State Bar Court of California Hearing Department			
F	PROBATION VIOLATION		
Counsel for the State Bar	Case Number(s):	For Court use only	
State Bar #			
State Bar #			
	Submitted to:		
In the Matter of:	STIPULATION RE FACTS, CONCLUSIONS OF LAW AND DISPOSITION AND ORDER APPROVING		
State Bar #	PROBATION VIOLATION—"PM" PROCEEDING		
(Respondent)	☐ PREVIOUS STIPULATIO	N REJECTED	

Note: All information required by this form and any additional information which cannot be provided in the space provided, must be set forth in an attachment to this stipulation under specific headings, e.g., "Facts," "Dismissals," "Conclusions of Law," "Supporting Authority," etc.

## A. Parties' Acknowledgments:

- (1) Respondent is an attorney of the State Bar of California, admitted
- (2) The parties agree to be bound by the factual stipulations contained herein even if conclusions of law or disposition are rejected or changed by the Supreme Court.
- (3) All investigations or proceedings listed by case number in the caption of this stipulation are entirely resolved by this stipulation and are deemed consolidated. Dismissed charge(s)/count(s) are listed under "Dismissals." The stipulation consists of pages, not including the order.
- (4) A statement of acts or omissions acknowledged by Respondent as cause or causes for discipline is included under "Facts."
- (5) Conclusions of law, drawn from and specifically referring to the facts are also included under "Conclusions of Law."
- (6) The parties must include supporting authority for the recommended level of discipline under the heading "Supporting Authority."
- (7) No more than 30 days prior to the filing of this stipulation, Respondent has been advised in writing of any pending investigation/proceeding not resolved by this stipulation, except for criminal investigations.

property.

(4)

(5)

(6)

(7)

Concealment: Respondent's misconduct was surrounded by, or followed by concealment.

Overreaching: Respondent's misconduct was surrounded by, or followed by overreaching.

Professions Code or the Rules of Professional Conduct.

Uncharged Violations: Respondent's conduct involves uncharged violations of the Business and

☐ Trust Violation: Trust funds or property were involved and Respondent refused or was unable to account

to the client or person who was the object of the misconduct for improper conduct toward said funds or

(Do not write above this line.)				
(8)		Harm: Respondent's misconduct harmed significantly a client, the public, or the administration of justice.		
(9)		<b>Indifference:</b> Respondent demonstrated indifference toward rectification of or atonement for the consequences of Respondent's misconduct.		
(10)		<b>Lack of Candor/Cooperation:</b> Respondent displayed a lack of candor and cooperation to victims of Respondent's misconduct, or to the State Bar during disciplinary investigations or proceedings.		
(11)		Multiple Acts: Respondent's current misconduct evidences multiple acts of wrongdoing.		
(12)		Pattern: Respondent's current misconduct demonstrates a pattern of misconduct.		
(13)		Restitution: Respondent failed to make restitution.		
(14)		Vulnerable Victim: The victim(s) of Respondent's misconduct was/were highly vulnerable.		
(15)		No aggravating circumstances are involved.		
Addi	tiona	al aggravating circumstances:		
	_	ating Circumstances [Standards 1.2(i) & 1.6]. Facts supporting mitigating mstances are required.		
(1)		<b>No Prior Discipline:</b> Respondent has no prior record of discipline over many years of practice coupled with present misconduct which is not likely to recur.		
(2)		No Harm: Respondent did not harm the client, the public, or the administration of justice.		
(3)		<b>Candor/Cooperation:</b> Respondent displayed spontaneous candor and cooperation with the victims of Respondent's misconduct or to the State Bar during disciplinary investigations and proceedings.		
(4)		<b>Remorse:</b> Respondent promptly took objective steps demonstrating spontaneous remorse and recognition of the wrongdoing, which steps were designed to timely atone for any consequences of Respondent's misconduct.		
(5)		<b>Restitution:</b> Respondent paid \$ on in restitution to without the threat or force of disciplinary, civil or criminal proceedings.		
(6)		<b>Delay:</b> These disciplinary proceedings were excessively delayed. The delay is not attributable to Respondent and the delay prejudiced Respondent.		
(7)		Good Faith: Respondent acted with a good faith belief that was honestly held and objectively reasonable.		
(8)		<b>Emotional/Physical Difficulties:</b> At the time of the stipulated act or acts of professional misconduct, Respondent suffered extreme emotional difficulties or physical or mental disabilities which expert testimony would establish were directly responsible for the misconduct. The difficulties or disabilities were not the product of any illegal conduct by Respondent, such as illegal drug or substance abuse, and the difficulties or disabilities no longer pose a risk that Respondent will commit misconduct.		
(9)		<b>Severe Financial Stress:</b> At the time of the misconduct, Respondent suffered from severe financial stress resulting from circumstances which were not reasonably foreseeable or were beyond Respondent's control and were directly responsible for the misconduct.		

