

Court Reporters & Court Reporting Firms

Sanctions Matrix

Under Texas Government Code section 153.004, the Judicial Branch Certification Commission (Commission) may reprimand, deny, revoke, suspend, or refuse to renew a certification, registration, or license of a regulated persons, including certified court reporters and court reporting firms, for a violation of applicable statutes, rules, and ethical standards, and/or orders issued by the director or Commission. The Commission may place on probation a person whose certification, registration, or license is suspended and may require the person: (1) report regularly to the Commission on matters that are the basis of the probation; (2) limit practice to areas prescribed by the Commission; or (3) continue or review professional education until the person attains a degree of skill satisfactory to the Commission in those areas that are the basis for the probation. Per Texas Government Code sections 153.051-.052, the Commission is also authorized to issue administrative penalties for such violations in the maximum amount of \$500. Each day a violation continues or occurs is a separate violation for purposes of imposing an administrative penalty.

The Sanctions Matrix provides general guidelines for the Court Reporter Complaint Review Committee and the Commission for imposing sanctions and administrative penalties. The Commission and the Committee are not bound by the sanctions specified in this Sanctions Matrix. Upon a finding of mitigating or aggravating facts or circumstances, the Commission and Committee may deviate from these guidelines.

The sanction and/or administrative penalty may be based on:

- The seriousness of the violation, including the nature, circumstances, extent, and gravity of the violation;
- The threat to health or safety caused by the violation;
- Any previous violations;
- The amount necessary to deter a future violation;
- Whether the violator demonstrated good faith, including, when applicable, whether the violator made good faith efforts to correct the violation; and
- Any other matter that justice requires.

VIOLATIONS BY COURT REPORTERS

Violation	Section	Suggested Maximum Sanction
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Failing to furnish transcript within 120 days of application and payment	Gov't Code § 52.047(a)	Reprimand and \$300 administrative penalty
Practicing as an official court reporter or a deputy court reporter without being certified by the Texas Supreme Court	Gov't Code § 151.101(a)	\$500 administrative penalty per incident if unlicensed at the time the case is considered; revocation if licensed at the time the case is considered
Practicing court reporting in Texas without a court reporter certification issued by the Texas Supreme Court through the Commission.	Gov't Code § 151.101(b); Code of Ethics 2(a)	\$500 administrative penalty per incident if unlicensed at the time the case is considered; revocation if licensed at the time the case is considered
Using the titles "court recorder," "court reporter," "shorthand reporter," or any abbreviation, title, designation, words, letters, sign, card, or device tending to indicate that the person is a court reporter or shorthand reporter without being certified as a court reporter or provisional shorthand reporter by the Texas Supreme Court through the Commission	Gov't Code § 151.101(e)	\$500 administrative penalty per incident if unlicensed at the time the case is considered; revocation if licensed at the time the case is considered
Engaging in fraud or corruption	Gov't Code § 154.110(a)(1)	Revocation and \$500 administrative penalty
Engaging in dishonest conduct	Gov't Code § 154.110(a)(2)	Revocation and \$500 administrative penalty
Engaging in willful or negligent violation or failure of duty	Gov't Code § 154.110(a)(3)	Suspension and \$500 administrative penalty
Engaging in incompetent behavior	Gov't Code § 154.110(a)(4)	Revocation and \$500 administrative penalty
Engaging in fraud or misrepresentation in obtaining certification	Gov't Code § 154.110(a)(5)	Revocation and \$500 administrative penalty
Being convicted of a felony or misdemeanor directly related to the duties and responsibilities of a certified shorthand reporter	Gov't Code § 154.110(a)(6) Commission rules 3.5 and 6.8(a)(6) Commission's Criminal History Guidelines	Revocation and \$500 administrative penalty
Engaging in the practice of shorthand reporting using a method for which the court reporter is not certified	Gov't Code § 154.110(a)(7)	Suspension and \$500 administrative penalty

Engaging in the practice of shorthand report while certification is suspended	Gov't Code § 154.110(a)(8)	Revocation and \$500 administrative penalty
Engaging in unprofessional conduct, including giving directly or indirectly, benefitting from, or being employed as a result of any gift, incentive, reward, or anything of value to attorneys, clients, or their representatives or agents, except for nominal items that do not exceed \$100 in aggregate for each recipient each year	Gov't Code § 154.110(a)(9)	\$350 administrative penalty
Entering into or providing services under a prohibited contract, written or oral, exclusive, or nonexclusive that: (1) undermines the impartiality of the court reporter; (2) requires a court reporter to relinquish control of an original deposition transcript and copies of the transcript before it is certified and delivered to the custodial attorney; (3) requires a court reporter to provide any services not available to all parties in an action; (4) gives or appears to give an exclusive advantage to any party; or (5) restricts an attorney's choice in the selection of a court reporter or shorthand reporting firm. *Note (2) and (3) do not apply to a contract for court reporting services for a court, agency, or instrumentality of the United States or Texas	Gov't Code § 154.110(a)(10)	Revocation and \$500 administrative penalty
Committing any other act that violates Government Code chapter 154 or a rule or provision of the Code of Ethics for Certified Shorthand Reporters and Court Reporting Firms	Gov't Code § 154.110(a)(11)	\$300 administrative penalty
Entering into or providing services under any contractual agreement, written or oral, exclusive or nonexclusive, that: (1) undermines the impartiality of the court reporter; (2) requires a court reporter to relinquish control of an original deposition transcript and copies of the transcript before it is certified and delivered to the custodial attorney; (3) requires a court	Gov't Code § 154.115	Revocation and \$500 administrative penalty

