used, for example, if a witness ignores a subpoena, a juror disobeys an order to report for jury duty, a judgment debtor fails to appear for supplemental proceedings, a person disobeys an order to appear for a deposition, or a person is in contempt of an order to report to jail as directed.

(b) Defined. A “civil arrest warrant” is a court order in a non-criminal matter, directed to any peace officer in the state, to arrest the individual named in the order and to bring such person before the issuing court.

(c) When Issued. The court may, on motion or on its own, issue a civil arrest warrant if it finds that the person for whom the warrant is sought has failed to appear:

- (1) after the court ordered the person to appear at a specific time and location, and after the person received actual notice of such order, including a warning that failure to appear might result in the issuance of a civil arrest warrant; or
- (2) after the person was served personally with a subpoena to appear in person, at a specific time and location, which contained a warning that failure to appear might result in the issuance of a civil arrest warrant.

(d) Content of Warrant.

- (1) *Identification of the Person to Be Arrested.*** The warrant must contain the name of the person to be arrested and a description by which such person can be identified with reasonable certainty.
 - (2) *Command to Appear.*** The warrant must command that the person named be brought before the issuing judge or, if the judge is absent or unable to act, the nearest or most accessible judge in the same county.
 - (3) *Bond.*** The warrant must set forth a bond in a reasonable amount to guarantee the appearance of the arrested person, or an order that the arrested person be held without bond until they are seen by a judge.
- (e) Time and Manner of Execution.** A civil arrest warrant is executed by the arrest of the person named in it. The arrested person must be brought before the issuing judge, or the nearest available judge, within 24 hours after the warrant is executed or sooner if practicable.
- (f) Duty of Court After Execution of Warrant.** The judge must advise the arrested person of the nature of the proceedings, release the arrested person on the least onerous terms and conditions that reasonably guarantee the required appearance, and set the date of the next court appearance.
- (g) Forfeiture of Bond.** The procedure for the forfeiture of bonds in criminal actions applies.

Rule 65. Injunctions and Restraining Orders

(a) Preliminary Injunction or Temporary Restraining Order.

- (1) *Notice.*** Except as provided in Rule 65(b), the court may issue a preliminary injunction or a temporary restraining order only with notice to the adverse party.
- (2) *Consolidating the Hearing With the Trial on the Merits.***
 - (A)** Before or after beginning the hearing on a motion for a preliminary injunction, and with reasonable notice to the parties, the court may advance the trial on the merits and consolidate it with the hearing on the motion.
 - (B)** If consolidation is ordered after the preliminary injunction hearing begins, the court may continue the matter if necessary to allow adequate time for the parties to complete discovery, and may make other appropriate orders.

(C) Even if consolidation is not ordered, and subject to any party's right to a jury trial, evidence that is received on the motion and that would be admissible at trial becomes part of the trial record and need not be repeated at trial.

(3) ***Motion to Dissolve or Modify.*** After an answer is filed, a party may file a motion to dissolve or modify a preliminary injunction with notice to the opposing party. Unless the motion is unopposed, the court must hold a hearing and allow the parties to present evidence. If the court determines that there are not sufficient grounds for the injunction, or that it is overbroad, the court may dissolve or modify the preliminary injunction.

(b) Temporary Restraining Order Without Notice.

(1) ***Issuing Without Notice.*** The court may issue a temporary restraining order without written or oral notice to the adverse party only if:

(A) specific facts in an affidavit or a verified complaint clearly show that immediate and irreparable injury, loss or damage will likely result to the movant before the adverse party can be heard in opposition, or that prior notice will likely cause the defendant to take action resulting in such injury, loss or damage; and

(B) the movant's attorney certifies in writing any efforts made to give notice or the reasons why it should not be required.

(2) ***Contents.*** Every temporary restraining order issued without notice must:

(A) state the date and hour it was issued;

(B) describe the injury and state why it is irreparable;

(C) state why the order was issued without notice; and

(D) be promptly filed in the clerk's office and entered in the record.

(3) ***Expiration.*** A temporary restraining order issued without notice expires at the time after entry—not to exceed 10 days—that the court sets, unless before that time the court, for good cause, extends it for a like period or the adverse party consents to a longer extension. The reasons for the extension must be entered in the record.

(4) ***Expediting the Preliminary Injunction Hearing.*** If the order is issued without notice, the motion for a preliminary injunction must be set for hearing at the earliest possible time, taking precedence over all other matters except hearings on older matters of the same character. At the hearing, the party who obtained the order must proceed with the motion; if the party does not, the court must dissolve the order.

(5) ***Motion to Dissolve.*** On two days' notice to the party obtaining the order without notice—or on shorter notice set by the court—the adverse party may move to

dissolve or modify the order. The court must hear and decide any such motion as promptly as justice requires.

(c) Security.

(1) *Generally; On Issuance.* The court may issue a preliminary injunction or a temporary restraining order only if the movant gives security in such amount as the court considers proper to pay the costs and damages sustained by any party found to have been wrongfully enjoined or restrained. The State of Arizona and its agencies, counties, municipalities, and other governmental entities—and their respective officers—are not required to give security. The provisions of Rule 65.1 apply to a surety on a bond or undertaking under this rule.

(2) *Injunction Restraining Collection of Money.*

(A) *On Dissolution Pending Trial.* On dissolution of a preliminary injunction or temporary restraining order restraining the collection of money, if the action is continued over for trial, the court must require the defendant to give security payable to the plaintiff:

(i) in the amount previously enjoined and any additional amount ordered by the court; and

(ii) conditioned on refunding to the plaintiff the amount of money, interest and costs that may be collected by the plaintiff if a permanent injunction is ordered on final hearing.

(B) *Injunction Made Permanent.* If a permanent injunction is ordered on final hearing, on the plaintiff's motion, the court must enter judgment against the principal and surety giving the security for the amount shown to have been collected and to which the plaintiff appears entitled.

(d) Contents and Scope of Injunction or Restraining Order.

(1) *Contents.* Every order granting an injunction and every restraining order must:

(A) state the reasons why it issued;

(B) state its terms specifically; and

(C) describe in reasonable detail—and not by referring to the complaint or other document—the act or acts restrained or required.