(Do not write above this line.)					
(10)		<b>Family Problems:</b> At the time of the misconduct, Respondent suffered extreme difficulties in Respondent's personal life which were other than emotional or physical in nature.			
(11)		<b>Good Character:</b> Respondent's extraordinarily good character is attested to by a wide range of references in the legal and general communities who are aware of the full extent of Respondent's misconduct.			
(12)		<b>Rehabilitation:</b> Considerable time has passed since the acts of professional misconduct occurred followed by convincing proof of subsequent rehabilitation.			
(13)		No mitigating circumstances are involved.			
Addi	tiona	al mitigating circumstances:			
D. R	eco	mmended Discipline (choose only one):			
(1)		<b>Probation Extended:</b> Respondent's probation imposed in Supreme Court matter case No. ) is extended for with the following conditions set forth in section E.			
(2)		<b>Probation Revoked; Probation Reinstated; Actual Suspension:</b> Respondent's probation imposed in Supreme Court matter (State Bar Court case No. ) is revoked, the stay of the previously stayed suspension is lifted, and Respondent is suspended from the practice of law for , the execution of that suspension is stayed, and Respondent is placed on probation for with the following conditions.			
		<ul> <li>Respondent must be suspended from the practice of law for the first Respondent's probation.</li> </ul>			
(3)		<b>Probation Revoked; Probation Reinstated; No Actual Suspension:</b> Respondent's probation imposed in Supreme Court matter (State Bar Court case No. ) is revoked, the stay of the previously stayed suspension is lifted, and Respondent is suspended from the practice of law for , the execution of that suspension is stayed, and Respondent is placed on probation for with the following conditions set forth in section E.			
(4)		<b>Probation Revoked; Probation Not Reinstated; Actual Suspension:</b> Respondent's probation imposed in Supreme Court matter (State Bar Court case No. ) is revoked, the stay of the previously stayed suspension is lifted, and Respondent is actually suspended from the practice of law for .			
(5)		Probation Revoked; Probation Reinstated; Actual Suspension "And Until" Rehabilitation: Respondent's probation imposed in Supreme Court matter (State Bar Court case No. ) is revoked, the stay of the previously stayed suspension is lifted, and Respondent is suspended from the practice of law for , the execution of that suspension is stayed, and Respondent is placed on probation for with the following conditions.			
		<ul> <li>Respondent must be suspended from the practice of law for a minimum of the first         of         Respondent's probation and until Respondent provides proof to the State Bar Court of Respondent's         rehabilitation, fitness to practice, and present learning and ability in the general law. (Rules Proc. of         State Bar, tit. IV, Stds. for Atty. Sanctions for Prof. Misconduct, std. 1.2(c)(1).)</li> </ul>			
(6)		Probation Revoked; Probation Reinstated; Actual Suspension "And Until" Restitution (Single Payee) and Rehabilitation: Respondent's probation imposed in Supreme Court matter (State Bar Court case No. ) is revoked, the stay of the previously stayed suspension is lifted, and Respondent is suspended from the practice of law for , the execution of that suspension is stayed, and Respondent is placed on probation for with the following conditions.			