reporter to provide any services not made available to all parties to an action; (4) gives or appears to give an exclusive advantage to any party; or (5) restricts an attorney's choice in the selection of a court reporter or shorthand reporting firm. *(2) and (3) do not apply to a contract for court reporting services for a court, agency, or instrumentality of the United States or Texas.		
LICENSE AND REGISTRATION REQUIREMENTS		
Offering court reporting services without being certified, unless otherwise authorized by rule or statute	Code of Ethics 2(a)	\$500 administrative penalty per incident, if unlicensed at the time the case is considered; revocation if licensed at the time the case is considered
Offering or engaging in court reporting when certification is not current and not in good standing *Good standing means not revoked, suspended, or expired and eligible for renewal	Code of Ethics 2(b)	\$500 administrative penalty per incident, if unlicensed at the time the case is considered; revocation if licensed at the time the case is considered
Being suspended or revoked by another state of federal jurisdiction	Code of Ethics 2(c)	Probated suspension and \$500 administrative penalty
PROFESSIONAL JUDGMENT		
Taking action or attempting to influence, directly or indirectly, the sound professional judgment of another certified court reporter or cause a certified court reporter or court reporting firm to violate the Code	Code of Ethics 3(a)	Revocation and \$500 administrative penalty
Allowing an uncertified person or unregistered entity to interfere with or intervene in the court reporter's practice of court reporting	Code of Ethics 3(b)	Suspension and \$350 administrative penalty
Engaging in relationships which could result in an uncertified court reporter's or an unregistered entity's interfering with or intervening in the court reporter's practice	Code of Ethics 3(d)	Probated suspension and \$350 administrative penalty

HONESTY, INTEGRITY, AND FAIR DEALING		
Failing to offer or render court reporting services with honesty, integrity, and fair dealing	Code of Ethics 4(a)	Reprimand and \$350 administrative penalty
Failing to deliver transcripts and reporter's records to a client, court, or court reporting firm in a timely manner as determined by statute, court order, or agreement	Code of Ethics 4(b)(1)	Reprimand and \$350 administrative penalty
Failing to produce complete, not partial, transcripts and reporter's records, except when an order of a court, agreement of the parties, or a request of a party allows for the production of a partial transcript or a partial reporter's record	Code of Ethics 4(b)(2)	Reprimand and \$350 administrative penalty
Failing to provide notice of a request for a transcript or a reporter's record to all parties or, if applicable, their attorneys on behalf of the parties in a timely manner which allows for the delivery of copies when the original is delivered	Code of Ethics 4(b)(3)	Reprimand and \$200 administrative penalty
Failing to report continuously during a deposition and going "off the record" when all parties or their attorneys do not agree to do so or when it was not ordered by the Court	Code of Ethics 4(c)	Reprimand and \$400 administrative penalty
Failing to go "on the record," or resume court reporting, during a deposition at the request of any party or the party's attorney	Code of Ethics 4(d)	Reprimand and \$350 administrative penalty
Giving, directly or indirectly, an incentive, reward, cash, negotiable instrument, or anything else of value to attorneys, clients, witnesses, insurance companies, or any other person or entity involved in, associated with, or otherwise interested in litigation for which the reporter or firm offers or renders court reporting services *This prohibition does not apply to: (1) Nominal items that do not exceed \$100 in the aggregate for each recipient each year; (2) Value-	Code of Ethics 4(e)	Reprimand and \$250 administrative penalty