(2) *Persons Bound.* The order binds only the following who receive actual notice of it by personal service or otherwise:

(A) the parties;

- (B) the parties' officers, agents, servants, employees, and attorneys; and
 - (C) other persons who are in active concert or participation with anyone described in Rule 65(d)(2)(A) or (B).
- (e) **Venue of a Requested Injunction or Order to Stay an Action or Stay Execution of a Judgment.** A motion or application seeking an injunction or order to stay an action, or to stay execution of judgment, must be filed in the court where the action is pending or the judgment was rendered.
- (f) **Procedure for Obtaining Sanctions; Order to Show Cause.**
- (1) **Generally.** The court may issue sanctions for civil contempt, or for criminal contempt as allowed by law, against a party or person who violates an injunction.
 - (2) **Application; Affidavit.** A party alleging that any party or person has violated an injunction may file an application for an order to show cause. The application must be accompanied by a supporting affidavit describing the acts that violate the injunction.
 - (3) **Order to Show Cause.** The court may issue an order to show cause based on the application and supporting affidavit. The order to show cause:
 - (A) may set a date for any written response to the application, and
 - (B) before sanctions are ordered, must require the party or person alleged to have violated the injunction to appear and respond at the time and place ordered by the court.
 - (4) **Service.** No later than 10 days before any hearing, the party or person charged with contempt must be personally served with the order to show cause and a copy of the affidavit in the manner provided for service of a summons or pleading under Rules 4, 4.1 or 4.2, as applicable, or, if the party to whom the order is directed has entered an appearance in the action, in accordance with Rule 5.
 - (5) **Hearing.** At any order to show cause hearing, the court may consider affidavits and other evidence as allowed by Rule 43(i). The court need not hold an evidentiary hearing unless there is a genuine dispute of material fact, but a person or party charged with criminal contempt may be entitled to a jury trial as provided by law.
 - (6) **Sanctions—Generally.** If at the order to show cause hearing the court finds that a party or person violated the injunction, the court may set a separate hearing to determine appropriate remedies and sanctions under the law of civil and criminal contempt. Sanctions may include imposing a fine or jail. If the court orders a party or person to be fined or jailed for civil contempt and if the contempt can be purged

by complying with the court's orders, the court must give that party or person the opportunity to purge the contempt by complying with the court's order or as otherwise ordered by the court.

(7) *Sanctions for Failing to Appear.* The following additional sanctions may be ordered for a party or person failing to appear at the order to show cause hearing:

- (A)** the court may issue a civil arrest warrant and, if the party or person is arrested, the court must set a reasonable bail to secure the party or person's appearance at any future hearing; and
- (B)** if the party or person charged with contempt is a corporation, the court may attach and sequester assets of the corporation pending further court order.

Rule 65.1. Proceedings Against Surety

When these rules (including Rule 65 and any other relating to security) require or allow a party to give security, and security is given through a bond or other undertaking with one or more sureties, each surety submits to the court's jurisdiction and irrevocably appoints the clerk as its agent for receiving service of any papers that affect its liability on the bond or undertaking. The surety's liability may be enforced on motion without an independent action. The motion and any notice that the court orders may be served on the clerk, who must promptly mail or otherwise distribute a copy of each to every surety whose address is known.

Rule 65.2. Action Under A.R.S. § 23-212 or § 23-212.01

(a) Commencement of Action. The county attorney may bring an action under A.R.S. § 23-212 or § 23-212.01 by filing a verified complaint with the clerk. The attorney signing the complaint must verify that he or she believes the assertions in the complaint to be true based on a reasonably diligent inquiry.

(b) Contents of Complaint. The complaint must include the following:

- (1)** The employer's name and address(es);
- (2)** The employer's business licenses subject to suspension or revocation, and the licensing agency(ies)' identity and address, including the identity(ies) and mailing address(es) of the agency official(s) authorized to accept service;
- (3)** A statement of specific facts alleged to show that one or more employees are unauthorized aliens;

- (4) A statement of specific facts alleged to show that the employer intentionally or knowingly employed one or more unauthorized aliens; and
 - (5) If the action is for a second violation, the first action's case number and the date of the order or judgment. The complaint must also attach a copy of the court's order or judgment finding a first violation.
- (c) **Nature of Proceedings.** The action must be denominated as a civil action and assigned a specific sub-category code for case tracking purposes. It must be heard and decided by the court sitting without a jury, except as otherwise permitted under Rule 39(m).
- (d) **Venue.** Venue is proper in any county in which the employee is or was employed by the employer.
- (e) **Expedited Proceedings.** The court must expedite the proceedings.
- (f) **Scheduling Conference.** At the same time the complaint is filed, the county attorney must file an application and submit a form of order requiring the court to set a date for a scheduling conference to determine the schedule for expedited proceedings. A copy of the signed order must be served on the employer and may be served with the complaint. At the scheduling conference, the court may address Rule 16(d) matters and may set such additional hearings as it deems necessary. On or before the date of the scheduling conference, the employer must file and serve a written disclosure identifying all business licenses that it holds in Arizona.
- (g) **Evidentiary Hearing; Summary Judgment.** The court may not suspend or revoke a license without first affording the parties the opportunity for an evidentiary hearing unless all parties waive the hearing. Rule 56 does not apply to these proceedings unless all parties agree.
- (h) **Standard of Proof.** The court must determine all required factual issues by a preponderance of the evidence.
- (i) **Applicability of Rules of Evidence.** Except as provided in A.R.S. § 23-212(H) and § 23-212.01(H), the Arizona Rules of Evidence apply these proceedings.
- (j) **Enforcement of Court Orders.**
- (1) **Application for Order to Show Cause.** After an order finding a first violation under A.R.S. § 23-212(F)(1) or § 23-212.01(F)(1), if the employer fails to file a timely sworn affidavit required by A.R.S. § 23-212(F)(1)(c) or § 23-212.01(F)(1)(d), the county attorney must file an application for an order to show cause why the employer's licenses with the appropriate licensing agencies should not be suspended beyond any period prescribed in any prior court order. The

application must be accompanied by an affidavit or other proof demonstrating that the employer failed to file the required sworn affidavit and must set forth the appropriate licensing agency's identity and address, including the identity and mailing address of the agency official authorized to accept service under this rule.

- (2) **Opposition.** Within 5 days after service of an order to show cause application, the employer may file an opposition to the relief sought in the application and to any further license suspension on the ground that it has filed an affidavit meeting the requirements of A.R.S. § 23-212(F)(1)(c) or § 23-212.01(F)(1)(d). If an opposition is timely filed, the court must hold a hearing and may not order any further license suspension until it renders its decision on whether to grant the relief sought in the application. If no opposition is timely filed or if the court grants the relief sought in the application, the court must order the appropriate licensing agencies to suspend indefinitely all applicable licenses held by the employer.
- (3) **Relief from License Suspension.** After the entry of an order suspending a license for a first violation for failure to file a required sworn affidavit, the employer may, on motion or stipulation, seek relief from the order on the ground that the employer has filed a sworn affidavit required by A.R.S. § 23-212(F)(1)(c) or § 23-212.01(F)(1)(d). If such a showing is made and subject to the completion of any term of license suspension ordered under A.R.S. § 23-212(F)(1)(d) or § 23-212.01(F)(1)(c), the court must enter an order terminating any further license suspension.
- (4) **Distribution of Order.** The clerk must distribute by any method authorized by Rule 58(e) a certified copy of any order suspending or revoking a license, or terminating a license suspension to the parties, the Arizona Attorney General, and any licensing agency ordered to suspend an employer's license.
- (k) **Action for Second Violation.** An action alleging a second violation under A.R.S. § 23-212(F)(2) or § 23-212.01(F)(2) must be filed and served as a new action.
- (l) **Requirement of Electronic or Facsimile Service.** After a party has appeared in a proceeding brought under this rule, any papers served on that party by mail under Rule 5(c) also must be served at the same time by electronic mail or by facsimile, or as agreed to by the parties, or ordered by the court. If the party on whom service is to be made does not have access to electronic mail or facsimile, then service must be made as otherwise provided in Rule 5(c).
- (m) **Fees.** The court must assess such fees as may be prescribed under A.R.S. §§ 12-284, 12-284.01, and 12-284.02.

