



# The State Bar *of California*

## **Annual Discipline Report** **Fiscal Year Ending June 30, 2023**

**October 23, 2023**

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## INTRODUCTION

The Annual Discipline Report (ADR) provides an overview of the State Bar's performance in fulfilling its statutory obligation to protect the public from attorney misconduct. Although the discipline system comprises multiple interdependent components of the State Bar, the ADR's statutorily mandated reporting focuses on the Office of Chief Trial Counsel (OCTC), which receives, investigates, and, where appropriate, prosecutes allegations of attorney misconduct.

The ADR published in October 2022 was the first to transition from calendar to fiscal-year-based reporting, as required by Senate Bill 211 (SB 211). As a result, it included data for both fiscal and calendar years. This report completes the transition and covers July 1, 2022, to June 30, 2023.

## 2023 PERFORMANCE HIGHLIGHTS

In fiscal year 2023, OCTC:

- Opened more than 17,000 cases;
- Met case processing goals for 86 percent of cases closed or otherwise resolved, including 91 percent of noncomplex cases and 74 percent of complex cases;
  - The total number of closed or otherwise resolved cases not meeting goals (defined as backlog) is 1,983, a slight increase from FY 2022 (1,965);
  - The number of complex cases in backlog is 964, a decrease from FY 2022; and;
  - The number of noncomplex cases in backlog is 1,019.
- Decreased average case processing times for cases closed with no action, a referral, or nondisciplinary action;
- Increased average case processing time for cases filed in State Bar Court; and
- Obtained discipline for 243 attorneys, including 76 disbarments, 91 probation terms with actual suspensions, 31 probation terms with stayed suspensions, and 45 reprovalls (both public and private).

## PERFORMANCE

The following section summarizes OCTC's workload and case processing performance, measured by average case processing time and percentages of cases meeting case processing goals.

### Inventory

Table 1 replicates data from table SR-1A and depicts case inventory, disaggregated by the following categories: cases pending at the beginning of the year, cases opened during the year, cases closed or otherwise resolved during the year, and cases pending at the end of the year.<sup>1</sup>

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<sup>1</sup> Pursuant to SB 211, table SR-1A (as replicated in table 1) reports on inventory of all case types. See Business and Professions Code section 6086.15 ("the inventory of cases shall not be limited to case types that could result in the

The first two rows—cases pending at the beginning of the year and opened during the year—constitute OCTC’s workload during each period. Cases closed or otherwise resolved during the year may be viewed as output resulting from this workload.

**Table 1. OCTC Inventory**

Case Time Stage	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Pending at Year Start	6,437	8,795	9,668	9,878	10,054
Opened During	18,252	20,979	17,190	16,355	17,360
Closed During	15,893	20,106	16,980	16,179	16,874
Pending at Year End	8,795	9,668	9,878	10,054	10,557

*Note:* To ensure reporting consistency, the year-end case number of the previous year is used as the year-start number of the following year. The number of cases reported for FY 2023 at the start of the year is actually 10,071, 17 cases higher than the number reported for FY 2022 at the end of last year (10,054). It’s worth noting that minor data changes can occur after data have been reported at the end of the year, such as corrections to case open dates or retroactive data entries on closed cases. However, these corrections comprise a very small percentage of the reported cases.

The number of cases opened in FY 2023 was 17,360, a 6 percent increase over FY 2022.

### Case Processing Goals

Figure 1 shows the percent of cases closed or otherwise resolved within current case processing time standards: 180 days for noncomplex cases and 365 days for complex cases. Cases are designated as complex based on the following factors/characteristics:

- Major case designation;<sup>2</sup>
- Subpoenas for records to banks, courts, federal immigration officials, or another third-party entity;
- Numerous potential charges (often arising from multiple incidents) or numerous potential parties; and/or
- Respondent fails to provide information as requested within a reasonable time or at all.

Over the five years reported in the ADR, the percentage of noncomplex cases reaching disposition within 180 days ranged from 83 percent in FY 2019 to 91 percent in FY 2023. For complex cases, the percentage meeting the 365-day disposition goal has fluctuated, ranging from a low of 66 percent in FY 2021 to a high of 79 percent in FY 2020, with FY 2023 at 74 percent. With both case types combined, the proportion of cases meeting current case

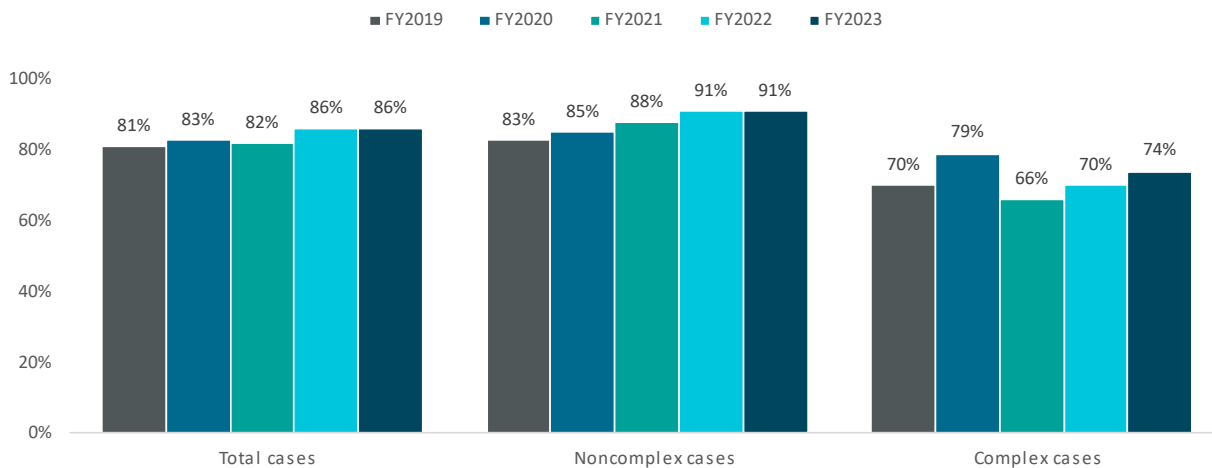
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filing of a notice of disciplinary charges in the State Bar Court but shall also include Nonattorney Unauthorized Practice of Law (NA-UPL), section 6007 matters, moral character matters, resignations with charges pending, and mini-reinstatements.”).