added business services, including long-term volume discounts on the price of products and services; and (3) Gifts made to family or friends which are made for reasons unrelated to the litigation		
BEHAVIOR		
Failing to treat lawyers and members of the judiciary with respect	Code of Ethics 5(a)	Reprimand and \$500 administrative penalty
Failing to act in a professional manner and demonstrate respect for the Court and the law in each legal proceeding	Code of Ethics 5(b)	Reprimand and \$500 administrative penalty
Engaging in any conduct that offends the dignity and decorum of any legal proceeding	Code of Ethics 5(c)	Reprimand and \$500 administrative penalty
RETENTION OF NOTES		
Failing to preserve shorthand notes for a period of three (3) years, unless a statute or court order specifies a longer retention period or unless a litigant requests in writing a longer retention period The court reporter must preserve the shorthand notes by storing the original paper notes or by maintaining an electronic copy of either the shorthand notes or the English transcript of the notes on computer disks, cassettes, backup tape systems, optical or laser disc systems, or any other reliable storage media	Code of Ethics 6(a)	Reprimand and \$350 administrative penalty
Violating continuing duty to prepare a reporter's record for proceedings conducted while serving as an official court reporter, deputy official court reporter, or freelance court reporter, even after he or she has resigned or has retired or is no longer providing court reporting services	Code of Ethics 6(b)	Reprimand and \$350 administrative penalty
COMPETENCY		
Failing to produce an accurate transcript or reporter's record	Code of Ethics 7(a)	Probated suspension and \$350 administrative penalty

Failing to engage in the practice of shorthand reporting by using only the method for which the reporter was certified	Code of Ethics 7(b)	Probated suspension and \$350 administrative penalty
Failing to prepare all reporter's records for use in litigation in the courts of this state in accordance with the Uniform Format Manual for Texas Court Reporters	Code of Ethics 7(c)	Probated suspension and \$350 administrative penalty
Knowingly accepting any shorthand reporting assignment that is beyond the reporter's competence	Code of Ethics 7(d)	Probated suspension and \$500 administrative penalty
Failing to meet promised delivery dates whenever possible, make timely delivery of transcripts when no date is specified, and provide immediate notification of delays	Code of Ethics 7(e)	Reprimand and \$250 administrative penalty
Providing any other services or serve in any other capacity, including, but not limited to CART and videography, during a legal proceeding	Code of Ethics 7(f)	Reprimand and \$500 administrative penalty
DUTY TO NOTIFY		
Failing to exercise professional judgment and immediately notify the parties, attorneys, or the Court if the requested court reporting duties are beyond the court reporter's expertise.	Code of Ethics 8(a)	Reprimand and \$350 administrative penalty
Failing to notify the parties, attorneys, or the Court, if the reporter is not able to meet court-imposed or reasonable client deadlines for delivery of transcripts	Code of Ethics 8(b)	Reprimand and \$350 administrative penalty
OBSERVANCE OF CONFIDENTIALITY		
Failing to preserve the confidentiality and ensure the security of information, oral or written, entrusted to the reporter or the firm by any of the parties in a proceeding. A certified court reporter must not sell or otherwise provide a copy of a deposition transcript to any person or entity other than a deponent, a party to the proceeding, or a party's attorney without leave of court	Code of Ethics 9	Probation and \$500 administrative penalty

MISCONDUCT		
Violating the Code or knowingly assisting or inducing another person to do so, or violating this Code through the acts of another	Code of Ethics 10(a)	Revocation and \$500 administrative penalty
Engaging in fraud or deceit in obtaining a certificate as a certified reporter	Code of Ethics 10(b)	Revocation and \$500 administrative penalty
Misrepresenting the court reporter's certification, credentials, education, or professional or business titles	Code of Ethics 10(c)	Reprimand and \$500 administrative penalty
Engaging in any conduct involving dishonesty, fraud, deceit, or misrepresentation	Code of Ethics 10(d)	Revocation and \$500 administrative penalty
Engaging in conduct constituting obstruction of justice	Code of Ethics 10(e)	Revocation and \$500 administrative penalty
Being held in contempt by a state or federal court	Code of Ethics 10(f)	Revocation and \$500 administrative penalty
Failing to furnish to the Commission a response or other information within the timeframe requested or timely assert in good faith a privilege or other legal ground for failure to do so.	Code of Ethics 10(g) and Commission rule 3.12(b)	Reprimand and \$250 administrative penalty
Offering or rendering court reporting under the following circumstances: (1) The court reporter is on inactive status; (2) The certification or registration, respectively, to practice court reporting is suspended or terminated; (3) The certification or registration, respectively, to practice court reporting is administratively suspended for failure to pay required fees; or (4) The court reporter's certification is suspended for failure to comply with continuing education rules adopted by the Supreme Court.	Code of Ethics 10(h)	Probated suspension to revocation and \$250 to \$500 administrative penalty
Working for a court reporting firm that is on inactive status or that has a suspended or terminated registration.	Code of Ethics 10(j)	Probated suspension and \$400 administrative penalty
Violating a Commission order or negotiated settlement with the Commission to resolve a complaint	Code of Ethics 10(k)	Probated suspension to revocation and