Rule 66. Receivers

(a) Application; Service; Notice; Restraining Order.

- (1) *Application, Response, and Hearing.*** A party seeking the appointment of a receiver must file an application for the receiver's appointment, accompanied by an affidavit attesting to the facts supporting the application. Within 10 days after being served, the adverse party may file a response accompanied by one or more counteraffidavits attesting to facts relevant to the application. Except as provided in Rule 66(a)(3), the court must hold a hearing on the application. At the hearing, it may consider testimony and other evidence presented by the parties.
- (2) *Service.*** Service must be made on the adverse party in the same manner that a summons and pleading are served under Rules 4, 4.1, or 4.2, as applicable. The court may not consider an application that has not been served on the adverse party unless:

 - (A)** at least 10 days after filing the application, the applicant files a sworn affidavit showing that all reasonable efforts have been made to serve the adverse party, and that personal service on the party cannot be made within Arizona or by direct service outside of Arizona; or
 - (B)** the applicant shows that substantial cause exists for appointing a receiver before the adverse party is served.
- (3) *Appointment Without Notice.*** If a party applies for appointment of a receiver without notice, the court may either grant the application or, if the adverse party is available to be served, order the applicant to serve the adverse party and set a hearing on the application to be held no later than 10 days after the order's entry.
- (4) *Bond.*** If the court grants an application for appointment of a receiver without notice, it must require and the applicant must file a bond in an amount the court fixes, with such surety as the court approves. The bond must be conditioned to indemnify the adverse party for costs, and damages occasioned by the seizure, taking and detention of the adverse party's property.
- (5) *Rule 65's Applicability.*** The court may not consider an application for a receivership under this rule if Rule 65 applies.

(b) Appointment; Oath; Bond; Certificate.

- (1) *Appointment.*** Except as stated in this rule, the court may not appoint as receiver a party, an officer or employee of a party, an attorney for a party, or a person interested in the action. The court, however, may appoint as receiver an employee

of a party, an officer of a corporate party, or a person otherwise interested in the action, if:

- (A) the court finds that the property has been abandoned or that the receiver's duties will consist chiefly of physically preserving the property, collecting rents, or maturing, harvesting and disposing of crops growing on it;
- (B) notice is provided in a manner the court finds is adequate; and
- (C) no party objects.

(2) ***Bond, Oath and Certificate of Appointment.*** Before performing the prescribed duties, the receiver must file a bond for the court to approve. The bond must be in the amount set forth in the receiver's order of appointment, and must be conditioned on the receiver faithfully discharging his or her duties in the action and obeying the court's orders. The receiver must make an oath to the same effect, which must be endorsed on the bond. Upon the court's approval of the bond and the receiver making the required oath, the clerk must deliver a certificate of appointment to the receiver. The certificate must contain a description of the property involved in the action.

(c) Powers; Removal and Termination; Governing Law.

- (1) ***Powers.*** The receiver may commence and defend actions, subject to the court's control and supervision. The receiver may take and keep possession of the property, receive rents, collect debts and perform such other duties respecting the property as the court orders.
- (2) ***Suspension and Removal.*** The court may suspend a receiver at any time and may, after providing reasonable notice, remove a receiver and appoint another.
- (3) ***Termination.*** Any party may move to terminate a receivership. Unless the parties stipulate otherwise, the court must hold a hearing on the motion but it may not be held sooner than 10 days after the motion's service. In scheduling the hearing, the court may order the receiver to file and serve a final account and report, and may require any objecting party to file and serve written objections. At the hearing, the court may take evidence as is appropriate and may enter orders as are just concerning the receivership's termination, including orders regarding the receiver's fees and costs.
- (4) ***Equitable Principles Govern.*** If applicable, principles of equity govern all matters relating to the appointment of receivers, their powers, duties and liabilities, and the court's power.

(d) Procedure. An action in which the court has appointed a receiver may not be dismissed except by court order.

Rule 67. Deposit into Court

- (a) By Leave of Court.** If any part of the relief sought in an action is a money judgment or the disposition of a sum of money or some other deliverable thing, a party—upon affording notice to every other party and by leave of court—may deposit with the court all or part of the money or thing, whether or not that party claims any of it. The depositing party must deliver to the clerk a copy of the order permitting deposit.
- (b) By Court Order.** A court may order that money or any other deliverable property be deposited with the court if it is the subject of an action and if a party admits to control or possession of the money or property. The court also may order that the money or property be delivered to the party claiming it on conditions that the court finds just.
- (c) Clerk’s Duties.** If any money or other property is deposited with the court, the clerk must deposit it in a safe or in a bank, subject to the court’s control. If money is deposited, the court may order the clerk to deposit it with the county treasurer, who must receive and hold it subject to further court order. The clerk must file a statement in the action identifying each item received by the court and its disposition.

Rule 68. Offer of Judgment

- (a) Time for Making; Procedure.** Any party may serve on any other party an offer to allow judgment to be entered in the action.
- (1) Trial.** An offer of judgment must be made more than 30 days before trial begins.
- (2) Arbitration.** In actions assigned to arbitration, no offer of judgment may be made during the time period beginning 25 days before the arbitration hearing and ending when a Rule 77(a) notice of appeal is filed.
- (b) Contents of Offer.**
- (1) Money Judgment.** An offer that includes a money judgment must specifically state the sum of money to be awarded, inclusive of all damages, taxable court costs, interest, and attorney’s fees, if any, sought in the action.
- (2) Attorney’s Fees.** If specifically stated, attorney’s fees may be excluded from an offer. If an offer that excludes attorney’s fees is accepted and attorney’s fees are allowed by statute, contract, or otherwise, either party may seek an award of attorney’s fees.

(3) Apportionment. The offer need not be apportioned by claim.

(c) Acceptance of Offer; Entry of Judgment. To accept an offer, the offeree must serve written notice—during the effective time period—that the offer is accepted. After either party files the offer and proof of acceptance, the court must enter judgment in accordance with Rule 58(a).

(d) Rejection of Offer; Waiver of Objections.

(1) Rejection of Offer. An unaccepted offer is considered rejected. Evidence of an unaccepted offer is not admissible except in a proceeding to determine sanctions under this rule.