<sup>2</sup> See Appendix A for criteria used to designate major cases.

processing goals increased from 81 percent in FY 2019 to 86 percent in FY 2023, indicating that the percentage of total cases closed or otherwise resolved in backlog status decreased from 19 percent to 14 percent.

**Figure 1. Cases Meeting Case Processing Goals, Complex and Noncomplex Cases**



As was discussed in the 2022 ADR, in connection with the report proposing case processing standards in accordance with SB 211, an examination of OCTC cases between 2018 and 2021 revealed that approximately 44 percent had unexplained time gaps of 60 days or more between case events recorded in OCTC’s case management system. The State Bar has hypothesized that these delays resulted in part from high investigator and attorney caseloads that, along with some identified inefficiencies in OCTC practices and procedures, left investigators and attorneys unable to take all necessary investigative actions in all their cases timely. This is believed to be the cause for many cases that failed to meet the current case processing goals, including many complex cases that typically require additional and more complicated investigative actions. Further, it is important to note that completing a thorough investigation may take longer than 180 days for a noncomplex case or 365 days for a complex case, depending on various factors, including the need to follow up on new facts or legal issues identified during an investigation.

In FY 2023, OCTC attempted to address some of the identified inefficiencies in its practices and procedures, streamlining some approval requirements and investigative actions. In addition, effective July 1, 2023, OCTC implemented a substantial reorganization that, among other things: (1) made permanent a specialized team designated to handle the majority of cases involving bank reportable actions and client trust account related complaints; and (2) created differentiated investigation and trial teams to handle the majority of cases horizontally to decrease delays in both the investigation and charging stages. In the long term, these changes aim to enable more cases to be resolved within statutory case processing time frames. In FY 2023, however, OCTC also increased its efforts to address a growing inventory of open investigations in lower-risk cases already in backlog status. This will be a continued emphasis in

coming years and may contribute to short-term increases in the number of cases closed or otherwise resolved outside the current case processing standards.

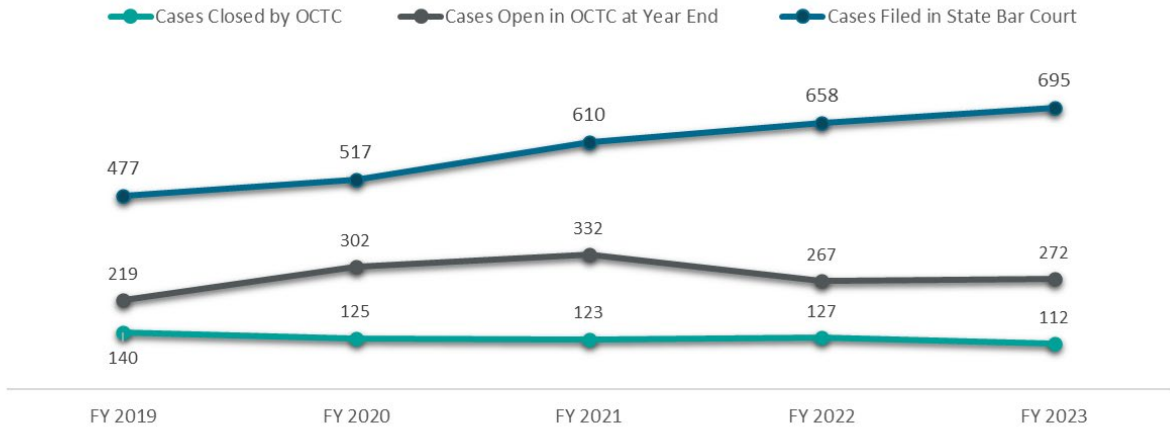
### **Average Case Processing Time (Days)**

Figure 2 shows data from table SR-5 regarding the average case processing times for three categories of cases: cases open in OCTC at year end; cases closed during the year by OCTC with no action, a referral, or nondisciplinary action; and cases filed during the year in State Bar Court.<sup>3</sup> The average age of cases open in OCTC at year end was 272 days in FY 2023, up from 267 days in FY 2022 but down from a high of 332 days in FY 2021. The average case processing time for OCTC to close cases with no action, a referral, or nondisciplinary action decreased from 140 days in FY 2019 to a period low of 112 days in FY 2023. The average case processing time for OCTC to file cases in State Bar Court has steadily increased over the five years analyzed, from 477 days in FY 2019 to 695 days in FY 2023. As noted above, effective July 1, 2023, OCTC implemented a substantial reorganization that is hoped to decrease delays in the investigation and charging stages. In the long term, it is hoped these changes will reduce the average case processing time for cases filed in State Bar Court. In the short term, however, OCTC's continued efforts to address a growing inventory of older open cases, which should decrease the average age of cases open in OCTC at year end, may also result in continuing increases in the average case processing time for cases closed by OCTC or filed in State Bar Court.

