



**ARIZONA CODE OF JUDICIAL ADMINISTRATION**  
**Part 7: Administrative Office of the Courts**  
**Chapter 2: Certification and Licensing Programs**  
**Section 7-206: Certified Reporter**

**A. Definitions.** In addition to the definitions in ACJA § 7-201(A), the following definitions apply:

“Affiliate” means an individual or entity that directly or indirectly, through one or more intermediaries, controls, is controlled by or is under common control with the individual or entity specified.

“Board” means “the board of certified reporters” as provided in A.R.S. § 32-4002(1).

“Certify” means “board authorization to engage in activities regulated by the board” as provided in A.R.S. § 32-4002(4).

“Certification” means “a standard certificate that is issued by the board to a person who meets the requirements of §§ 32-4021 and 32-4022 and does not include a temporary certificate” as provided in A.R.S. § 32-4002(2).

“Certified reporter” means “a person who is certified by the board and who records and transcribes a verbatim record in any sworn proceeding by means of written symbols or abbreviations in shorthand, machine writing or voice writing” as provided in A.R.S. § 32-4002(3).

“Chapter” means Title 32, Chapter 40, Board of Certified Reporters, Arizona Revised Statutes.

“Registered reporting firm” means an individual or entity that is registered pursuant to this section and for compensation offers to provide or provides reporting services or related services but does not personally provide the service as a certified reporter.

“Report” means “to stenographically or by voice writing record and transcribe sworn proceedings” as provided in A.R.S. § 32-4002(5).

“Temporary certificate” means a certificate that has been extended pursuant to Laws 1999, Ch. 335, § 3; Laws 2000, Ch. 41, § 13 and subsection G(4)(a).

“Voice writing” means “the making of a verbatim record of the spoken word by means of repeating words of the speaker into a device that is capable of digital translation into text” as provided in A.R.S. § 32-4002(6).

**B. – E. [No Changes]**

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

1. Code of Conduct. Each certified reporter shall adhere to the code of conduct adopted pursuant to A.R.S. § 32-4005 and subsection (J).
2. Identification. A.R.S. § 32-4003(C) provides “A certified reporter shall include the title ‘certified reporter’ or the abbreviation ‘CR’ and the reporter’s certificate number on the title or cover page of any transcript, on any business card, advertisement or letterhead and on the certificate of any transcript.”
3. Certification of Transcripts, Billings and Business Terms. ~~A.R.S. § 32-4003(B) provides~~ “A certified reporter and registered reporting firm (if the certified reporter is engaged by a registered reporting firm) shall sign and certify each transcript that the certified reporter prepares before the transcript may be used in court, except for transcripts that the reporter prepares for proceedings that occurred before July 1, 2000.” Certification shall provide that the certified reporter and registered reporting firm, if applicable, have complied with the ethical obligations set forth in (J)(1)(g)(1) and (2). A certified reporter or registered reporting firm shall also certify each bill or invoice and said certification shall provide that all aspects of the bill and invoice and other business terms comply with the ethical obligations set forth in (J)(1)(g)(3) through (6).

4. – 5. [No Changes]

**G. – I. [No Changes]**

**J. Code of Conduct.** The following code of conduct is adopted by the supreme court to apply to all certified reporters pursuant to Title 32, Chapter 40, Arizona Revised Statutes. The purpose of this code of conduct is to establish minimum standards for performance by certified reporters and registered reporting firms.

1. Ethics.
  - a. A certified reporter and registered reporting firm shall avoid impropriety and the appearance of impropriety in all professional activities, shall respect and comply with the laws and shall act at all times in a manner that promotes public confidence in the integrity and impartiality of the judicial system.
  - b. A certified reporter and registered reporting firm shall exercise fairness and impartiality toward each participant in all aspects of reported proceedings and always offer to provide comparable service to all parties in a proceeding.
  - c. A certified reporter and registered reporting firm shall have no personal or financial self-interest in the reporting of a proceeding and shall exercise caution to avoid any appearance of self-interest.