against the court reporter, unless the Commission order or negotiated settlement was lawfully stayed at the time in question		\$250 to \$500 administrative penalty
<p>Being convicted of criminal offenses that demonstrate a lack of honesty, trustworthiness, or integrity</p> <p>The Commission will evaluate criminal offenses and determine appropriate action in accordance with Rule 3.5 and the Commission’s Criminal History Guidelines for certified shorthand reporters</p> <p>The Commission will evaluate the criminal offense for which deferred adjudication is imposed upon a certified shorthand reporter in accordance with the Criminal History Guidelines and may suspend or revoke the reporter’s certification or the firm’s registration in accordance with the Guidelines</p>	Code of Ethics 10(l)	Sanction based on Commission rule 3.5 and the Commission’s Criminal History Guidelines
Failing to respond to a party’s inquiry within a reasonable time. Repeated failure to respond without good cause is misconduct.	Code of Ethics 10(m)	Reprimand and \$250 administrative penalty
Misrepresenting facts, qualifications, or make misleading or deceitful statements to parties.	Code of Ethics 10(n)	Probated suspension and \$500 administrative penalty
Falsely swearing or committing perjury in any communication regarding court reporting to the Commission or to any court or other governmental entity before which the court reporter renders court reporting.	Code of Ethics 10(o)	Revocation and \$500 administrative penalty
Threatening, assaulting, or retaliating against parties; making libelous or slanderous statements; or making false public allegations that a party lacks mental capacity	Code of Ethics 10(p)	Revocation and \$500 administrative penalty
Causing or being party to, directly or indirectly, a breach in the security of the court reporter certification examination or any court proceeding.	Code of Ethics 10(q)	Revocation and \$500 administrative penalty

<p>Entering into, or providing services Under a prohibited contract described by Section 154.115 of the Texas Government Code</p>	<p>Code of Ethics 10(r)</p>	<p>Reprimand or Probated suspension and \$250 to \$400 administrative penalty</p>
<p>AVOID CONFLICTS OF INTEREST</p>		
<p>Failing disclose to all parties or their attorneys existing or past financial, business, professional, family or social relationships, including contracts for court reporting services, that might reasonably create an appearance of partiality.</p>	<p>Code of Ethics 11(a)</p>	<p>Probated suspension and \$350 administrative penalty</p>
<p>Failing to immediately disclose to the court reporting firm existing or past financial, business, professional, family, or social relationships, including contracts for court reporting services, that might reasonably create an appearance of partiality. A court reporting firm has the same duty to immediately disclose to a certified shorthand reporter upon assignment, existing or past financial, business, professional, family, or social relationships, including contracts for court reporting services, that might reasonably create an appearance of partiality.</p>	<p>Code of Ethics 11(b)</p>	<p>Probated suspension and \$350 administrative penalty</p>
<p>Failing to disclose a conflict within five days after the deposition or other reporting assignment is booked, but no later than three days before such deposition or other reporting assignment is held. The court reporter must disclose a conflict immediately if the deposition or other reporting assignment is booked less than three days before it is to be held.</p>	<p>Code of Ethics 11(c)</p>	<p>Probated suspension and \$350 administrative penalty</p>
<p>Reporting in a legal proceeding in which the court reporter is related within the second degree by affinity or consanguinity to a party or to an attorney for a party to the proceeding</p>	<p>Code of Ethics 11(d)</p>	<p>Suspension and \$500 administrative penalty</p>

and failing to disclose the relationship in writing to all parties and to the Court as soon as practicable. The court reporter must not provide court reporting of the legal proceeding, unless: (1) There is no objection to using the reporter from a party or the court due to the relationship; or (2) The Court enters an order finding that the relationship does not affirmatively create an apparent or actual partiality and good cause exists to permit the use of the reporter.		
Rendering court reporting in a legal proceeding in which the reporter has a financial interest or a firm or entity with which the court reporter is associated has a financial interest	Code of Ethics 11(e)	Suspension and \$500 administrative penalty
Failing to be fair and impartial toward each participant in a legal proceeding	Code of Ethics 11(f)	Suspension and \$500 administrative penalty
Failing to refrain from freelance court reporting which interferes with official duties and obligations	Code of Ethics 11(g)	Reprimand and \$500 administrative penalty
EXPOSE CORRUPT OR DISHONEST CONDUCT OF CERTIFIED SHORTHAND REPORTERS AND COURT REPORTING FIRMS		
Failing to report to the Commission any factual evidence or circumstances that create a reasonable belief that a certified shorthand reporter or court reporting firm violated this Code	Code of Ethics 12(a)	Reprimand and \$500 administrative penalty
Attributing bad motives or unethical conduct to another reporter or firm without good cause. A court reporter must not bring the profession into disrepute by making unfounded accusations of impropriety.	Code of Ethics 12(b)	Probated suspension and \$350 administrative penalty
Filing a frivolous complaint with the Commission	Code of Ethics 12(c)	Reprimand and \$350 administrative penalty
SUPERVISORY RESPONSIBILITIES		
Failing to take responsibility for an unlicensed person whom the court reporter employs or supervises in the preparation of a transcript or reporter's record	Code of Ethics 13(a)	Reprimand and \$350 administrative penalty