(2) Objections to Offer. An offeree who objects to the validity of an offer must—within 10 days after the offer is served—serve on the offeror written notice of the objections. The failure to serve timely objections waives the right to object to the offer’s validity in any proceeding to determine sanctions under this rule.

(e) Multiple Offerors. Multiple parties may make a joint unapportioned offer of judgment to a single offeree.

(f) Multiple Offerees.

(1) Unapportioned Offers. Unapportioned offers may not be made to multiple offerees.

(2) Apportioned Offers. One or more parties may make an apportioned offer to multiple offerees conditioned on acceptance by all of the offerees. Each offeree may serve a separate written notice of acceptance of the offer. If fewer than all offerees accept, the offeror may enforce any of the acceptances if:

(A) the offer discloses that the offeror may exercise this option; and

(B) the offeror serves written notice of final acceptance no later than 10 days after the offer expires.

The sanctions provided in this rule apply to each offeree who did not accept the apportioned offer.

(g) Sanctions.

(1) Amount. A party who rejects an offer, but does not obtain a more favorable judgment, must pay as a sanction:

(A) the offeror’s reasonable expert witness fees and double the taxable costs, as defined in A.R.S. § 12-332, incurred after the offer date; and

(B) prejudgment interest on unliquidated claims accruing from the offer date.

- (2) **Taxable Costs and Attorney's Fees.** To determine if a judgment that includes an award of taxable costs or attorney's fees is more favorable than the offer, the court must consider only those taxable costs and attorney's fees that were reasonably incurred as of the offer date.
- (3) **Arbitration.** To determine whether to impose a sanction after an arbitration hearing, the court must compare the offer to the final judgment entered either on the award under Rule 76(c) or after appeal under Rule 77.

(h) Effective Period of Offers; Later Offers; Offers on Damages.

- (1) **Effective Date.** An offer of judgment must remain effective for 30 days after it is served but:
- (A) an offer made within 60 days after service of the summons and complaint must remain effective for 60 days after the offer is served;
 - (B) an offer made within 45 days of trial must remain effective for 15 days after it is served; and
 - (C) in an action subject to arbitration, a pending and unexpired offer will automatically expire at 5:00 p.m. on the fifth day before the arbitration hearing.
- If the court enlarges the effective period, the offeror may withdraw the offer at any time after the initial effective period expires and before the offer is accepted.
- (2) **Later Offers.** A rejected offer does not preclude a later offer.
- (3) **Offers on Damages.** When one party's liability to another has been determined but the extent of liability remains to be determined by further proceedings, any party may make an offer of judgment. It must be served within a reasonable time—but at least 10 days—before the date set for a hearing to determine the extent of liability.

Rule 69. Execution

- (a) **Generally.** A money judgment is enforced by a writ of execution, unless the court orders otherwise. A party may execute on a judgment—and seek relief in proceedings supplementary to and in aid of judgment or execution—as provided in these rules, statutory remedies, and other applicable law.
- (b) **Special Writ.** If a judgment is for personal property, and the court finds that the property has a special value to the prevailing party, the court may award the prevailing party a special writ for the seizure and delivery of the specific property, in addition to any other relief provided in these rules and other applicable law.

- (c) **Obtaining Discovery.** In aid of the judgment or execution, the judgment creditor or a successor in interest whose interest appears from the record may obtain discovery from any person—including the judgment debtor—as provided in these rules and other applicable law.

Rule 70. Enforcing a Judgment for a Specific Act

- (a) **A Party's Failure to Act; Ordering Another to Act.** If a judgment requires a party to convey land, to deliver a deed or other document, or to perform any other specific act and the party fails to comply within the time specified, the court may order the act to be done—at the disobedient party's expense—by another person appointed by the court. When done, the act has the same effect as if done by the party.
- (b) **Vesting Title.** If the real or personal property is within Arizona, the court—instead of ordering a conveyance—may enter a judgment divesting any party's title and vesting it in others. That judgment has the effect of a legally executed conveyance.
- (c) **Obtaining a Writ of Attachment or Sequestration.** On application by a party entitled to performance of an act, the clerk must issue a writ of attachment or sequestration against the disobedient party's property to compel obedience.
- (d) **Obtaining a Writ of Execution or Assistance.** On application by a party who obtains a judgment or order for possession, the clerk must issue a writ of execution or assistance.
- (e) **Holding in Contempt.** The court also may hold the disobedient party in contempt.

Rule 70.1. Application to Transfer Structured Settlement Payment Rights

A party who files an Application for Approval of Transfer of Structured Settlement Rights under A.R.S. § 12-2901 *et seq.*, must include the following:

- (a) **Payee's Declaration.** A payee, as defined by A.R.S. § 12-2901, must submit a Declaration in Support of Application that is signed under oath and contains the following information:
 - (1) The payee's name, address and age.
 - (2) The payee's marital status, and, if married or separated, the name of the payee's spouse.
 - (3) The names, ages, and place(s) of residence of the payee's minor children and other dependents, if any.

- (4) The payee's monthly income and sources of income, and, if presently married, the monthly income and sources of income of the payee's spouse.
- (5) Whether the payee is subject to any child support or spousal maintenance orders, and, if so, for each such order:
 - (A) The amount of the obligation;
 - (B) To whom it is payable;
 - (C) Whether there are arrearages, and, if so, the amount;
 - (D) The jurisdiction and name of the court that entered the order;
 - (E) The case number of the action in which the order was entered;
 - (F) The parties to such action; and
 - (G) The date when the order was entered.
- (6) Whether the payee is subject to any orders in any civil, probate, or criminal action that requires the payee to pay money to any person, and, if so, for each such order:
 - (A) The amount of the obligation;
 - (B) To whom it is payable;
 - (C) Whether there are arrearages, and, if so, the amount;
 - (D) The jurisdiction and name of the court that entered the order;
 - (E) The case number of the action in which the order was entered;
 - (F) The parties to such action; and
 - (G) The date when the order was entered.
- (7) Whether there has been any previous application to any court or responsible administrative authority to approve a transfer of payment rights under the structured settlement that is the subject of the application, and, if so, for each such application:
 - (A) The jurisdiction and name of the court or responsible administrative authority that considered the application;
 - (B) The case number of the action in which the application was submitted;
 - (C) The parties to such action;
 - (D) The date when the application was filed;
 - (E) Whether the application was approved or disapproved;