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<sup>3</sup> Cases closed by OCTC with no action are cases that were closed with no referral or nondisciplinary action. Referrals are cases closed with the following type of status: alternative dispute resolution, fee arbitration matter, family support referral, and fee arbitration award referral. Cases closed with nondisciplinary action include cases closed with the following status: cease and desist letter, communication letter, directional letter, return of file letter, resource letter, warning letter.

**Figure 2. Average Case Processing Time (in Days)**



Note: Figure 2 is limited to complaints, State Bar initiated inquiries, probation referrals, and reportable actions (self and other).

### Demographics of Disciplined Attorneys

Historically, the ADR has reported on workload and case-processing metrics for attorneys in the aggregate. Beginning with the FY 2023 ADR, in alignment with the foundational principle outlined in the State Bar’s [2022–2027 Strategic Plan](#), attorney discipline data is reported disaggregated by race/ethnicity and gender identity.<sup>4</sup> Tables 2 and 3 report the race/ethnicity and gender identity of the 243 attorneys disciplined in FY 2023.

**Table 2. Race/Ethnicity of Attorneys Disciplined in FY 2023**

Type of Discipline	Asian	Black/ African American	Hispanic/ Latino	White	Other	Unknown	Total
Number of Attorneys Disciplined							
Reproval	3	2	1	33	5	1	45
Probation	7	2	14	82	16	1	122
Disbarment	6	3	6	48	2	11	76
<b>Total</b>	<b>16</b>	<b>7</b>	<b>21</b>	<b>163</b>	<b>23</b>	<b>13</b>	<b>243</b>
Racial/Ethnic Distribution of Disciplined Attorneys							
Reproval	7%	4%	2%	73%	11%	2%	100%
Probation	6%	2%	11%	67%	13%	1%	100%
Disbarment	8%	4%	8%	63%	3%	14%	100%

<sup>4</sup> Please see Appendix A for glossary on demographic information.

Type of Discipline	Asian	Black/ African American	Hispanic/ Latino	White	Other	Unknown	Total
Total	7%	3%	9%	67%	9%	5%	100%

**Table 3. Gender Identity of Attorneys Disciplined in FY 2023**

Type of Discipline	Women	Men	Other	Unknown	Total
Number of Attorneys					
Reproval	11	34	0	0	45
Probation	19	99	2	2	122
Disbarment	14	53	1	8	76
Total	44	186	3	10	243
Gender Distribution of Disciplined Attorneys					
Reproval	24%	76%	0%	0%	100%
Probation	16%	81%	2%	2%	100%
Disbarment	18%	70%	1%	11%	100%
Total	18%	77%	1%	4%	100%

To provide context for these results, the demographic patterns for disciplined attorneys are compared with two reference groups (see figures 3 and 4):

1. Active attorneys at the beginning of the reporting period; and
2. Attorneys with at least one complaint during the reporting period.

The data provided in figures 3 and 4 can be summarized as follows:

- Asian attorneys comprised 13 percent of the active attorney population, 8 percent of attorneys with at least one complaint during the reporting period, and 7 percent of disciplined attorneys.
- Black/African American attorneys comprised 3 percent of the active attorney population, 5 percent of attorneys with at least one complaint during the reporting period, and 3 percent of disciplined attorneys.
- Hispanic/Latino attorneys comprised 6 percent of the active attorney population, 8 percent of attorneys with at least one complaint during the reporting period, and 9 percent of disciplined attorneys.
- White attorneys comprised 65 percent of the active attorney population, 64 percent of attorneys with at least one complaint during the reporting period, and 67 percent of disciplined attorneys.
- Women comprised 42 percent of the active attorney population, 30 percent of attorneys with at least one complaint during the reporting period, and 18 percent of disciplined attorneys.