- d. A certified reporter and registered reporting firm shall be alert to situations that are conflicts of interest that may give the appearance of a conflict of interest or create an appearance of partiality.
- e. A certified reporter and registered reporting firm shall promptly make full disclosure to all parties or their representatives of any relationships which may give the appearance of a conflict of interest or partiality.
- f. A certified reporter shall refrain from knowingly making misleading, deceptive, untrue or fraudulent representations while in the practice of reporting. A certified reporter shall not engage in unethical or unprofessional conduct that is harmful or detrimental to the public in the practice of reporting. Proof of actual injury is not required.
- g. A certified reporter or registered reporting firm's certification as required by (F)(3) means the certified reporter or registered reporting firm affirms the following:
  - (1) The transcript is a full true and accurate record of the proceeding;
  - (2) The preparation, production and distribution of the transcript and copies of the transcript comply with the Arizona Revised Statutes and ACJA;
  - (3) All billings and invoicing to all the parties related in any manner to the reporting of the proceedings or cases and the production of the transcript and any products or services ancillary thereto comply with the Arizona Revised Statutes and the ACJA;
  - (4) All financial terms and other services have been offered on the same terms to all parties to the litigation;
  - (5) Each party was able to purchase the transcript and such ancillary services as requested by that party without regard to the ancillary services purchased by any party;
  - (6) No economic or other benefit was given by the certified reporter to any party or their attorney, representative, agent, or insurer or insured that was not provided to the other parties, attorneys or insureds in the same case.

~~A person holding a certificate under this section shall not enter into an employment, independent contractor, or agency relationship, which requires the certificate holder to:~~

- ~~(1) Relinquish control in a manner that prevents the certificate holder's monitoring, oversight and review of the preparation, production and distribution of the transcript and copies of the transcript before it is certified and delivered to the custodial attorney;~~
- ~~(2) Relinquish control in a manner that prevents the certificate holder's inspection and copying of records of charges, billings, and invoicing to all parties relating in any way to the reporting of the proceedings or cases and production of the transcript provided by the certificate holder and any products or services ancillary thereto;~~

- ~~(3) Provide special financial terms or other services that are not offered at the same time and on the same terms to all other parties in the litigation;~~
- ~~(4) Give any economic or other advantage to any party, or their attorney, representative, agent, or insurer; or~~
- ~~(5) Expressly or impliedly requires the certificate holder reporting any proceeding or case to perform court reporting services in any other proceeding or case at a specific rate of compensation or compels, guarantees, regulates, or controls the use of particular court reporting services in other proceedings or cases.~~

~~This subsection shall not apply to contracts for certified reporting services for the courts, agencies, or instrumentalities of the United States or of the State of Arizona.~~

- h. A certified reporter or registered reporting firm shall not provide reporting services in any action if they are: ~~shall not take a deposition in an action if the certified reporter is:~~
  - (1) A party to the action;
  - (2) A relative, employee, or attorney of one of the parties;
  - (3) Someone with a financial interest in the action or its outcome; or,
  - (4) A relative, employee, or attorney of someone with a financial interest in the action or the outcome. ~~For the purposes of this subparagraph, “employee” or “relative” shall not include an employee or relative of the attorney or one of the parties.~~
  - (5) Retained to provide court reporting services in the action by an individual or entity other than a party, a party’s attorney or a registered reporting firm. An “employee” includes a person who has a continuing contractual relationship, express or implied, with a person or entity interested in the outcome of the litigation, including anyone who may have ultimate responsibility for payment to provide reporting or other court services, and a person who is employed part time or full time under contract or otherwise by a person who has a contractual relationship with a party to provide reporting or other court services.
- i. A judicial officer may declare a deposition void if a certified reporter with an association to a matter, as described in this subsection, takes a deposition.
- j. Except as expressly set forth in this section, the provisions of section 7-206 may not be waived by disclosure, agreement, stipulation, or otherwise.
- k. A certified reporter, registered reporting firm, or their affiliates shall not provide to any individual or entity additional advocacy or litigation support services, including but not limited to claim investigation assistance, trial preparation assistance, and deposition summaries. Nothing in this subparagraph (k) should be interpreted to prevent a certified reporter, registered reporting firm or their affiliates from providing non advocacy or non litigation services (i.e., conference rooms, photocopying and teleconferencing) so long as such non advocacy or non litigation services are offered to all parties on the same terms.