	•	Re	spondent must be suspended from the spondent's probation, and Responden uirements are satisfied:			
		a.	Respondent makes restitution to of Probation or the State Bar Court, in (or reimburses the Client Secupayee, in accordance with Business a satisfactory proof to the State Bar's Court of the State	n the amount of \$ plus rity Fund to the extent of any and Professions Code section		
		b.	Respondent provides proof to the Sta and present learning and ability in the Sanctions for Prof. Misconduct, std. 1	general law. (Rules Proc. o		
(7)	Pay Cou	Probation Revoked; Probation Reinstated; Actual Suspension "And Until" Restitution (Multiple Payees) and Rehabilitation: Respondent's probation imposed in Supreme Court matter (State Bar Court case No. ) is revoked, the stay of the previously stayed suspension is lifted, and Respondent is suspended from the practice of law for , the execution of that suspension is stayed, and Respondent is placed on probation for with the following conditions.				
	•	Re	spondent must be suspended from the spondent's probation, and Responden uirements are satisfied:			
	a. Respondent must make restitution, including the principal amount plus 10 percent interest per year (and furnish satisfactory proof of such restitution to the Office of Probation), to each of the following payees or such other recipient as may be designated by the Office of Probation or the State Bar Court (or reimburse the Client Security Fund to the extent of any payment from the Fund to such payee in accordance with Business and Professions Code section 6140.5):					
			payee in accordance with business a	nd Professions Code section	6140.5):	
			Payee	Principal Amount	6140.5):  Interest Accrues From	
					,	
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					,	
		b.		te Bar Court of Respondent's general law. (Rules Proc. o	Interest Accrues From	
(8)	Pay mai	obat yee) tter ed, a	Respondent provides proof to the Sta and present learning and ability in the	te Bar Court of Respondent's general law. (Rules Proc. of .2(c)(1).)  Actual Suspension "And Luirement: Respondent's prol. ) is revoked, the stay of the practice of law for , the	Interest Accrues From  Some rehabilitation, fitness to practice, f State Bar, tit. IV, Stds. for Atty.  Until" Restitution (Single bation imposed in Supreme Court previously stayed suspension is e execution of that suspension is	
(8)	Pay mai	bbat yee) tter ed, a yed Re Re	Respondent provides proof to the Sta and present learning and ability in the Sanctions for Prof. Misconduct, std. 1 tion Revoked; Probation Reinstated; with Conditional Std. 1.2(c)(1) Required (State Bar Court case No. and Respondent is suspended from the	Principal Amount  te Bar Court of Respondent's general law. (Rules Proc. of .2(c)(1).)  Actual Suspension "And Lairement: Respondent's prol. ) is revoked, the stay of the practice of law for the practice of law for the practice of law for a minimum practice of law for a minim	Interest Accrues From  Interest Accrues From	

		a.	Respondent makes restitution to of Probation or the State Bar Court, in the (or reimburses the Client Security payee, in accordance with Business and satisfactory proof to the State Bar's Office	ne amount of \$ plus  / Fund to the extent of any  I Professions Code section	payment from the Fund to such a 6140.5) and furnishes	
		b.	If Respondent remains suspended for tw State Bar Court of Respondent's rehabil in the general law. (Rules Proc. of State std. 1.2(c)(1).)	itation, fitness to practice,	and present learning and ability	
(9)		Probation Revoked; Probation Reinstated; Actual Suspension "And Until" Restitution (Payees) with Conditional Std. 1.2(c)(1) Requirement: Respondent's probation imposed in Court matter (State Bar Court case No. ) is revoked, the stay of the previously st suspension is lifted, and Respondent is suspended from the practice of law for , the exe suspension is stayed, and Respondent is placed on probation for with the following contributions of the probation of the p				
		Re	espondent must be suspended from the prespondent's probation, and Respondent watisfied:			
		a.	Respondent must make restitution, inclu (and furnish satisfactory proof of such re payees or such other recipient as may b Court (or reimburse the Client Security F payee in accordance with Business and	estitution to the Office of Properties of Properties of Properties of Properties of Europe of Eu	robation), to each of the following e of Probation or the State Bar ayment from the Fund to such	
			Payee	Principal Amount	Interest Accrues From	
		b.	If Respondent remains suspended for tw State Bar Court of Respondent's rehabil in the general law. (Rules Proc. of State std. 1.2(c)(1).)	itation, fitness to practice,	and present learning and ability	
			n to any probation conditions set probation conditions are also rec		f this stipulation, the	
(1)		order Cond 6103 Resp	ew Rules of Professional Conduct: With imposing discipline in this matter, Respondent (Rules of Professional Conduct) and Exthrough 6126. Respondent must provide a condent's compliance with this requirement of Probation) with Respondent's first quarter	ndent must read the Califor Business and Professions ( a declaration, under penalt t, to the State Bar's Office	rnia Rules of Professional Code sections 6067, 6068, and ty of perjury, attesting to	