<p>Failing to take reasonable remedial action to avoid or mitigate the consequences of a violation of the Code by a person under the reporter’s direct supervisory authority</p> <p>A reporter is subject to disciplinary action if the reporter knows or reasonably should have known of the supervisee’s violation but fails to take reasonable remedial action.</p>	Code of Ethics 13(b)	Reprimand and \$500 administrative penalty
CONTACT INFORMATION		
<p>Failing to record a current mailing address on the application form</p> <p>Each court reporter must maintain a current mailing address on file with the Commission by recording it on the form filed for renewal of certification or registration, respectively</p> <p>Each court reporter must also report a change of address within 30 days after the effective date of the address change</p>	Code of Ethics 14(a)	Reprimand and \$150 administrative penalty
DISPLAY OF LICENSE; COMPLAINT INFORMATION AND NOTICE TO CLIENTS		
<p>Displaying a certificate when the court reporter’s certification is not current and is not in good standing</p> <p>A reporter must provide proof of certification upon request by the court or parties to an action or assignment</p>	Code of Ethics 15(b)	Reprimand and \$500 administrative penalty
<p>Failing to provide, upon request, information necessary to file complaints about the reporter’s services with the Commission</p> <p>The information must include the current mailing address, phone number, and email address of the Commission</p>	Code of Ethics 15(c)	Reprimand and \$250 administrative penalty
ADVERTISING		
<p>Advertising in a manner that is false, fraudulent, misleading, or deceptive</p>	Code of Ethics 16(a)	Reprimand and \$500 administrative penalty
<p>Advertising falsely or otherwise misrepresenting the qualifications of a</p>	Code of Ethics 16(b)	Reprimand and \$300 administrative penalty

reporter or firm, including the reporter's or firm's professional designations or membership in professional organizations		
FEES		
Providing court reporting services on a contingent fee basis	Code of Ethics 17(a)	Reprimand and \$250 administrative penalty
Failing to charge all parties to an action the same price for an original transcript or reporter's record	Code of Ethics 17(b)	Reprimand and \$300 administrative penalty
Failing to charge all parties to an action the same price for a copy of a transcript or reporter's record or for like services performed in an action	Code of Ethics 17(c)	Reprimand and \$300 administrative penalty
Failing to disclose in writing to all parties or their attorneys upon request at any time an itemization of all rates and charges.	Code of Ethics 17(d)	Reprimand and \$100 administrative penalty
CONTINUING EDUCATION		
Failing to comply with the continuing education requirements as set out in Rules 4.1, 4.2, 4.3, and 6.6 of the Rules of the Judicial Branch Certification Commission adopted by the Supreme Court of Texas	Code of Ethics 18(a)	Reprimand and \$250 administrative penalty
A certified shorthand reporter must not file a document with the Commission which includes false, misleading, or deceptive statements regarding the reporter's compliance with continuing education requirements. A reporter who falsely reports compliance with continuing education requirements may be subject to disciplinary action by the Commission.	Code of Ethics 18(b)	Suspension and \$500 administrative penalty
Obtaining or accepting a certificate of completion or certificate of attendance from a continuing education provider unless the reporter completed or attended the continuing education activity	Code of Ethics 18(c)	Reprimand and \$500 administrative penalty

A reporter who obtains or receives an inaccurate certificate of completion or certificate of attendance is subject to disciplinary action by the Commission		
Cheating, using unauthorized materials, or receiving unauthorized assistance during an exam to complete continuing education requirements is subject to disciplinary action by the Commission.	Code of Ethics 18(d)	Revocation
PROHIBITED DISCRIMINATORY ACTIVITIES		
Willfully manifesting bias or prejudice based on race, color, national origin, religion, disability, age, sex, or sexual orientation towards any person involved in an action or proceeding.	Code of Ethics 19	Suspension and \$500 administrative penalty

VIOALTIONS BY COURT REPORTING FIRMS AND AFFILIATE OFFICES

Using the title “court recording firm,” “court reporting firm,” or shorthand reporting firm,” or any abbreviation, title, designation, words, letters, sign, card, or device tending to indicate that the firm is a court reporting firm without being certified by the Commission.	Gov’t Code § 151.106(a)	\$500 administrative penalty per incident if unlicensed at the time the case is considered; revocation if licensed at the time the case is considered.
Offering services as a court reporting firm or shorthand reporting firm, without the firm or its affiliate being certified by the Commission on a form prescribed by the Commission	Gov’t Code § 156.106(a)	\$500 administrative penalty per incident if unlicensed at the time the case is considered; revocation if licensed at the time the case is considered.
Engaging in fraud or corruption	Gov’t Code § 154.111(a)(1); Code of Ethics 10(1)	Revocation and \$500 administrative penalty
Engaging in dishonest conduct	Gov’t Code § 154.111(a)(2)	Revocation and \$500 administrative penalty
Conduct on the part of an officer, director, or managerial employee of the shorthand reporting firm or affiliate office if the officer, director, or	Gov’t Code § 154.111(a)(3)	Probated suspension and \$350 administrative penalty