1. A certified reporter or registered reporting firm with a continuing contractual relationship to provide reporting services in multiple cases with a party, attorney, or an entity with a financial interest in a case may provide reporting services in a case involving those individuals or entities only after notice of the contractual relationship is given to the lawyers in the case and any party not represented by a lawyer and if none object to the reporter or reporting firm taking the deposition. Notice of the continuing contractual relationship shall be in writing, include the duration of the relationship and whether the relationship is exclusive, and shall be given at the time the deposition is noticed, or at such time thereafter as the certified reporter or registered reporting firm is retained to provide reporting services. If written objection is received by the reporter or reporting firm within five business days of receipt of the notice, the reporter or reporting firm shall not perform the reporting services. If no written objection is received from the lawyer or party not represented by a lawyer within five business days of receipt of the notice, the reporter or firm contracted to perform the reporting services is deemed approved.

m. Subsections (J)(1)(h)(5) and (J)(1)(l) shall not apply to certified reporting services for the courts, agencies, or instrumentalities of the United States or of the State of Arizona.

2. Professionalism.

a. A certified reporter and registered reporting firm shall ensure ~~preserve~~ the confidentiality and ~~ensure~~ the security of information, verbal or written, entrusted to the certified reporter by the court or any of the parties in the proceeding is preserved. If the certified reporter or registered reporting firm uses a third party for any aspect of the preparation, production, distribution or storage of a transcript, the certified reporter or registered reporting firm, as appropriate, shall ensure that the third party maintains the confidentiality and security of the information. Unless authorized by court order or upon agreement of the parties, a certified reporter and registered reporting firm may release the transcript only to the witness, a party and the witness' or party's attorneys. A certified reporter and registered reporting firm shall not violate or knowingly aid, assist or facilitate a third party's violation of a court order regarding confidentiality. A registered reporting firm shall have in place procedures to ensure its awareness of court orders regarding confidentiality.

b. A certified reporter and registered reporting firm shall be truthful and accurate when advertising or representing the certified reporter's qualifications, skills, abilities, or the services provided.

c. A certified reporter and registered reporting firm shall maintain and observe the highest standards of integrity and truthfulness in all professional dealings.

d. A certified reporter shall keep abreast of current literature, technological advances and developments and shall fulfill ongoing training requirements to maintain professionalism.

- e. As part of the judicial department's commitment to the principle of access to justice for all and the integral role of certified reporters, certified reporters are encouraged to provide pro bono services, when requested through qualified legal assistance organizations providing free legal services to the indigent. Certified reporters providing pro bono services pursuant to this subsection shall disclose the pro bono services to all parties in the case.

### 3. Fees and Services.

- a. Except as provided in subsection (J)(2)(e), a certified reporter shall charge all parties or their attorneys in the same action the same price for an initial copy of a transcript. Additional copies purchased by the same ordering party may be charged at a reduced rate provided disclosure is made to all parties involved in the case and the same reduced rate for additional copies is provided to all parties involved in the case. Each party shall be treated as an individual party to the action and is required to purchase an initial copy at the same rate provided to all parties requesting a copy in the same action before they may obtain additional copies at a reduced rate. A certified reporter's and registered reporting firm's obligation to charge each party equally, includes but is not limited to complementary services, volume discounts, rebates, waivers or fee reductions to any party because of the individual or cumulative effect of performing reporting services in said action. A certified reporter may provide services on a pro bono basis as provided in this section.
- b. A certified reporter and a registered reporting firm shall provide in writing an itemized list of rates and charges to the witness, the parties, or the witness' and parties' attorney. The list shall be provided before the commencement of the deposition.
- ~~cb.~~ A certified reporter shall, upon request at any time, ~~disclose in writing an itemization of all rates and charges to all parties or their attorneys, or to division staff.~~ by a party or party's attorney or division staff, promptly provide in writing to the party, attorney, or division staff an itemized list of all rates and charges billed or applicable to any party or witness or their attorney(s). A certified reporter shall maintain an accurate account of services rendered and provide copies of invoices to any requesting party involved in the case or upon the request of the board or division staff.
- ~~de.~~ A certified reporter and registered reporting firm shall not enter into an agreement concerning fees that is unlawful or inconsistent with this section. ~~determine fees independently, except when established by statute or court order, entering into no unlawful agreements with other reporters on the fees to any user.~~
- ~~ed.~~ A certified reporter and registered reporting firm must charge at least 60 percent more for the original transcript than is charged for any copy. ~~shall charge no less than 60 percent more for an original transcript than what is charged for copies in all cases.~~ The charge for the original transcript includes the per diem paid for the reporter's appearance.

fe. A certified reporter and registered reporting firm shall at all times be aware of and avoid impropriety or the appearance of impropriety, which may include, but is not limited to:

- (1) Establishing contingent fees as a basis of compensation;
- (2) Directly or indirectly receiving of any gift, incentive, reward, or anything of value as a condition of the performance of professional services;
- (3) Directly or indirectly offering to pay any commission or other consideration in order to secure professional assignments;
- (4) Directly or indirectly giving, for the benefit of employment, any gift, incentive, reward or anything of value to attorneys, clients, witnesses, insurance companies or any other persons or entities associated with the litigation, or to the representatives or agents of any of the foregoing, except for:
  - (a) Nominal items that do not exceed \$25.00 per transaction and \$100.00 in the aggregate per recipient each year; and
  - (b) Pro bono services; and
- (5) Entering into any written or verbal financial relationship with counsel, parties of interest or their intermediaries that: would require a certified reporter to violate any provision of this section.
  - ~~(a) Undermines the actual or perceived impartiality of the certified reporter; or~~
  - ~~(b) Does not provide or offer any private party of interest comparable reporting services in the same proceedings.~~

g. Notwithstanding any other provision of this section, the certified reporter or registered firm may establish such individual payment terms for each party as the certified reporter or registered firm deems commercially reasonable.

#### 4. Skills and Practice.

- a. A certified reporter shall take full and accurate stenographic or voice written notes of any proceeding and shall not willfully alter the notes.
- b. A certified reporter shall accurately transcribe verbatim any stenographic or voice written notes taken at any proceeding and shall not willfully alter the transcript.
- c. A certified reporter shall provide a transcript to a client or court in a timely manner. The certified reporter shall meet promised delivery dates and make timely delivery of transcripts when no date is specified. A certified reporter shall meet transcript preparation deadlines in accordance with rules, statutes, court orders, or agreements with the parties. A certified reporter shall provide immediate notification of delays.
- d. A certified reporter shall not go "*off the record*" during a deposition or court proceeding unless agreed to by all parties or their attorneys or ordered by the court.

- e. A certified reporter shall accept only those assignments for which the reporter's level of competence will result in the preparation of an accurate transcript. The certified reporter shall decline an assignment when the reporter's abilities are inadequate.
- f. A certified reporter shall prepare the record in accordance with applicable laws, rules or court order.
- g. A certified reporter shall preserve the stenographic or voice written notes in accordance with Arizona laws, federal laws and the Arizona Rules of Court.

5. Official Reporters.

- a. An official reporter may engage in freelance reporting duties only if the following criteria are met:
  - (1) The presiding superior court judge or designee has given express authorization; the reporter's official work is up to date and there are no transcripts the reporter is preparing in which a court has granted an extension of time; and
  - (2) The presiding superior court judge or designee has authorized the reporter to take annual leave during the time the freelance work is scheduled unless:
    - (a) The freelance work is scheduled during hours the court is not open for business; or
    - (b) The presiding superior court judge or designee has granted the reporter time off in compensation for overtime previously worked.
- b. A certified reporter shall never purport to speak or act for a judge regarding judicial matters.
- c. A certified reporter shall not express an opinion as to how a case should be decided or what verdict a jury will return.

6. Performance in Accordance with Law.

- a. A certified reporter shall perform all duties and discharge all obligations in accordance with applicable laws, rules or court orders.
- b. A certified reporter shall perform the duties of the profession using only the method of reporting the applicant used to obtain certification.

**K. Fee Schedule.** Pursuant to A.R.S. § 32-4008, the supreme court shall set and collect fees necessary to carry out the provisions of Title 32, Chapter 40, Arizona Revised Statutes pertaining to the certification of certified reporters.

1. Initial Certification Fees.

- a. Initial Certification for Two Year Certification Period \$450.00

(1) For certification expiring more than one year after application date	\$450.00
(2) For certification expiring less than one year after application date	\$225.00
b. Fingerprint Processing	
(Rate as set by Arizona law and subject to change)	
2. Examination Fee for the Arizona Written Test	
a. Applicants for Initial Certification	\$ 50.00
b. Reexaminations	\$ 50.00
(For any applicant who did not pass the examination on the first attempt. The \$50.00 fee applies to each reexamination.)	
c. Reregistration for Examination	\$ 50.00
(For any applicant who registers for an examination date and fails to appear at the designated site on the scheduled date and time.)	
3. Renewal Certification Fees.	
a. Certification Renewal	\$400.00
b. Inactive Status	\$100.00
c. Late Renewal	\$ 50.00
d. Delinquent Continuing Education	\$100.00
4. Miscellaneous Fees	
a. Replacement of Certificate or Name Change	\$ 25.00
b. Public Record Request per Page Copy	\$ .50
c. Certificate of Correctness of Copy of Record	\$ 18.00
d. Reinstatement Application	\$100.00
(Application for reinstatement to certification after suspension or revocation of certification.)	