	d. Proof of Compliance. Respondent is directed to maintain proof of Respondent's compliance with the above requirements for each such report for a minimum of one year after either the period of probation or the period of Respondent's actual suspension has ended, whichever is longer. Respondent is required to present such proof upon request by the State Bar, the Office of Probation, or the State Bar Court.
(7)	<b>State Bar Ethics School:</b> Within one year after the effective date of the Supreme Court order imposing discipline in this matter, Respondent must submit to the Office of Probation satisfactory evidence of completion of the State Bar Ethics School and passage of the test given at the end of that session. This requirement is separate from any Minimum Continuing Legal Education (MCLE) requirement, and Respondent will not receive MCLE credit for attending this session. If Respondent provides satisfactory evidence of completion of the Ethics School after the date of this stipulation but before the effective date of the Supreme Court's order in this matter, Respondent will nonetheless receive credit for such evidence toward Respondent's duty to comply with this condition.
(8)	<b>State Bar Ethics School Not Recommended:</b> It is not recommended that Respondent be ordered to attend the State Bar Ethics School because .
(9)	State Bar Client Trust Accounting School: Within one year after the effective date of the Supreme Court order imposing discipline in this matter, Respondent must submit to the Office of Probation satisfactory evidence of completion of the State Bar Client Trust Accounting School and passage of the test given at the end of that session. This requirement is separate from any Minimum Continuing Legal Education (MCLE) requirement, and Respondent will not receive MCLE credit for attending this session. If Respondent provides satisfactory evidence of completion of the Client Trust Accounting School after the date of this stipulation but before the effective date of the Supreme Court's order in this matter, Respondent will nonetheless receive credit for such evidence toward Respondent's duty to comply with this condition.
(10)	Minimum Continuing Legal Education (MCLE) Courses – California Legal Ethics [Alternative to State Bar Ethics School for Out-of-State Residents]: Because Respondent resides outside of California, within after the effective date of the Supreme Court order imposing discipline in this matter, Respondent must either submit to the Office of Probation satisfactory evidence of completion of the
	State Bar Ethics School and passage of the test given at the end of that session or, in the alternative, complete hours of California Minimum Continuing Legal Education-approved participatory activity in California legal ethics and provide proof of such completion to the Office of Probation. This requirement is separate from any MCLE requirement, and Respondent will not receive MCLE credit for this activity. If Respondent provides satisfactory evidence of completion of the Ethics School or the hours of legal education described above, completed after the date of this stipulation but before the effective date of the Supreme Court's order in this matter, Respondent will nonetheless receive credit for such evidence toward Respondent's duty to comply with this condition.
(11)	State Bar Ethics School and passage of the test given at the end of that session or, in the alternative, complete hours of California Minimum Continuing Legal Education-approved participatory activity in California legal ethics and provide proof of such completion to the Office of Probation. This requirement is separate from any MCLE requirement, and Respondent will not receive MCLE credit for this activity. If Respondent provides satisfactory evidence of completion of the Ethics School or the hours of legal education described above, completed after the date of this stipulation but before the effective date of the Supreme Court's order in this matter, Respondent will nonetheless receive credit for such evidence toward