managerial employee knows or should have known violates subchapter C.		
Engaging in fraud or misrepresentation in obtaining registration	Gov't Code § 154.111(a)(5)	Revocation and \$500 administrative penalty
Having a final conviction of an officer, director, or managerial employee of a shorthand reporting firm or affiliate office for a felony or misdemeanor that is directly related to the provision of court reporting services, as determined by Texas Supreme Court rules	Gov't Code § 154.111(a)(6)	Revocation and \$500 administrative penalty
Engaging in services of a court reporter that the shorthand reporting firm or affiliate office knew or should have known was using a method for which the reporter is not certified.	Gov't Code § 154.111(a)(7)	Probated suspension and \$350 administrative penalty
Knowingly providing court reporting services while the shorthand reporting firm's or affiliate office's registration is suspended or engaging the services of a shorthand reporter whose certification the shorthand reporting firm or affiliate office knew or should have known was suspended	Gov't Code § 154.111(a)(8)	Revocation and \$500 administrative penalty
Engaging in unprofessional conduct, including: (a) giving directly or indirectly or benefitting from or being employed as a result of giving any gift, incentive, reward, or anything of value to attorneys, clients, or their representatives or agents, except for nominal items that do not exceed \$100 in aggregate for each recipient each year; or (b) repeatedly committing to provide at a specific time and location court reporting services for an attorney in connection with a legal proceeding and unreasonably failing to fulfill the commitment under the terms of that commitment	Gov't Code § 154.111(a)(9)	\$350 administrative penalty
Entering into or providing services under a prohibited contract described in section 154.115 of the Texas Government Code	Gov't Code § 154.111(a)(10)	Reprimand or Probated suspension and \$250 to \$400 administrative penalty
Committing any other act that violates chapter 154 of the Texas Government	Gov't Code § 154.111(a)(11)	\$300 administrative penalty

Code or Code of Ethics for Certified Shorthand Reporters and Court Reporting Firms		
Offering or engaging in court reporting when the firm's registration is not current and not in good standing *Good standing means not revoked, suspended, or expired and eligible for renewal	Code of Ethics 2(b)	Reprimand and \$500 administrative penalty
PROFESSIONAL JUDGMENT		
Causing a certified court reporter or court reporting firm to violate the Code	Code of Ethics 3(a)	Revocation and \$500 administrative penalty
Changing the record of a court reporter *The court reporter may grant permission to the court reporting firm to correct identified errors on the title page, appearance page, or index page of the specific reporter's record	Code of Ethics 3(b)	Probated suspension and \$350 administrative penalty
Failing to take responsibility for the actions of the firm Firms are directly responsible to the parties, the Court, or both, in carrying out court reporting duties in accordance with the Code	Code of Ethics 3(f)	Probated suspension and \$350 administrative penalty
HONESTY, INTEGRITY, AND FAIR DEALING		
Failing to offer or render court reporting services with honesty, integrity, and fair dealing	Code of Ethics 4(a)	Reprimand and \$350 administrative penalty
Failing to deliver transcripts and reporter's records to a client, court, or court reporting firm in a timely manner as determined by statute, court order, or agreement	Code of Ethics 4(b)(1)	
Production of complete, not partial, transcripts and reporter's records, except when an order of a court, agreement of the parties, or a request of a party allows for the production of a partial transcript or a partial reporter's record	Code of Ethics 4(b)(2)	
Providing notice of a request for a transcript or a reporter's record to all parties or, if applicable, their attorneys on behalf of the parties in a timely manner which allows for the delivery of	Code of Ethics 4(b)(3)	