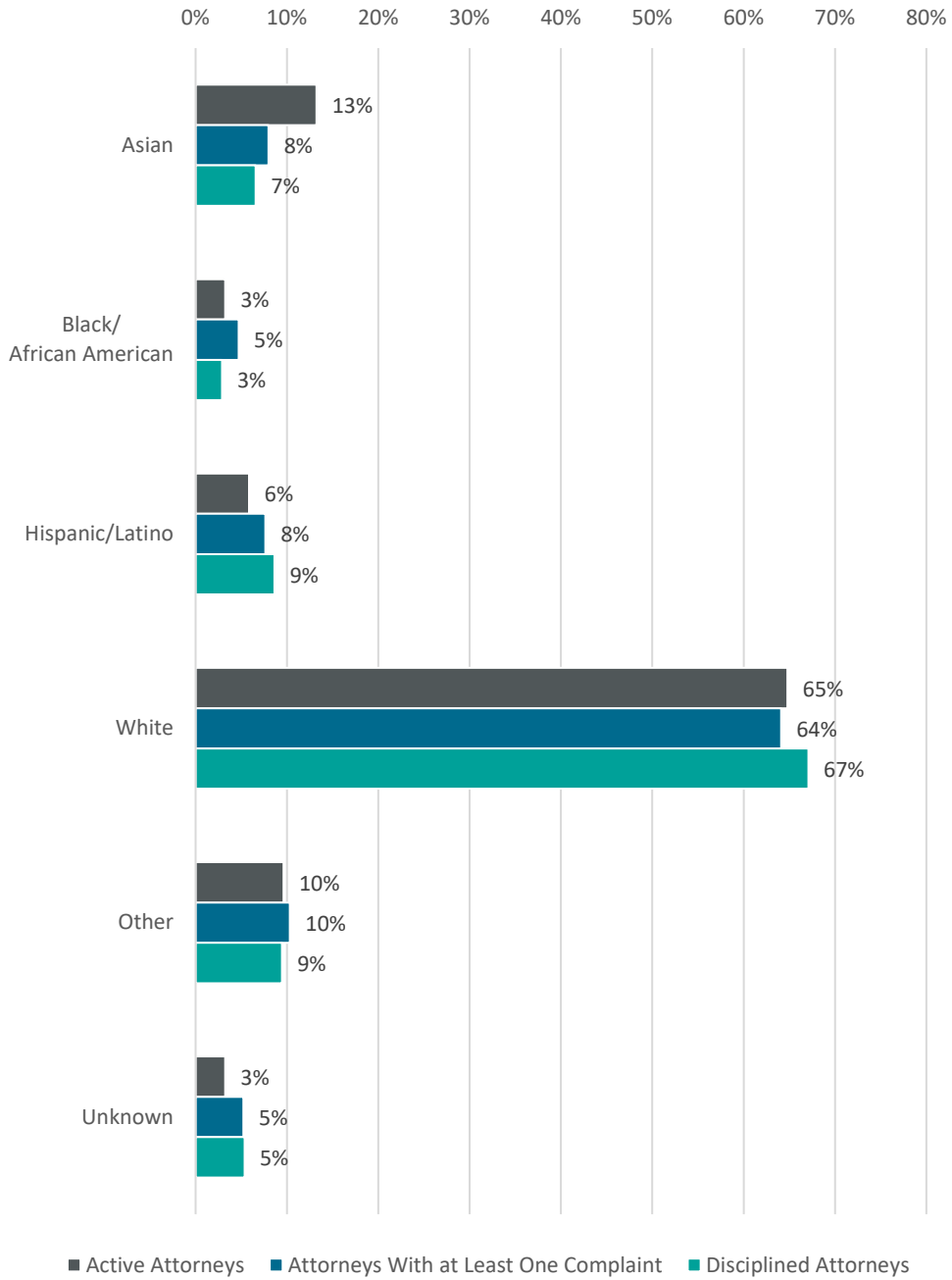


- Men comprised 55 percent of the active attorney population, 65 percent of attorneys with at least one complaint during the reporting period, and 77 percent of disciplined attorneys.

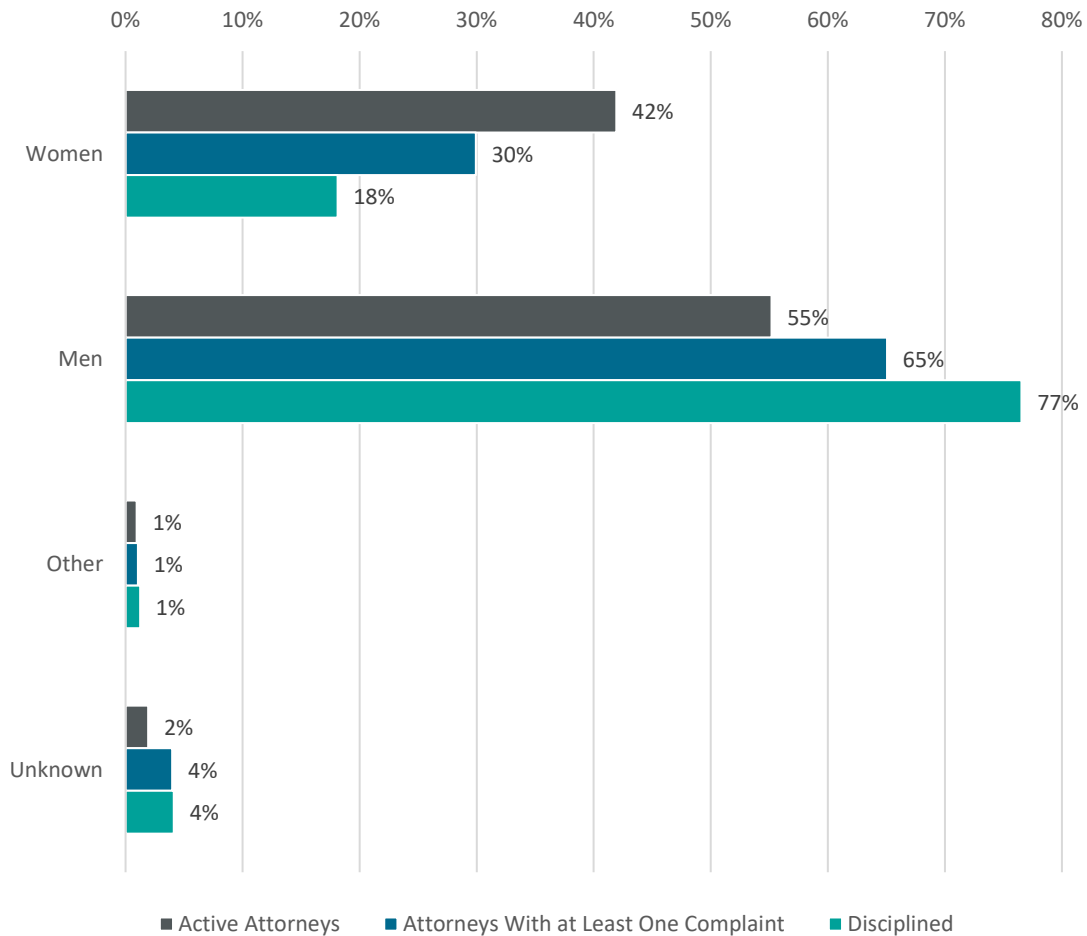
The data presented in tables 2 and 3 and figures 3 and 4 are subject to data limitations, including small cell size for some groups and higher-than-average missing demographic data for disbarred attorneys.

