DEPARTMENT OF CONSUMER AFFAIRS
PFB
PROFESSIONAL FIDUCIARIES BUREAU

BUSINESS, CONSUMER SERVICES AND HOUSING AGENCY • GAVIN NEWSOM, GOVERNOR
DEPARTMENT OF CONSUMER AFFAIRS • PROFESSIONAL FIDUCIARIES BUREAU
1625 North Market Blvd., Suite S-209, Sacramento, CA 95834
P (916) 574-7340 | F (916) 574-8645 | www.fiduciary.ca.gov

CITATION ORDER

Name: Iris Ulrike Hecker

Address: P.O. Box 3706, Redwood City, CA 94064

License Number: PF – 753

Case Number: PF – 2023 – 152

Issue Date: April 12, 2024

Fine Amount: $5,000

Order of Abatement/Correction Included: Yes

Due Date for Administrative Fine: May 13, 2024

Due Date for Order of Abatement: April 26, 2024

I, Rebecca May, hereby issue this citation solely in my official capacity as Bureau Chief of the Professional Fiduciaries Bureau (Bureau) for the Department of Consumer Affairs.

CITATION

The Bureau is authorized to issue citations containing orders of abatement and/or administrative fines pursuant to Business and Professions Code (BPC) sections 125.9 or 6580(b)(1) against a professional fiduciary who has committed any acts or omissions which are in violation of the Professional Fiduciaries Act or the regulations contained in California Code of Regulations (CCR), title 16, division 41. The Bureau has determined that cause exists to issue a citation to you for the violations described below.

REASON FOR CITATION

Your professional fiduciary license expires annually on the last day of February and your annual statement is due sixty days prior to the expiration of your license on December 30. On November 12, 2013, upon passing the professional fiduciary licensing examination, the Bureau sent a letter to you with a Notice of Licensee Responsibilities, which outlined your reporting responsibilities upon licensure.

Your 2024 annual statement, renewal fees and verification of continuing education completion have not been received by the Bureau and your license is currently expired.

The Bureau conducted an audit of your licensing file and determined the annual statements you submitted for 2015, 2016, 2017, 2018, 2019, 2020, 2021, 2022, and 2023 were received by the Bureau after December 30. Your annual statements for 2015, 2016, 2017, and 2018 were received by the Bureau after your license had already expired. Further, your license was expired from March 2017 until May 2018 because your 2017 annual statement was received over a year after your license expired. During the times your license was expired, you continued to operate and hold yourself out to the public as a professional fiduciary. The Bureau's records indicate you currently have 15 open cases under your management, exceeding the number of cases you are permitted to have without a valid professional fiduciary license.

VIOLATIONS

- BPC Section 6530 – "On and after January 1, 2009, no person shall act or hold himself or herself out to the public as a professional fiduciary unless that person is licensed as a professional fiduciary in accordance with the provisions of this chapter."

- BPC Section 6531 states – "A professional fiduciary shall not operate with an expired, suspended, retired, canceled, or revoked license."

- BPC Section 6562 states - "The annual statement shall be filed with the bureau 60 days prior to the expiration of the license as provided in subdivision (a) of Section 6541."

- CCR Section 4442(a)(1) states – "(1) To renew a license, a licensee shall earn during each annual renewal period a minimum of fifteen (15) hours of continuing education credit from approved education courses as defined in Section 4444 subject to the conditions of this Article."

- CCR Section 4540(b) states – "A licensee is required to file an annual statement that complies with the requirements of Section 4542 no later than sixty (60) days prior to the expiration of the license. A licensee may be subject to cite or fine or disciplinary action for failure to comply with this subdivision."

- CCR Section 4560(b) and (c) state – "(b) For license renewal, a licensee shall have met the annual reporting requirements of subdivision (b) of Section 4540, show proof of compliance with the continuing education requirements of Section 4442, and submit the renewal fee as required in Section 4580. (c) For the first license renewal following the initial license period as provided in Section 4428, each licensee shall comply with the continued education requirements of Section 4442."

- CCR Section 4580(c) and (d) state – "(c) The renewal fee for a license, except for an inactive license, shall be seven hundred dollars ($700). (d) The delinquency fee for a license shall be one hundred and fifty dollars ($150). Delinquency fees shall not apply to a license placed in an inactive or retired status pursuant to Section 4564 or 4572 of this Division."

ORDER OF ABATEMENT AND CORRECTIVE ACTION

The Bureau hereby directs you to:

1. Submit a complete and accurate annual statement that complies with CCR Section 4542.

2. Provide proof of completion of CE requirements.

3. Pay the renewal fee, including any delinquent fees.

OR

1. Submit a complete and accurate final annual statement that complies with CCR Section 4542 that contains case closure information for all open cases previously reported to the Bureau;

2. Provide documentation of resignation, removal, replacement, and/or discharge from cases you previously reported to the Bureau; and,

3. Provide proof that your website and social media/professional networking accounts (i.e. Linked In, etc.) naming you as a professional fiduciary have been removed.

Under the provisions of CCR, title 16, section 4610(b), if the order of abatement is not contested or if the order is appealed and the person or entity cited does not prevail, failure to abate the violation charged within the time specified in the citation shall constitute a violation and failure to comply with the order of abatement. Failure to timely comply with an order of abatement may result in disciplinary action being taken by the Bureau or other appropriate judicial relief being taken against you.

ADMINISTRATIVE FINE ASSESSED

The fine for this violation is $5,000.

Pursuant to BPC Section 125.9, failure to pay a fine within 30 days of the date of assessment, unless the citation is being appealed, may result in disciplinary action being taken by the Bureau. Further, if the citation is not contested, and the fine not paid, the full amount of the assessed fine shall be added to the fee for renewal of the license. A license shall not be renewed without full payment of any outstanding fines.

COMPLIANCE WITH CITATION

Payment of the administrative fine is required on or before **May 13, 2024**.

Evidence of compliance with the order of abatement due on or before **April 26, 2024**.

Payment of the administrative fine, if any, and compliance with the order of abatement will be considered satisfactory resolution of the violation(s) cited.

APPEAL OF CITATION

You have the right to contest this citation through an informal conference pursuant to CCR Section 4606 or an administrative hearing in accordance with Chapter 5 (Commencing with Section 11500) of Part 1 of Division 3 of Title 2 of the Government Code. Please see the information on contesting this citation attached.

EFFECTIVE DATE OF THE CITATION

A citation that is not contested will become a final order of the Bureau 30 days after the date of issuance.

PAYMENT OF CITATION

Payment shall be made payable to:

Professional Fiduciaries Bureau
1625 North Market Blvd., Suite S-209
Sacramento, CA 95834

Please indicate the citation number on the cashier's check, money order, or personal check.

Issuance of a citation is subject to public disclosure. Notwithstanding any other provision of law, if a fine is paid to satisfy an assessment based on the finding of a violation, payment of the fine and compliance with the order of abatement, if applicable, shall be represented as a satisfactory resolution of the matter for purposes of public disclosure, pursuant to BPC 125.9 (d).

[Signature on file]	April 12, 2024
_____	_____
Rebecca May, Bureau Chief Professional Fiduciaries Bureau Department of Consumer Affairs	Date