copies when the original is delivered.		
Giving, directly or indirectly, an incentive, reward, cash, negotiable instrument, or anything else of value to attorneys, clients, witnesses, insurance companies, or any other person or entity involved in, associated with, or otherwise interested in litigation for which the reporter or firm offers or renders court reporting services *This prohibition does not apply to: (1) Nominal items that do not exceed \$100 in the aggregate for each recipient each year; (2) Value-added business services, including long-term volume discounts on the price of products and services; and (3) Gifts made to family or friends which are made for reasons unrelated to the litigation	Code of Ethics 4(e)	Reprimand and \$250 administrative penalty
BEHAVIOR		
Failing to treat lawyers and members of the judiciary with respect	Code of Ethics 5(a)	Reprimand and \$500 administrative penalty
Failing to act in a professional manner and demonstrate respect for the Court and the law in each legal proceeding	Code of Ethics 5(b)	Reprimand and \$500 administrative penalty
Engaging in any conduct that offends the dignity and decorum of any legal proceeding	Code of Ethics 5(c)	Reprimand and \$500 administrative penalty
DUTY TO NOTIFY		
Failing to notify the parties, attorneys, or the Court, if the reporter is not able to meet court-imposed or reasonable client deadlines for delivery of transcripts	Code of Ethics 8(b)	Reprimand and \$350 administrative penalty
OBSERVANCE OF CONFIDENTIALITY		
Failing to preserve the confidentiality and ensure the security of information, oral or written, entrusted to the firm by any of the parties in a proceeding.	Code of Ethics 9	Probation and \$500 administrative penalty
MISCONDUCT		
Violating the Code or knowingly assisting or inducing another person to	Code of Ethics 10(a)	Revocation and \$500 administrative penalty

do so, or violating this Code through the acts of another		
Engaging in fraud or deceit in obtaining registration as a court reporting firm	Code of Ethics 10(b)	Revocation and \$500 administrative penalty
Engaging in any conduct involving dishonesty, fraud, deceit, or misrepresentation	Code of Ethics 10(d)	Revocation and \$500 administrative penalty
Engaging in conduct constituting obstruction of justice	Code of Ethics 10(e)	Revocation and \$500 administrative penalty
Being held in contempt by a state or federal court	Code of Ethics 10(f)	Revocation and \$500 administrative penalty
Failing to furnish to the Commission a response or other information within the timeframe requested or timely assert in good faith a privilege or other legal ground for failure to do so.	Code of Ethics 10(g)	Reprimand and \$250 administrative penalty
Offering or rendering court reporting under the following circumstances: (1) The court reporter or firm is on inactive status;(2) The certification or registration, respectively, to practice court reporting is suspended or terminated; (3)The certification or registration, respectively, to practice court reporting is administratively suspended for failure to pay required fees; or (4) The court reporter's certification is suspended for failure to comply with continuing education rules adopted by the Supreme Court.	Code of Ethics 10(h)	Probated suspension to revocation and \$250 to \$500 administrative penalty
Engaging the services of a certified shorthand reporter who is on inactive status or whose certification is suspended or terminated.	Code of Ethics 10(i)	Revocation and \$500 administrative penalty
Violating a Commission order or negotiated settlement with the Commission to resolve a complaint against the firm, unless the Commission order or negotiated settlement was lawfully stayed at the time in question	Code of Ethics 10(k)	Probated suspension to revocation and \$250 to \$500 administrative penalty
Being convicted of criminal offenses that demonstrate a lack of honesty, trustworthiness, or integrity	Code of Ethics 10(l)	Sanction based on Commission rule 3.5 and the Commission's

<p>The Commission will evaluate criminal offenses and determine appropriate action in accordance with Commission rule 3.5 and the Commission’s Criminal History Guidelines for court reporting firms</p> <p>The Commission will evaluate the criminal offense for which deferred adjudication is imposed upon a court reporting firm in accordance with the Criminal History Guidelines and may suspend or revoke the firm’s registration in accordance with the Guidelines</p>		<p>Criminal History Guidelines</p>
<p>Failing to respond to a party’s inquiry within a reasonable time. Repeated failure to respond without good cause is misconduct</p>	<p>Code of Ethics 10(m)</p>	<p>Reprimand and \$250 administrative penalty</p>
<p>Misrepresenting facts, qualifications, or make misleading or deceitful statements to parties</p>	<p>Code of Ethics 10(n)</p>	<p>Revocation and \$500 administrative penalty</p>
<p>Falsely swearing or committing perjury in any communication regarding court reporting to the Commission or to any court or other governmental entity before which the court reporter renders court reporting</p>	<p>Code of Ethics 10(o)</p>	<p>Revocation and \$500 administrative penalty</p>
<p>Threatening, assaulting, or retaliating against parties; making libelous or slanderous statements; or making false public allegations that a party lacks mental capacity</p>	<p>Code of Ethics 10(p)</p>	<p>Revocation and \$500 administrative penalty</p>
<p>Entering into, or providing services Under a prohibited contract described by Section 154.115 of the Texas Government Code</p>	<p>Code of Ethics 10(r)</p>	<p>Reprimand or Probated suspension and \$250 to \$400 administrative penalty</p>
<p>AVOID CONFLICTS OF INTEREST</p>		
<p>Failing disclose to all parties or their attorneys existing or past financial, business, professional, family or social relationships, including contracts for court reporting services, that might reasonably create an appearance of</p>	<p>Code of Ethics 11(a)</p>	<p>Probated suspension and \$350 administrative penalty</p>