provide proof of such completion to the Office of Probation. This requirement is separate from any MCLE requirement, and Respondent will not receive MCLE credit for this activity. If Respondent provides satisfactory evidence of completion of the hours of legal education described above, completed after the date of this stipulation but before the effective date of the Supreme Court's order in this matter, Respondent will nonetheless receive credit for such evidence toward Respondent's duty to comply with this condition. (13) Other: Respondent must also comply with the following additional conditions of probation: (14) Proof of Compliance with Rule 9.20 Obligations: Respondent is directed to maintain, for a minimum of one year after commencement of probation, proof of compliance with the Supreme Court's order that Respondent comply with the requirements of California Rules of Court, rule 9.20, subdivisions (a) and (c). Such proof must include: the names and addresses of all individuals and entities to whom Respondent sent notification pursuant to rule 9.20; a copy of each notification letter sent to each recipient; the original receipt or postal authority tracking document for each notification sent; the originals of all returned receipts and notifications of non-delivery; and a copy of the completed compliance affidavit filed by Respondent with the State Bar Court. Respondent is required to present such proof upon request by the State Bar, the Office of Probation, or the State Bar Court. (15) The following conditions are attached hereto and incorporated: Financial Conditions **Medical Conditions Substance Abuse Conditions** 

The period of probation will commence on the effective date of the Supreme Court order imposing discipline in this matter. At the expiration of the probation period, if Respondent has complied with all conditions of probation, the period of stayed suspension will be satisfied and that suspension will be terminated.

## F. Other Requirements Negotiated by the Parties (Not Probation Conditions):

(1) California Rules of Court, Rule 9.20: Respondent must comply with California Rules of Court, rule 9.20, and perform the acts specified in subdivisions (a) and (c) of that rule within 30 and 40 calendar days, respectively, after the date the Supreme Court order imposing discipline in this matter is filed. (Athearn v. State Bar (1982) 32 Cal.3d 38, 45 [the operative date for identification of clients being represented in pending matters and others to be notified is the filing date of this order].) Failure to do so may result in disbarment or suspension.

Respondent is required to file a rule 9.20(c) affidavit even if Respondent has no clients to notify on the date the Supreme Court filed its order in this proceeding. (*Powers v. State Bar* (1988) 44 Cal.3d 337, 341.) In addition to being punished as a crime or contempt, an attorney's failure to comply with rule 9.20 is, inter alia, cause for disbarment, suspension, revocation of any pending disciplinary probation, and denial of an application for reinstatement after disbarment. (Cal. Rules of Court, rule 9.20(d).)

California Rules of Court, Rule 9.20 – Conditional Requirement: If Respondent remains suspended for 90 days or longer, Respondent must comply with California Rules of Court, rule 9.20, and perform the acts specified in subdivisions (a) and (c) of that rule within 120 and 130 calendar days, respectively, after the date the Supreme Court order imposing discipline in this matter is filed. (*Athearn v. State Bar* (1982) 32 Cal.3d 38, 45 [the operative date for identification of clients being represented in pending matters and others to be notified is the filing date of this order].) Failure to do so may result in disbarment or suspension. In addition, Respondent must also comply with the probation condition at paragraph E.(14) entitled Proof of Compliance with Rule 9.20 obligations.

Respondent is required to file a rule 9.20(c) affidavit even if Respondent has no clients to notify on the date the Supreme Court filed its order in this proceeding. (*Powers v. State Bar* (1988) 44 Cal.3d 337,

(Do not wri	above this line.)		
	341.) In addition to being punished as a crime or contempt, an attorney's failure to comply with rule is, inter alia, cause for disbarment, suspension, revocation of any pending disciplinary probation, and denial of an application for reinstatement after disbarment. (Cal. Rules of Court, rule 9.20(d).)		
(3)	California Rules of Court, Rule 9.20, Requirement Not Recommended: It is not recommended to Respondent be ordered to comply with the requirements of California Rules of Court, rule 9.20, because		
(4)	<b>Other Requirements:</b> It is further recommended that Respondent be ordered to comply with the fol additional requirements:	lowing	
Attachment language (if any):			