In 2024, the State Bar will update its [landmark 2019 study](#) of racial disparities in the attorney discipline system. The 2024 study design will be expanded to explore factors that may contribute to the abovementioned patterns, including age, practice area and setting, and firm size.

**Figure 3. Race/Ethnicity Across Different Groups of Attorneys in FY 2023**



**Figure 4. Gender Identity Across Different Groups of Attorneys in FY 2023**



## SUMMARY

The 2023 ADR data are presented in the 15 SR tables that follow this Introduction:

SR-1A and SR-1B: Inventory and Case Processing

SR-2: Case Inventory and Disposition

SR-3: Self-Reported Reportable Actions

SR-4: Reportable Actions, Reported by Others

SR-5: Speed of Complaint Handling

SR-6A and SR-6B: Formal Disciplinary Filings and Outcomes

SR-7A and SR-7B: Other Matters and Specified Definitions

SR-8: Unauthorized Practice of Law by Former Attorneys

SR-9: Unauthorized Practice of Law by Nonattorneys

SR-10A and SR-10B: Conviction Transmittals & Disposition of Felony Convictions

- SR-11: Accessibility Demand Letters
- SR-12: Insurance Fraud
- SR-13: Provision of Financial Services by Lawyers
- SR-14: Condition of the Client Security Fund
- SR-15: Cost of the Discipline System

Table 4 below summarizes the numbers of specific types of cases and where those case types are reported in all the ADR SR tables.

**Table 4. Case Types Reported in 2023 ADR SR Tables**

Case Type	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023	Covered by ADR Tables
Complaints	13,894	13,781	12,501	12,731	13,636	SR-1, SR-2, SR-5
State Bar Initiated Inquiries	302	240	344	310	266	SR-1, SR-2, SR-5
Probation Referrals	123	94	58	79	49	SR-1, SR-2, SR-5
Reportable Action, Self	157	169	161	183	152	SR-1, SR-2, SR-3, SR-4, SR-5
Reportable Actions, Other	2,285	2,016	1,267	1,686	1,760	SR-1, SR-2, SR-3, SR-4, SR-5
Criminal Conviction Matters	296	3442	1,765	292	281	SR-1, SR-3, SR-4, SR-10
Unauthorized Practice Of Law	907	806	711	688	873	SR-1, SR-8, SR-9
Other <sup>5</sup>	288	431	383	386	343	SR-1, SR-7
<b>Total Cases</b>	<b>18,252</b>	<b>20,979</b>	<b>17,190</b>	<b>16,355</b>	<b>17,360</b>	

<sup>5</sup> Cases that fall under 'Other' are the following: moral character, pre-filing motion to quash, probation revocation motion, resignation with charges pending, reinstatements, interim suspensions, Jurisdiction of Courts (excluding former attorney), and Rule 2605 Vexatious Complainant.

## STATUTORILY MANDATED REPORTING

### FISCAL YEAR 2023

#### Inventory and Case Processing

**Section 6086.15, subdivision (a)(1):** The inventory of cases within the Office of Chief Trial Counsel which were open at the start of the reporting period, were opened during the reporting period, remain pending with the office at the close of the reporting period, or were disposed of during the reporting period by closure, by filing of a stipulation with the State Bar Court, by filing of a notice of disciplinary charges with the State Bar Court, or by transmittal of a criminal conviction to the State Bar Court. The State Bar shall also report on its success in meeting the case processing goals set forth in section 6094.5, including, but not limited to, table showing the number and percentage of cases meeting each goal, the number and percentage of those cases not meeting each goal, the number and percentage of those cases not disposed of within the case processing goals, and a high-level explanation of the reasons for failing to meet those case processing goals. The inventory of cases shall not be limited to case types that could result in the filing of a notice of disciplinary charges in the State Bar Court, but shall also include Nonattorney Unauthorized Practice of Law (NA-UPL), section 6007 matters, moral character matters, resignations with charges pending, and mini-reinstatements.

Table SR-1A. Inventory <sup>6</sup>	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Pending at Year Start <sup>7</sup>	6,437	8,795	9,668	9,878	10,071
Opened During	18,252	20,979	17,190	16,355	17,360
Closed During	15,893	20,106	16,980	16,179	16,874
Pending at Year End	8,795	9,668	9,878	10,054	10,557

<sup>6</sup> As defined by statute, inventory in this report will include all case types, no exceptions, to reflect the complete turnover of cases in the year.