partiality		
Failing to immediately disclose to a certified shorthand reporter upon assignment, existing or past financial, business, professional, family, or social relationships, including contracts for court reporting services, that might reasonably create an appearance of partiality	Code of Ethics 11(b)	Probated suspension and \$350 administrative penalty
Failing to disclose a conflict within five days after the deposition or other reporting assignment is booked, but no later than three days before such deposition or other reporting assignment is held. The firm must disclose a conflict immediately if the deposition or other reporting assignment is booked less than three days before it is to be held.	Code of Ethics 11(c)	Probated suspension and \$350 administrative penalty
Failing to be fair and impartial toward each participant in a legal proceeding	Code of Ethics 11(f)	Suspension and \$500 administrative penalty
EXPOSE CORRUPT OR DISHONEST CONDUCT OF CERTIFIED COURT REPORTERS AND COURT REPORTING FIRMS		
Failing to report to the Commission any factual evidence or circumstances that create a reasonable belief that a certified shorthand reporter or court reporting firm violated this Code	Code of Ethics 12(a)	Reprimand and \$500 administrative penalty
Attributing bad motives or unethical conduct to another reporter or firm without good cause A firm must not bring the profession into disrepute by making unfounded accusations of impropriety	Code of Ethics 12(b)	Probated suspension and \$350 administrative penalty
Filing a frivolous complaint with the Commission	Code of Ethics 12(c)	Reprimand and \$350 administrative penalty
SUPERVISORY RESPONSIBILITIES		
Failing to take responsibility for an unlicensed person whom the court reporting firm employs or supervises in the preparation of a transcript or reporter's record	Code of Ethics 13(a)	Reprimand and \$350 administrative penalty

<p>Failing to take reasonable remedial action to avoid or mitigate the consequences of a violation of the Code by an employee or independent contractor of the firm. A firm is subject to disciplinary action if the firm knows or reasonably should have known of the employee's or independent contractor's violation but fails to take reasonable remedial action.</p>	<p>Code of Ethics 13(c)</p>	<p>Reprimand and \$350 administrative penalty</p>
<p>CONTACT INFORMATION</p>		
<p>Failing to record a current mailing address on the application form Each court reporting firm must maintain a current mailing address on file with the Commission by recording it on the form filed for renewal of certification or registration, respectively</p> <p>Each firm must also report a change of address within 30 days after the effective date of the address change.</p>	<p>Code of Ethics 14(a)</p>	<p>Reprimand and \$250 administrative penalty</p>
<p>Failing to provide, upon initial registration, written notice to the Commission of the name, mailing address, phone number, fax number, and e-mail address of an officer, director, or managerial employee designated to receive any request for information or other correspondence from the Commission</p> <p>The firm shall provide the Commission written notice of any change of this information within 30 days after the effective date of the change</p>	<p>Code of Ethics 14(b)</p>	<p>Reprimand and \$250 administrative penalty</p>
<p>DISPLAY OF LICENSE; COMPLAINT INFORMATION AND NOTICE TO CLIENTS</p>		
<p>Failing to display its registration certificate at each place of business in the area most frequented by the public, such as a waiting room or lobby when a court reporting firm is in good standing</p> <p>If the affiliate office is a virtual office,</p>	<p>Code of Ethics 15(a)</p>	<p>Reprimand and \$250 administrative penalty</p>

registrations must be displayed at the primary place of business A court reporting firm must provide proof of registration upon request		
Failing to provide, upon request, information necessary to file complaints about the firm's services with the Commission The information must include the current mailing address, phone number, and email address of the Commission.	Code of Ethics 15(d)	Reprimand and \$250 administrative penalty
ADVERTISING		
Advertising in a manner that is false, fraudulent, misleading, or deceptive.	Code of Ethics 16(a)	Reprimand and \$500 administrative penalty
Advertising falsely or otherwise misrepresenting the qualifications of a reporter or firm, including the reporter's or firm's professional designations or membership in professional organizations.	Code of Ethics 16(b)	Reprimand and \$300 administrative penalty
FEES		
Providing court reporting services on a contingent fee basis	Code of Ethics 17(a)	Reprimand and \$250 administrative penalty
Failing to charge all parties to an action the same price for an original transcript or reporter's record.	Code of Ethics 17(b)	Reprimand and \$300 administrative penalty
Failing to charge all parties to an action the same price for a copy of a transcript or reporter's record or for like services performed in an action	Code of Ethics 17(c)	Reprimand and \$300 administrative penalty
Failing to disclose in writing to all parties or their attorneys upon request at any time an itemization of all rates and charges.	Code of Ethics 17(d)	Reprimand and \$100 administrative penalty
PROHIBITED DISCRIMINATORY ACTIVITIES		
Willfully manifesting bias or prejudice based on race, color, national origin, religion, disability, age, sex, or sexual orientation towards any person involved in an action or proceeding.	Code of Ethics 19	Suspension and \$500 administrative penalty