



**Supreme Court of Arizona**  
**Certification and Licensing Division**  
 1501 West Washington, Suite 104  
 Phoenix, AZ 85007

**For Office Use Only**  
**Complaint Number:**  
 \_\_\_\_\_

**Complaint Form**

**Please Check the Box for the Appropriate Program**

- Confidential Intermediary       Defensive Driving       Fiduciary
- Legal Document Preparer       Certified Reporter

**Who are you Filing this Complaint about:**

Name: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone Number (If Known): \_\_\_\_\_

Court Appointment:  YES       NO      Type of Appointment: \_\_\_\_\_

**Please Provide Your Information:**

Your Name: \_\_\_\_\_ Date: \_\_\_\_\_

Your Relationship to Consumer/ Client: \_\_\_\_\_

Business/ Organization Affiliation: \_\_\_\_\_

Do you have an attorney?  
 YES       NO

Has there been or is any legal action pending related to this matter?  
 YES       NO

**If "YES", what was the outcome of the legal action? Please attach any documents you may have.**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



**PURSUANT TO COURT RULES, YOUR HOME ADDRESS, TELEPHONE NUMBER AND PERSONAL EMAIL ADDRESS ARE NOT PUBLIC RECORD AND THEREFORE WILL NOT BE RELEASED. THIS PAGE WILL NOT BE SENT TO THE SUBJECT OF THE COMPLAINT.**

**Subject's Name:** \_\_\_\_\_

**Your Name:** \_\_\_\_\_

**Confidential Information**

**Your Address:** \_\_\_\_\_

**City:** \_\_\_\_\_ **State:** \_\_\_\_\_ **Zip:** \_\_\_\_\_

**Home Phone:** \_\_\_\_\_ **Work Phone:** \_\_\_\_\_

**Email Address:** \_\_\_\_\_



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## Complaint Review Procedures

**The guidelines listed below are general steps after a complaint has been filed with the Certifications and Licensing Division (“Division”). These procedures are regulated by the Arizona Code of Judicial Conduct (“ACJA”).**

### **Filing a Complaint – ACJA § 7-201 (H)(2)**

- When a complaint is received by the Division the information is verified and a complaint number is assigned.
- The complaint is screened to determine if it falls within the Division’s jurisdiction and warrants investigation. If it does not, the complaint may be dismissed by the division director.

### **Investigation - ACJA § 7-201 (H)(3)**

- An acknowledgement letter is mailed to the complainant, and a notice of complaint is mailed to the certificate holder with a copy of the complaint excluding any confidential information.
- The certificate holder is required by the ACJA to respond, and a copy of the response shall be forwarded to the complainant.

### **Investigative Summary and Probable Cause Review - ACJA § 7-201 (H)(4) and (5)**

- Upon completing the investigation, a written summary is prepared and reviewed by the probable cause evaluator.
- The probable cause evaluator can direct the Division to investigate further, determine probable cause does not exist demonstrating the certificate holder committed any acts of misconduct, or determine that probable cause does exist.
- If probable cause is found, the Division shall forward the complaint to the appropriate board with a written recommendation by the division director for the appropriate disposition.

### **Board - ACJA § 7-201 (H)(5)**

- Board meetings are open to the public, however, the public is **not** allowed to address the board at any time unless formally invited.
- Dates, times, locations, and the agendas for each board meeting can be located through the Division’s website under each individual program.
- The board shall review the complaint and may resolve it through dismissal, issuing an advisory letter, issuing informal or formal discipline, or scheduling a formal interview.

**For more information regarding the process after these steps please refer to the ACJA. The ACJA is available online through the Division’s website under each individual program or a hard can copy can be provided by request.**

**Certifications and Licensing Website:**  
**[Http://www.supreme.state.az.us/cld/](http://www.supreme.state.az.us/cld/)**