- (F) The date of the order approving or disapproving the transfer, and, if approved:
 - (i) The name of the transferee;
 - (ii) The payment amount(s);
 - (iii) The due dates of the payments involved in the transfer;
 - (iv) The amount of money the payee received from the transferee for the transfer, if any; and
 - (v) The manner in which the money was used.
- (8) Whether the payee has ever transferred payment rights under the structured settlement without court approval or the approval of a responsible administrative authority, and, if so, for each such transfer:
 - (A) The name of the transferee;
 - (B) The payment amount(s);
 - (C) The due dates of the payments involved in the transfer;
 - (D) The amount of money the payee received from the transferee for the transfer, if any; and
 - (E) The manner in which the money was used.
- (9) The payee's reasons for the proposed transfer of payment rights and the payee's plans for using the proceeds from the transfer.
- (10) Whether the payee intends to use the proceeds from the proposed transfer to pay debts, and, if so:
 - (A) The amount of each such debt;
 - (B) The name and address of the creditor to whom it is owed; and
 - (C) If applicable, the rate at which interest is accruing on such debt.
- (b) **Transferee's Declaration.** A transferee, as defined by A.R.S. § 12-2901, must submit a Transferee's Declaration in Support of Application that is signed under oath and states the following:
 - (1) After making reasonable inquiry, the transferee is not aware of any prior transfers of structured settlement rights by the payee other than those disclosed in Payee's Declaration in Support of Application;
 - (2) The transferee has complied with its obligations under A.R.S. § 12-2901, *et seq.*; and

- (3) To the best of the transferee's knowledge after making reasonable inquiry, the proposed transfer would not contravene any applicable law, statute, or the order of any court or other government authority.

Rule 71. Enforcing Relief For or Against a Nonparty

When an order grants relief for a nonparty or may be enforced against a nonparty, the procedure for enforcing the order is the same as for a party.

IX. COMPULSORY ARBITRATION

Rule 72. Suitability for Arbitration

(a) **Decision to Require Compulsory Arbitration.** Rules 72 through 77 apply if the superior court in a county, by a majority vote of the judges in that county, decides to require arbitration of certain claims and establishes jurisdictional limits by local rule under A.R.S. § 12-133. Such a decision must be incorporated into a superior court order that is filed with the Supreme Court clerk, with a copy filed with the clerk in that county. Except when a rule is inconsistent with a specific provision in Rules 72 through 77, the Arizona Rules of Civil Procedure apply to all actions in arbitration.

(b) **Compulsory Arbitration.**

(1) **Generally.** Civil actions, except appeals from municipal or justice courts, must be submitted to arbitration in accordance with A.R.S. § 12-133 if:

(A) No party seeks affirmative relief other than a money judgment; and

(B) No party seeks an award in excess of the jurisdictional limit for arbitration set by applicable local rule of the superior court.

(2) **Definitions.** For this rule's purposes, "award" and "affirmative relief" include punitive damages, but do not include interest, attorney's fees or costs.

(3) **Exception.** The court may waive the arbitration requirement if all parties stipulate to the waiver and show good cause for not arbitrating the action.

(c) **Arbitration by Agreement of Reference.** Whether or not an action is filed, any claim may be referred to arbitration at any time by an Agreement of Reference signed by all parties or their counsel. If an action has not been filed, the Agreement of Reference must define the issues involved for determination in the arbitration proceedings and may contain stipulations with respect to agreed facts, issues or defenses. In such instances, the Agreement of Reference takes the place of the pleadings in the action and

must be filed and assigned a civil case number. Filing an Agreement of Reference does not relieve any party from paying a required filing fee. Filing of an Agreement of Reference has the same effect on the running of the statute of limitations as the filing of a civil complaint.

(d) Alternative Dispute Resolution. Before a hearing is held under Rule 75, the parties or their counsel may confer regarding the feasibility of resolving their dispute through another form of alternative dispute resolution, including private mediation or binding arbitration. The court may waive the arbitration requirement if the parties file a written stipulation to participate in good faith in an alternative dispute resolution proceeding, and the court approves the method selected by the parties. The stipulation must identify the specific method selected for alternative dispute resolution. If the alternative dispute resolution method selected under this rule fails, the action will proceed under the case management rules in Rule 16 and will not be subject to compulsory arbitration.

(e) Procedure for Determining Suitability for Arbitration.

(1) Certificate on Compulsory Arbitration. When a complaint is filed, the plaintiff must also file with the clerk a separate certificate on compulsory arbitration in substantially the following form:

“The undersigned certifies that he or she knows the dollar limits and any other limitations set forth by the local rules of practice for the applicable superior court, and further certifies that this action (is) (is not) subject to compulsory arbitration, as provided in Rules 72 through 77 of the Arizona Rules of Civil Procedure.”

The certificate must be served on the defendant when the complaint is served.

(2) Controverting Certificate. If the defendant disagrees with the plaintiff’s assertion as to arbitrability, the defendant must file a controverting certificate that specifies the particular reason for the defendant’s disagreement. The defendant’s controverting certificate must be filed with the defendant’s answer and a copy must be served under Rule 5 on the plaintiff and all other parties that have appeared in the action.

(3) Signing and Certification. The certificate and controverting certificate must be signed by the party or its counsel, and constitutes a certification by the signer that:

- (A)** the signer has considered the applicability of the local rules governing arbitration and Rules 72 through 77;
- (B)** the signer has read the certificate or controverting certificate on compulsory arbitration;

- (C) after reasonable inquiry, the statements in the certificate or controverting certificate are accurate to the best of the signer's knowledge, information and belief; and
- (D) the allegation as to arbitrability is not set forth for any improper purpose.
- (4) **Conflicting Certificates.** If conflicting certificates are filed, the matter must be referred to the judge assigned to the action to decide whether the action is subject to compulsory arbitration.
- (5) **Amendment of Certificate.** A party and its counsel are under a duty to seasonably amend a prior certificate or controverting certificate on compulsory arbitration if the party or counsel obtains information that establishes that the certificate was incorrect when filed or is no longer accurate.
- (6) **Motions.** At any time after the close of the pleadings, the court may, on its own or on motion, determine that an action is subject to compulsory arbitration and may order that it proceed to arbitration as provided in these rules.
- (7) **Sanctions.** If, on its own or on motion, the court finds that a party or its counsel has made an allegation as to arbitrability that was not made in good faith or failed to seasonably amend a prior certificate on compulsory arbitration, the court may make such orders with regard to such conduct as are just, including an order under Rule 11(a).

Rule 73. Appointment of an Arbitrator

- (a) **Mutually Agreed on Arbitrator.** If the parties agree on a person to serve as the arbitrator and the proposed arbitrator consents, the clerk or court administrator must assign the action to the arbitrator upon the filing of a written stipulation requesting the person's appointment. The stipulation must include the written consent of the proposed arbitrator, and a conformed copy must be delivered to the court administrator.
- (b) **Appointment of Arbitrator.** Unless the parties stipulate to the assignment of an arbitrator under Rule 73(a), the clerk or court administrator must appoint the arbitrator from a list of eligible arbitrators as provided in local rule. The clerk or court administrator must randomly select and then assign to each action one arbitrator from the list.
- (c) **List of Eligible Arbitrators.** The clerk or court administrator, under the supervision of the presiding superior court judge in the county or that judge's designee, must prepare a list of arbitrators who may be designated by their area of concentration, specialty or expertise. The list of eligible persons must include the following:

- (1) all county residents who have been active members for the State Bar of Arizona for at least 4 years;
- (2) all other members of the State Bar of Arizona residing in other counties who have agreed to serve as arbitrators in the county where the court is located; and
- (3) all members of any other federal court or state bar who have agreed to serve as arbitrators in the county where the court is located.