5. Registered Reporting Firm Registration Fees

- |                                |                 |
|--------------------------------|-----------------|
| a. <u>Initial Registration</u> | <u>\$100.00</u> |
| b. <u>Renewal Registration</u> | <u>\$ 50.00</u> |

**L. [No Changes]**

**M. Transcript Format Standards.** Transcripts filed by certified reporters in courts in the state of Arizona shall conform to the following standards:

1. Applicability. Each transcript prepared by a certified reporter shall consist of the following pages:
  - a. Title page;
  - b. Table of contents and index page;
  - c. Appearance page; and
  - d. Certificate page.
2. Title Page.
  - a. Court Proceedings. The title page shall contain:
    - (1) Case caption;
    - (2) The type of proceedings: grand jury, jury trial, type of motion, etc.;
    - (3) The date of proceedings;
    - (4) The city and state where the proceedings were held;
    - (5) The name of the judicial officer;
    - (6) The name of the certified reporter, title (“certified reporter” or “CR”) and certificate number;
    - (7) A clear indication that a transcript is a partial transcript or excerpt; and
    - (8) Other applicable information.
  - b. Depositions and Other Non-court Proceedings. The title page shall contain:
    - (1) Case caption;
    - (2) The type of proceedings: deposition, sworn statement, unsworn statement, etc.;
    - (3) The date of the proceedings;
    - (4) The city and state where the proceedings were held;
    - (5) The name of the certified reporter, title (“certified reporter” or “CR”) and certificate number; and
    - (6) Other applicable information: excerpts, volume number.

c. Index Page.

- (1) Court Proceedings. The index page, if applicable shall:
  - (a) Begin on a separate page;
  - (b) Show each witness name typed on the index page as it appears in the transcript: middle initial, no middle initial, full name, Jr., etc.;
  - (c) Indicate for each witness the page numbers of direct, cross, and redirect examination, etc.;
  - (d) Show other important events and the page number they occur: jury selection, opening statements, closing arguments, verdict, etc.; and
  - (e) Identify when exhibits are marked or introduced, admitted or excluded.
- (2) Depositions and Other Non-court Proceedings. The index page shall:
  - (a) Begin on a separate page;
  - (b) Show the witness name typed on the index page as it appears in the transcript: middle initial, no middle initial, full name, Jr., etc.;
  - (c) Indicate for each witness the page numbers of examination by each attorney or party;
  - (d) Show other important events and the page number they occur; and
  - (e) Identify when exhibits are marked or identified.

d. Appearance Page.

- (1) Court Proceedings. The appearance page shall:
  - (a) Begin on a separate page;
  - (b) Indicate the name of the attorneys and which party they represent. Attorney addresses may be included;
  - (c) Indicate parties appearing in propria persona; and
  - (d) Indicate the names of the grand jurors present.
- (2) Depositions and Other Non-Court Proceedings. The appearance page shall:
  - (a) Begin on a separate page;
  - (b) Identify the location where proceedings took place;
  - (c) Indicate the time the proceedings began;
  - (d) Indicate the name and address of the attorneys and which party they represent;
  - (e) Indicate parties appearing in propria persona; and
  - (f) Indicate all other individuals present in the room during the proceedings: videographers, interpreters, etc.

e. Certificate Page.

- (1) Court Proceedings. The certificate page shall:
  - (a) Begin on a separate page;
  - (b) Contain language indicating the transcript is a full, true and accurate record of the proceeding;
  - (c) Be signed and dated by the certified reporter; and
  - (d) Include the reporter's certificate number.

- (2) Depositions and Other Non-Court Proceedings. The certificate page shall:
  - (a) Begin on a separate page;
  - (b) Contain language indicating the transcript is a full, true and accurate record of the proceeding and the preparation, production and distribution of the transcript and copies comply with law and code as required by (F)(3);
  - (c) Contain language indicating the reporter administered an oath or affirmation to each witness whose testimony appears in the transcript pursuant to A.R.S. § 41-324(B);
  - (d) Be signed and dated by the certified reporter and the registered reporting firm, if any;
  - (e) Include the reporter's certificate number; and
  - (f) Indicate whether the witness has requested signature, not requested signature or waived signature.
  