<sup>7</sup> Year start numbers may not always match the previous year end as previous data is frozen and minor changes to case reporting may occur after that time.

Table SR-1B. Case	FY 2019		FY 2020		FY 2021		FY 2022		FY 2023	
	n	%	n	%	n	%	n	%	n	%
<b>Noncomplex cases</b>										
Cases meeting goals	10,174	83	12,081	85	9,972	89	9,728	92	9,801	91
Cases not meeting goals	2,024	17	2,082	15	1,292	11	865	8	1,019	9
Total	12,198	100	14,163	100	11,264	100	10,593	100	10,820	100
<b>Complex cases</b>										
Cases meeting goals	1,776	71	3,167	80	2,789	67	2,716	71	2,677	74
Cases not meeting goals	732	29	792	20	1,344	33	1,100	29	964	26
Total	2,508	100	3,959	100	4,133	100	3,816	100	3,641	100
<b>All cases</b>										
Cases meeting goals	11,950	81	15,248	84	12,761	83	12,444	86	12,478	86
Cases not meeting goals	2,756	19	2,874	16	2,636	17	1,965	14	1,983	14
Total	14,706	100	18,122	100	15,397	100	14,409	100	14,461	100

<sup>8</sup> Business and Professions Code section 6094.5 (a) identifies the following case processing goals: six months for all cases and 12 months for “complicated” cases. This report uses 180 and 365 days as opposed to six and 12 months to calculate case processing time which allows for more accurate calculations based on the data structure of the State Bar’s case management system. The term “complex” will be used in lieu of “complicated.” Cases are deemed complex if they contain any of the following characteristics: major case designation; requests for bank, court, or other records; multiple charges or parties; or respondent delays in responding. In accordance with Business and Professions Code section 6094.5 (c), the following case types are excluded from table SR-1B: criminal conviction, unauthorized practice of law, interim suspensions, moral character, and resignations with charges pending and reinstatements. For full details see Appendix D.

## Case Inventory and Disposition<sup>9</sup>

**Section 6086.15, subdivision (a) (2):** The number of inquiries and complaints and their disposition.

Table SR-2. Inquiries and Complaints	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
<b>Summary: All Case Types</b>					
Cases Pending in OCTC at Year Start <sup>10</sup>	5,663	7,717	5,895	4,829	5,407
Cases Received	16,541	15,700	13,781	14,497	15,414
Cases Reopened <sup>11</sup>	220	600	550	492	449
Closed by OCTC with No Action	12,553	15,964	13,131	12,416	12,480
Closed by OCTC with Referral	199	298	237	245	207
Closed by OCTC with Nondisciplinary Action	1,334	1,417	1,516	1,318	1,363
Total Cases Closed by OCTC	14,086	17,679	14,884	13,979	14,050
Filed in State Bar Court (SBC)	620	443	513	430	411
Cases Pending in OCTC at Year End	7,717	5,895	4,829	5,409	6,809
Cases Pending in SBC at Year Start	807	794	693	721	626
Closed by SBC with No Action <sup>12</sup>	171	125	86	45	35
Closed by SBC with Nondisciplinary Action	0	0	6	9	2
Closed with Discipline Imposed	463	419	393	460	320
Total Cases Closed by SBC	634	544	485	514	357
Cases Pending in SBC at Year End	794	693	721	637	680
<b>Complaints</b>					
Complaints Pending in OCTC at Year Start	4,837	6,851	5,123	4,258	4,492
Complaints Received	13,683	13,195	11,957	12,306	13,194
Complaints Reopened	211	586	544	425	442
Closed by OCTC with No Action	10,205	13,717	11,519	10,790	11,148
Closed by OCTC with Referral	197	297	237	245	207
Closed by OCTC with Nondisciplinary Action	1,118	1,251	1,260	1,154	1,025
Total Complaints Closed by OCTC	11,520	15,265	13,016	12,189	12,380
Filed in SBC	360	244	350	304	271
Complaints Pending in OCTC at Year End	6,851	5,123	4,258	4,496	5,477
Complaints Pending in SBC at Year Start	520	476	389	475	443
Closed by SBC with No Action	108	80	40	24	23
Closed by SBC with Nondisciplinary Action	0	0	5	6	1
Closed with Discipline Imposed	296	251	219	296	206

<sup>9</sup> Table SR-2 reports on the same case types as table SR-1B; see footnote for table SR-1B for details.

<sup>10</sup> Year start numbers may not always match the previous year end as previous data is frozen and minor changes to case reporting may occur after that time.

<sup>11</sup> Counts of reopened cases are higher for 2019 onwards due to operational changes implemented with the new case management system; intake staff have greater autonomy in Odyssey to manage data entry for their caseloads, contributing to more timely and accurate recording of reopened cases.

<sup>12</sup> Reasons for cases closed by SBC with no action include the following: (1) respondent was disbarred in another matter; (2) respondent was ordered inactive pursuant to Business and Professions Code section 6007(b); (3) respondent's death, shortly before or after dismissal; (4) respondent's resignation; (5) dismissal by OCTC; and (6) dismissal by SBC.