On written motion showing good cause, the presiding judge or that judge's designee may excuse a lawyer from the list of arbitrators.

- (d) **Timing of Appointment.** The clerk or court administrator must appoint an arbitrator to an action no later than 120 days after an answer is filed.
- (e) **Notice of Appointment.** The clerk or court administrator must promptly distribute written notice of the arbitrator's appointment to the parties and the arbitrator. The written notice must advise the parties of the deadline specified in Rule 38.1(f) for placing an action on the Dismissal Calendar.
- (f) **Change of Arbitrator as of Right.** In any action, each side is entitled as a matter of right to a change of one arbitrator. Each action, even if consolidated with another action, must be treated as having only two sides. A party waives the right to change of arbitrator if the right is not exercised within 10 days after the date of the written notice of appointment. If a party enters an appearance after the arbitrator is appointed, that party waives the right to change of arbitrator if it is not exercised within 10 days after that party's appearance. A motion for recusal or motion to strike for cause tolls the time to exercise a change of arbitrator as of right.
- (g) **Disqualifying or Excusing an Arbitrator.**
 - (1) **Disqualifying an Arbitrator.** On motion, the court may disqualify an appointed arbitrator from serving in a particular action. The motion must be in writing and establish that the arbitrator has an ethical conflict of interest or that other good cause exists under A.R.S. § 12-409 or A.R.S. § 21-211. The motion must be submitted in accordance with the procedures provided in Rule 42(f)(2). The judge assigned to the action must hold a hearing on the motion.
 - (2) **Excusing an Arbitrator.** The presiding superior court judge in a county or that judge's designee may excuse an arbitrator from serving in a particular action on the arbitrator's showing that he or she has completed contested hearings and ruled as an arbitrator under these rules in two or more actions assigned during the current calendar year.

- (3) **Replacement.** If the court disqualifies or excuses an arbitrator, the clerk or court administrator must appoint a new arbitrator consistent with these rules.

Rule 74. General Proceedings and Pre-Hearing Procedures

- (a) **An Arbitrator's Powers.** The arbitrator has the power to administer oaths or affirmations to witnesses, determine the admissibility of evidence, and decide the law and the facts in an action.
- (b) **Scheduling an Arbitration Hearing.** The arbitrator must set a hearing date not earlier than 60 days nor later than 120 days after the arbitrator's appointment. If good cause exists, an arbitrator may set a hearing date that is before or after this time period, or reschedule a noticed hearing date for a date later than 120 days after the arbitrator is appointed. The arbitrator must provide at least 30 days' written notice of the hearing's time and place, unless waived by the parties. Unless the parties agree otherwise, no hearings may be held on Saturdays, Sundays, legal holidays, or evenings.
- (c) **Rulings by Arbitrator.**
- (1) **Authorized Rulings.** After an action has been assigned to an arbitrator, the arbitrator will make all legal rulings, including rulings on motions, except on:
- (A) motions to continue on the Dismissal Calendar or otherwise extend time allowed under Rule 38.1;
 - (B) motions to consolidate actions under Rule 42;
 - (C) motions to dismiss;
 - (D) motions to withdraw as attorney of record under Rule 5.1;
 - (E) motions for summary judgment that, if granted, would dispose of the entire case as to any party; and
 - (F) motions for sanctions under Rule 68.
- (2) **Procedure.** The parties must deliver to the arbitrator copies of all documents requiring the arbitrator's consideration. The arbitrator may hear motions and testimony by telephone.
- (3) **Discovery Motions.** In ruling on discovery motions, the arbitrator should consider that the purpose of compulsory arbitration is to provide for the efficient and inexpensive handling of small claims, and may limit discovery when appropriate to accomplish this purpose.

- (4) *Interlocutory Appeal of Discovery Ruling.*** If an arbitrator makes a discovery ruling requiring the disclosure of matters that a party claims are privileged or otherwise protected from disclosure, the party may appeal the ruling by filing a motion with the judge assigned to the action within 10 days after the arbitrator transmits the ruling to the parties. No party need respond to the motion unless the court so orders, but no such motion may be granted without the court providing an opportunity for response. The arbitrator's ruling is subject to *de novo* review by the court. If the court finds that the motion is frivolous or was filed for the purpose of delay or harassment, the court must impose sanctions on the party filing the motion, including an award of reasonable attorney's fees incurred in responding to the motion. The time for conducting an arbitration hearing is tolled while such motion is pending.
- (d) *Time for Filing Summary Judgment Motion.*** A motion for summary judgment must be filed at least 20 days before the date for hearing. A copy of the motion must be delivered to the arbitrator and judge assigned to the action. The time for conducting an arbitration hearing is tolled while any such motion is pending. If the court finds that the motion is frivolous or was filed for the purpose of delay or harassment, it must impose sanctions on the party filing the motion, including an award of reasonable attorney's fees incurred in responding to the motion.
- (e) *Receipt of Court File.*** If the arbitrator believes the court file contains materials needed to conduct the arbitration hearing, the arbitrator may, within 4 days before the hearing, sign for and receive the original superior court file from the clerk, if the file exists in paper form. If the clerk maintains an electronic court record, the arbitrator must have access to the original or to a certified paper or electronic copy of the file. The clerk may deliver the documents electronically to any arbitrator who files a consent in a form acceptable to the clerk. Alternatively, the arbitrator may order the parties to provide the arbitrator those pleadings and other documents the arbitrator deems necessary.
- (f) *Settlement of Actions Assigned to Arbitration.*** If the parties settle an action assigned to arbitration, they must file with the court an appropriate stipulation for the entry of final judgment or a dismissal order, and must mail or otherwise deliver a copy to the arbitrator. The arbitration terminates on entry of the judgment or order.
- (g) *Offer of Judgment.*** A party to an action subject to arbitration may serve an offer of judgment under Rule 68.