- f. Transcript Formatting. All transcripts shall:
  - (1) Contain 25 numbered lines of text on each page of the body of the transcript text with the exception of the last page. One blank line may be left before transitional events or headings, for example, a witness set-up paragraph or "examination," to ensure readability;
  - (2) Contain page numbers at the upper right-hand corner. The page number does not count as a line;
  - (3) Unless otherwise requested, begin at page one for each day of proceedings, even in multiple-day proceedings;
  - (4) Contain total combined margins of text not to exceed 2 and 1/8 inches. The left-hand margin is measured from the left edge of the paper to the first character of text. The right-hand margin is measured from the right edge of the paper to the last character of text;
  - (5) Use letter character size of no fewer than nine or ten characters to the inch;
  - (6) Be double spaced in the body of the transcript;
  - (7) Begin Question and Answer ("Q and A") designations no more than five spaces from the left-hand margin;
  - (8) Begin text following Q and A designations at no more than ten spaces from the left-hand margin, with carryover Q and A lines beginning at the left-hand margin;
  - (9) Begin speaker identification for colloquy at no more than fifteen spaces from the left-hand margin, with carryover colloquy beginning at the left-hand margin;
  - (10) Begin quoted material no more than fifteen spaces from the left-hand margin, with carryover lines beginning no more than ten spaces from the left-hand margin;
  - (11) Begin parentheticals and exhibit markings no more than fifteen spaces from the left-hand margin, with carryover lines beginning at the left-hand margin; and
  - (12) Be bound in a professional manner.
  
- g. Rough Drafts. An uncertified rough draft transcript shall not include a title page, appearance page, certificate page, any mention of the swearing in of a witness, footer with firm name or reporter name or CR number, index page, page numbers, line numbers, borders around the text on each page, or time stamping.

- (1) An uncertified rough draft transcript shall include a header or footer on each page stating "UNCERTIFIED UNEDITED ROUGH DRAFT TRANSCRIPT." The phrase "UNCERTIFIED UNEDITED ROUGH DRAFT TRANSCRIPT" shall be included in the body of the text occasionally.
- (2) In lieu of a title page, each rough draft shall begin with a disclaimer stating the uncertified rough draft transcript cannot be quoted in any pleading or for any other purpose and may not be filed with any court. The disclaimer shall contain a brief identification of the contents, for example, John Smith deposition, 6/17/06. The certified reporter should keep a copy of the disclaimer.

**N. Registered Reporting Firm.** A reporting firm that employs or contracts with a certified reporter to provide services regulated pursuant to A.R.S. § 32-4001 et. seq. or this section must be registered with the division in accordance with the provisions of this section.

1. A reporting firm shall register with the division by providing to the division on a form approved by the division the following information:
  - a. Full legal name;
  - b. Address;
  - c. Telephone number;
  - d. Email address;
  - e. Contact individual, including name address, telephone number and email address.
2. Before the registration is effective:
  - a. The reporting firm shall certify, on a form acceptable to the division director, that the firm agrees to comply with the provisions of ACJA § 7-201 and this section in the same manner in which it would need to comply if it were a certified reporter;
  - b. The reporting firm shall agree to submit to the jurisdiction of the Supreme Court to the extent it has performed activities regulated by this section;
  - c. The reporting firm shall pay the fee set forth in paragraph K.
3. A registered reporting firm registration expires on January 31st following the fifth anniversary of its issuance and may be renewed by filing a renewal application on a form acceptable to the division director that provides the information and certifications set forth in subparagraphs 1 and 2 of this paragraph.
4. A registered reporting firm that contracts with or employs a certified reporter to perform services regulated by this section shall ensure that in the performance of those duties the certified reporter and registered reporting firm adhere to the provisions of this section.

5. A registered reporting firm that fails to comply with its obligations as set forth in this section may have its registration revoked, suspended or the registered reporting firm may receive such other discipline as a certified reporter may receive upon finding by the Board that the registered reporting firm violated the provisions of this section. Any disciplinary action imposed upon a registered reporting firm is also imposed upon the registered reporting firm's affiliates. If the registered reporting firm's registration is revoked the firm may not reapply for registration for twelve months and before being re-registered the Board must determine that the conduct resulting in the revocation is unlikely to reoccur.