Table SR-2. Inquiries and Complaints	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Total Complaints Closed by SBC	404	331	264	326	230
Complaints Pending in SBC at Year End	476	389	475	453	484
<b>State Bar Initiated Inquiries</b>					
Inquiries Pending in OCTC at Year Start	224	203	174	145	202
Inquiries Initiated	299	230	340	305	262
Inquiries Reopened	3	10	4	5	4
Closed by OCTC with No Action	246	219	262	205	190
Closed by OCTC with Referral	2	1	0	0	0
Closed by OCTC with Nondisciplinary Action	41	20	87	27	25
Total Inquiries Closed by OCTC	289	240	349	232	215
Filed in SBC	33	29	24	22	20
Inquiries Pending in OCTC at Year End	203	174	145	201	233
Inquiries Pending in SBC at Year Start	48	49	44	41	33
Closed by SBC with No Action	9	8	0	4	2
Closed by SBC with Nondisciplinary Action	0	0	0	1	0
Closed with Discipline Imposed	24	26	27	24	24
Total Inquiries Closed by SBC	33	34	27	29	26
Inquiries Pending in SBC at Year End	49	44	41	34	27
<b>Probation Referrals</b>					
Referrals Pending in OCTC at Year Start	56	77	60	32	39
Referrals Received	122	91	58	79	49
Referrals Reopened	1	3	0	0	0
Closed by OCTC with No Action	30	36	21	14	18
Closed by OCTC with Referral	0	0	0	0	0
Closed by OCTC with Nondisciplinary Action	2	0	2	3	4
Total Referrals Closed by OCTC	32	36	23	17	22
Filed in SBC	70	75	63	55	42
Referrals Pending in OCTC at Year End	77	60	32	39	24
Referrals Pending in SBC at Year Start	108	83	93	77	82
Closed by SBC with No Action	33	11	12	14	10
Closed by SBC with Nondisciplinary Action	0	0	0	1	1
Closed with Discipline Imposed	62	54	67	36	32
Total Referrals Closed by SBC	95	65	79	51	43
Referrals Pending in SBC at Year End	83	93	77	81	81
<b>Reportable Actions, Self-Reported</b>					
Actions Pending in OCTC at Year Start	75	74	91	91	94
Actions Reported	155	169	161	183	150
Actions Reopened	2	0	0	0	2
Closed by OCTC with No Action	130	124	115	140	102
Closed by OCTC with Referral	0	0	0	0	0
Closed by OCTC with Nondisciplinary Action	16	13	33	30	14
Total Actions Closed by OCTC	146	137	148	170	116
Filed in SBC	12	15	13	11	5
Actions Pending in OCTC at Year End	74	91	91	93	125



Table SR-2. Inquiries and Complaints	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Actions Pending in SBC at Year Start	20	18	22	15	9
Closed by SBC with No Action	1	3	1	0	0
Closed by SBC with Nondisciplinary Action	0	0	1	1	0
Closed with Discipline Imposed	13	8	18	16	9
Total Actions Closed by SBC	14	11	20	17	9
Actions Pending in SBC at Year End	18	22	15	9	5
<b>Reportable Actions, Reported by Others</b>					
Actions Pending in OCTC at Year Start	471	512	447	303	580
Actions Reported	2,282	2,015	1,265	1,624	1,759
Actions Reopened	3	1	2	62	1
Closed by OCTC with No Action	1,942	1,868	1,214	1,267	1,022
Closed by OCTC with Referral	0	0	0	0	0
Closed by OCTC with Nondisciplinary Action	157	133	134	104	295
Total Actions Closed by OCTC	2,099	2,001	1,348	1,371	1,317
Filed in SBC	145	80	63	38	73
Actions Pending in OCTC at Year End	512	447	303	580	950
Actions Pending in SBC at Year Start	111	168	145	113	59
Closed by SBC with No Action	20	23	33	3	0
Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Closed with Discipline Imposed	68	80	62	88	49
Total Actions Closed by SBC	88	103	95	91	49
Actions Pending in SBC at Year End	168	145	113	60	83

## Self-Reported Reportable Actions

**Section 6086.15, subdivision (a)(3):** The number, average pending times, and types of matters self-reported by licensees of the State Bar pursuant to subdivision (o) of section 6068 and subdivision (c) of section 6086.8.<sup>13,14</sup>

Table SR-3. Reportable Actions, Reported by Self <sup>15</sup>	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
<b>Summary: All Reportable Actions, Reported by Self</b>					
Reports Received	203	188	177	195	155
Cases Reopened	4	0	0	0	2
Cases Closed by OCTC with No Action	143	126	120	143	107
Cases Closed by OCTC with Referral	0	1	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	17	20	33	30	14
Total Cases Closed by OCTC	160	147	153	173	121
Cases Filed in SBC	51	23	20	34	15
Cases Remaining in OCTC at Year End	104	123	127	115	141
Cases Closed by SBC with No Action <sup>16</sup>	8	7	5	4	6
Cases Closed by SBC with Nondisciplinary Action	0	2	1	0	0
Cases Closed with Discipline Imposed	39	31	32	24	25
Total Cases Closed by SBC	47	40	38	28	31
Cases Remaining in SBC at Year End	75	58	40	46	30
<u><a href="#">Three or more malpractice lawsuits filed within 12 months (§ 6068, subd. (o)(1))</a></u>					
Reports Received	0	2	5	4	3
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	0	2	4	3	3
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	0	2	4	3	3
Average Pendency at Closure <sup>17</sup>	0	48	36	33	267
Median Pendency at Closure	0	48	35	30	57
Cases Filed in SBC	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	0	0	1	2	2

<sup>13</sup> The full text of sections 6068 and 6086.8 can be found by clicking on the embedded link found in each relevant header in this table.