Rule 75. Hearing Procedures

- (a) **Issuing Subpoenas.** Subpoenas may be issued, served and enforced as provided by these rules or other law.
- (b) **Initial Disclosure.** Unless the parties agree or the arbitrator orders otherwise, the parties must make their initial disclosures required under Rule 26.1 by no later than the deadline provided in Rule 26.1(b).
- (c) **Pre-Hearing Statement.**
- (1) **Requirement.** No later than 10 days before the hearing, the parties or their counsel must confer, prepare, and submit to the arbitrator a joint written pre-hearing statement. In preparing this pre-hearing statement, the parties and their counsel must consider that the purpose of compulsory arbitration is to provide for the efficient and inexpensive resolution of claims and the parties are encouraged to agree on facts and issues.
 - (2) **Content.** The statement must contain the following:
 - (A) a brief statement of the nature of each party's claims or defenses;
 - (B) a witness list including the subject matter of witness testimony for each witness who will be called to testify;
 - (C) an exhibit list; and
 - (D) the estimated time required for the arbitration hearing.
 - (3) **Evidence Exclusion.** Unless the parties agree otherwise or the offering party shows good cause, no witness or exhibit may be offered at the hearing other than those listed and exchanged.
- (d) **Evidence.** The Arizona Rules of Evidence apply to arbitration hearings, except as provided in Rule 74(e). Certificates or controverting certificates are not admissible in evidence in any proceedings on the action's merits.
- (e) **Documentary Evidence.** The arbitrator must admit into evidence—and give them the weight to which the arbitrator deems they are entitled—the following documents without further proof, if relevant, and if listed in the pre-hearing statement, unless the document is not what it appears to be and an objection is stated in the pre-hearing statement:
- (1) hospital bills, if on the hospital's official letterhead or billhead, dated, and itemized;
 - (2) bills of doctors and dentists, if dated and stating the date of each visit and the incurred charges;

- (3) bills of registered nurses, licensed practical nurses, or physical therapists, if dated and stating the date and hours of service, and the incurred charges;
 - (4) bills for medicine, eyeglasses, prosthetic devices, medical belts, or similar items, if dated and itemized;
 - (5) property repair bills or estimates setting forth the costs or estimates for labor and material if dated, itemized, and stating whether the property was, or is estimated to be, repaired in full or in part;
 - (6) a witness's deposition testimony, whether or not the witness is available to appear in person;
 - (7) an expert's sworn written statement, other than a doctor's medical report, whether or not the expert is available to appear in person, but only if:
 - (A) the statement is signed by the expert and summarizes the expert's qualifications; and
 - (B) the statement contains the expert's opinions, and the facts on which each opinion is based;
 - (8) in a personal injury action, a doctor's medical report, but only if a copy of the report was disclosed at least 20 days before the hearing, unless the offering party shows good cause;
 - (9) records of regularly conducted business activity qualified under Rule 803(6) of the Arizona Rules of Evidence; and
 - (10) a sworn witness statement, except from an expert witness, whether or not the witness is available to appear in person, but only if listed in the pre-hearing statement.
- (f) **Assessing Damages Against Defaulted Parties.** In actions involving multiple defendants, if default has been entered against one or more, but fewer than all, of the defendants before the arbitration hearing, the arbitrator must refer all further proceedings involving the defaulted defendant(s) to the judge assigned to the action. The arbitrator must continue to serve and proceed with the arbitration for the remaining parties.
- (g) **Record of Proceedings.** The arbitrator is not required to make a record of the hearing. If any party wants a court reporter to transcribe the hearing, the party must pay for and provide the reporter. The reporter's charges are not considered costs in the action.

- (h) Failure to Appear or Participate in Good Faith at a Hearing.** Absent good cause, a party waives the right to appeal if the party fails to appear or to participate in good faith at a hearing that has been set under Rule 74(b).

Rule 76. Post-Hearing Procedures

- (a) Decision of Arbitrator.** Within 10 days after completing the hearing, the arbitrator must:

- (1)** make a decision;
- (2)** if the original paper file was obtained from the superior court, return it to the clerk by messenger or certified mail;
- (3)** notify the parties that their exhibits are available for retrieval;
- (4)** notify the parties or their counsel of the decision in writing; and
- (5)** file a notice of decision with the court.

- (b) Arbitrator's Award.**

- (1) *Submission of Proposed Award.*** Within 10 days after the notice of decision is filed, either party may submit a proposed form of award to the arbitrator. The proposed award may include a blank for requested amounts for attorney's fees and costs.
- (2) *Award Exceeding Limit.*** If an arbitrator finds that the appropriate award in an action exceeds the limit for compulsory arbitration set by local rule or statute, the arbitrator must render an award for the full amount.
- (3) *Objections to Proposed Award.*** Within 5 days of receiving the proposed form of award, an opposing party may file objections.
- (4) *Final Award.*** Within 10 days of receiving the objections, the arbitrator must rule on the objections and file one signed original award with the clerk. On the same day the arbitrator must mail or otherwise deliver copies of it to all parties or their counsel.

- (c) Failure of Arbitrator to File Award.** If an award or stipulation for entry of another form of relief is not filed with the court within 50 days after the notice of decision is filed, the notice of decision will constitute the arbitrator's award.

- (d) Judgment.** If no appeal is filed by the deadline for filing an appeal under Rule 77(b), any party may file a motion to enter judgment on the award.

- (e) **Referral of an Action to the Assigned Judge.** If the arbitrator does not file an award with the clerk within the later of 145 days after the arbitrator's appointment or 30 days after a noticed hearing, the clerk or the court administrator must refer the matter to the judge assigned to the action for appropriate action.
- (f) **Compensation of Arbitrator.** An arbitrator assigned to an action under these rules is entitled to receive as compensation for services a fee not to exceed the amount allowed by A.R.S. § 12-133(G) per day for each day, or part of a day, necessarily expended in hearing the action. For this rule's purposes, "hearing" means any fact-finding proceeding or oral argument resulting in the filing of an award, or at which the parties agree to settle and stipulate to the action's dismissal. The fee to be paid in each county must be decided by a majority vote of the judges in that county. The amount must be incorporated into a superior court order that is filed with the Supreme Court clerk, with a copy filed with the clerk in that county. When more than one action arising out of the same transaction is heard at the same hearing or hearings, it will be considered as one action for purposes of compensating the arbitrator.
- (g) **Payment of Compensation.** The arbitrator is not entitled to receive compensation under Rule 76(f) until after an award is filed with the clerk, or, if the parties agree to settle and stipulate to dismiss the action at a proceeding before the arbitrator, until after the action is dismissed.

Rule 77. Appeal

- (a) **Filing a Notice of Appeal.** Any party who appears and participates in the arbitration proceedings may appeal an arbitrator's award by filing a notice of appeal with the clerk. The notice of appeal must be entitled "Appeal from Arbitration and Motion for Trial Setting." It must request that the action be set for trial in the superior court, and must state whether a jury trial is demanded and the estimated length of trial.
- (b) **Time for Filing a Notice of Appeal.** To appeal an award, a party must file a notice of appeal no later than 20 days after (1) the award is filed or (2) the date on which the notice of decision becomes an award under Rule 76(b), whichever occurs first.
- (c) **Deposit on Appeal.** At the time of filing the notice of appeal, the appellant must deposit with the clerk a sum equal to one hearing day's compensation of the arbitrator or 10 percent of the amount in controversy, whichever is less. The court may waive the deposit only on a showing that the appellant is financially unable to make such a deposit.
- (d) **Appeal De Novo.** Although the proceeding is denominated as an "appeal," the parties are entitled to a trial on all issues determined by the arbitrator. The arbitrator's legal

rulings and factual findings are not binding on the court or the parties. If, however, the court finds that further proceedings before the arbitrator are appropriate, it may remand the action to the assigned arbitrator.

- (e) **Waiver of Right to Appeal.** At any time before the entry of an award by the arbitrator, the parties may stipulate in writing that the award so entered is binding on the parties. If the parties enter such as stipulation, no party may appeal or collaterally attack the award except as allowed by A.R.S. § 12-1501, *et seq.*
- (f) **Discovery and Listing of Witnesses and Exhibits on Appeal.** Any discovery conducted while the action was assigned to arbitration may be used on appeal. Additionally:
 - (1) Simultaneous with the filing of the notice of appeal, the appellant may serve a “List of Witnesses and Exhibits Intended to be Used at Trial” that complies with the requirements of Rule 26.1.
 - (2) No later than 20 days after the Notice of Appeal is served, the appellee may serve a “List of Witnesses and Exhibits Intended to be Used at Trial” that complies with the requirements of Rule 26.1.
 - (3) If any party does not serve a timely “List of Witnesses and Exhibits Intended to be Used at Trial,” that party’s trial witnesses and exhibits will be deemed to be those set forth in any such list previously filed in the action or in the pre-hearing statement submitted under Rule 75(c).
 - (4) The parties have 80 days after the filing of the notice of appeal to complete discovery under Rules 26 through 37.
 - (5) For good cause, the court may extend the time to conduct discovery or to serve a supplemental list of witnesses and exhibits.
- (g) **Refund of Deposit on Appeal.** The clerk must refund the deposit on appeal to the appellant if:
 - (1) the judgment on the trial *de novo* is at least 23 percent more favorable than the monetary relief or other type of relief granted by the arbitration award; or
 - (2) there is no order from the court for the disposition of the deposit on appeal upon action’s final disposition.
- (h) **Forfeiture of Deposit on Appeal; Sanctions on Appeal.** If the judgment on the trial *de novo* is not at least 23 percent more favorable than the monetary relief or other type of relief granted by the arbitration award, the court must order that the deposit on appeal be used to pay the following costs and fees:

- (1) to the county, the compensation actually paid to the arbitrator;
- (2) to the appellee, those costs taxable in civil actions together with reasonable attorney's fees as determined by the trial judge for services necessitated by the appeal; and
- (3) reasonable expert witness fees incurred by the appellee in connection with the appeal.

If the deposit is insufficient to pay those costs and fees, the court must order that the appellant pay them, unless the court finds on motion that the imposition of the costs and fees would create a substantial economic hardship that is not in the interests of justice.

- (i) **Contact by Court.** A court may contact an arbitrator regarding the arbitration award or other matters relating to the arbitration.

X. GENERAL PROVISIONS

Rule 78. [Reserved]

Rule 79. [Reserved]

Rule 80. General Provisions

- (a) **Conduct in Trial.** Trials must be conducted in an orderly, courteous, and dignified manner. Counsel must address arguments and remarks to the court, but with the court's permission, counsel may properly inquire or ask questions of opposing counsel.
- (b) **Excluding Minors from Trial.** When trying an action or proceeding of a scandalous or obscene nature, the court or referee may exclude minors from the courtroom if their presence—as parties or witnesses—is not necessary.
- (c) **Agreement or Consent of Counsel or Parties.** If disputed, no agreement or consent between parties or attorneys in any matter is binding, unless:
 - (1) it is in writing; or
 - (2) it is made orally in open court and entered in the minutes.
- (d) **Attorney or Officer of Court as Surety.** No attorney or court officer who is involved in an action or other judicial proceeding may be, or act on behalf of, a surety in the action or proceeding.

(e) **Unsworn Declarations Under Penalty of Perjury.** When these rules require or allow a matter to be supported, evidenced, established, or proved by a sworn written declaration, verification, certificate, statement, oath, or affidavit, the same may be unsworn—and have the same force and effect—if it is:

(1) signed by the person as true under penalty of perjury;

(2) dated; and

(3) in substantially the following form:

“I declare (or certify, verify or state) under penalty of perjury that the foregoing is true and correct. Executed on (date).

(Signature).”

This rule does not apply to a deposition, oath of office, or an oath required to be taken before a specified official other than a notary public.

(f) **Lost or Destroyed Records.**

(1) ***Motion to Substitute.*** If a court record is lost or destroyed, any party may file a motion to supply the court with an accurate copy of the record. The motion must identify the lost or destroyed record, be accompanied by an accurate copy of the record, and offer proof that the copy is accurate.

(2) ***Order and Further Proceedings.*** If the court finds that the copy is accurate, the court must order the copy substituted for the lost or destroyed record. If the court finds that the copy may not be accurate, it may take further evidence and direct the parties to prepare an accurate copy of the record based on that evidence.

(3) ***Filing and Effect.*** If the court enters an order substituting a copy for a lost or destroyed record, the moving party must file the copy with the clerk. Upon filing, the copy will constitute a part of the record in the action and will have the force and effect of the original record.

(g) **Verified Pleadings.** If a rule or statute requires a pleading to be verified, the pleading must be accompanied by an affidavit by the party—or a person acting on the party’s behalf who is acquainted with the facts—attesting under oath that, to the best of the party’s or person’s knowledge, the facts set forth in the pleading are true and accurate.

Rule 81. Effective Dates; Applicability

(a) **Effective Date.** These rules and any amendments take effect at the time specified by the Supreme Court.

(b) Applicability. Upon the effective date, a rule or amendment, governs:

- (1)** proceedings in an action commenced after its effective date; and
- (2)** proceedings after that date in a pending action unless:
 - (A)** the Supreme Court specifies otherwise in its order adopting the rule or amendment; or
 - (B)** the court determines that applying the rule or amendment in a particular action would be infeasible or work an injustice, in which event the former rule or procedure applies.

Rule 81.1. Juvenile Emancipation

These rules apply to juvenile emancipation proceedings except as provided in Part V, Rules of Procedure for Juvenile Court.

Rule 82. Jurisdiction and Venue Unaffected

These rules do not extend or limit the jurisdiction of the superior courts or the venue of actions in those courts.

Rule 83. Superior Court Local Rules

- (a) Promulgation.** The presiding superior court judge of a county may promulgate local rules with the approval of a majority of the superior court judges in the county.
- (b) Approval.** Local rules must be consistent with these rules, and must be approved by the Chief Justice of the Supreme Court.
- (c) Publication.** Local rules must be published.

Rule 84. Forms

The forms in the Appendix suffice under these rules and illustrate the simplicity and brevity these rules contemplate.