<sup>14</sup> The figures in table SR-3 differ from those in table SR-2 for this category because table SR-3 includes reports of criminal conviction matters, which are excluded from table SR-2.

<sup>15</sup> This table only includes actions brought to the attention of the State Bar through attorneys' self-reporting. It does not include actions taken by the State Bar based on the violations of the duties of an attorney set out in these sections which came to the attention of the State Bar through other means, e.g., prosecutorial misconduct cases that came to the attention of the State Bar through news reports or appellate court cases.

<sup>16</sup> Reasons for cases closed by SBC with no action include the following: (1) respondent was disbarred in another matter; (2) respondent was ordered inactive pursuant to Business and Professions Code section 6007(b); (3) respondent's death, shortly before or after dismissal; (4) respondent's resignation; (5) dismissal by OCTC; and (6) dismissal by SBC.

<sup>17</sup> Pendency is reported in days.

Table SR-3. Reportable Actions, Reported by Self <sup>15</sup>	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Average Pendency at Year End	0	0	127	285	234
Median Pendency at Year End	0	0	127	285	234
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by SBC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0
<u>Judgment in civil case for fraud, misrepresentation, gross negligence, etc. (§ 6068, subd. (o)(2))</u>					
Reports Received	8	9	2	8	4
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	5	6	3	6	4
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	1	1	0	0	0
Total Cases Closed by OCTC	6	7	3	6	4
Average Pendency at Closure	41	60	377	125	49
Median Pendency at Closure	14	49	393	42	51
Cases Filed in SBC	0	1	2	0	1
Average Pendency at Filing	0	763	909	0	1,421
Median Pendency at Filing	0	763	909	0	1,421
Cases Remaining in OCTC at Year End	5	6	3	5	4
Average Pendency at Year End	307	433	505	460	640
Median Pendency at Year End	164	359	449	206	521
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	1	2	0
Total Cases Closed by SBC	0	0	1	2	0
Average Pendency at Closure	0	0	1,230	1,201	0
Median Pendency at Closure	0	0	1,230	1,201	0
Cases Remaining in SBC at Year End	0	1	2	0	1
Average Pendency at Year End	0	956	1,075	0	1,500
Median Pendency at Year End	0	956	1,075	0	1,500
<u>Judicial sanctions imposed (§ 6068, subd. (o)(3))</u>					
Reports Received	109	127	122	143	125
Cases Reopened	1	0	0	0	2
Cases Closed by OCTC with No Action	92	99	84	111	79
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	11	11	28	26	13
Total Cases Closed by OCTC	103	110	112	137	92
Average Pendency at Closure	120	146	186	184	139

Table SR-3. Reportable Actions, Reported by Self <sup>15</sup>	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Median Pendency at Closure	49	57	81	79	63
Cases Filed in SBC	6	3	4	5	0
Average Pendency at Filing	622	277	1,025	884	0
Median Pendency at Filing	516	219	1,018	640	0
Cases Remaining in OCTC at Year End	48	62	68	69	104
Average Pendency at Year End	327	338	302	244	324
Median Pendency at Year End	158	255	219	104	251
Cases Closed by SBC with No Action	1	3	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	1	0	0
Cases Closed with Discipline Imposed	4	1	9	5	3
Total Cases Closed by SBC	5	4	10	5	3
Average Pendency at Closure	1,333	1,304	1,519	1,225	1,055
Median Pendency at Closure	962	1,304	1,275	1,085	911
Cases Remaining in SBC at Year End	11	10	4	4	1
Average Pendency at Year End	1,146	1,206	1,192	1,295	2,664
Median Pendency at Year End	1,150	1,245	829	1,070	2,664
<a href="#"><u>Felony indictment (§ 6068, subd. (o)(4))</u></a>					
Reports Received	16	10	7	6	3
Cases Reopened	1	0	0	0	0
Cases Closed by OCTC with No Action	6	2	2	3	2
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	6	2	2	3	2
Average Pendency at Closure	653	473	2,170	1,517	1,560
Median Pendency at Closure	463	473	2,170	1,393	1,560
Cases Filed in SBC	18	3	2	9	4
Average Pendency at Filing	378	250	409	487	1,043
Median Pendency at Filing	257	158	409	282	948
Cases Remaining in OCTC at Year End	17	22	25	19	16
Average Pendency at Year End	682	763	800	1,021	1,187
Median Pendency at Year End	387	475	672	993	1,233
Cases Closed by SBC with No Action	3	2	2	1	1
Cases Closed by SBC with Nondisciplinary Action	0	1	0	0	0
Cases Closed with Discipline Imposed	13	9	6	2	7
Total Cases Closed by SBC	16	12	8	3	8
Average Pendency at Closure	516	1,125	992	2,038	1,577
Median Pendency at Closure	520	666	964	1,486	1,448
Cases Remaining in SBC at Year End	25	16	10	16	12
Average Pendency at Year End	994	1,237	1,728	1,242	1,346
Median Pendency at Year End	734	1,054	1,850	1,052	1,102
<a href="#"><u>Conviction of felony, or misdemeanor related to practice of law (§ 6068, subd. (o)(5))</u></a>					
Reports Received	33	10	10	9	7
Cases Reopened	1	0	0	0	0
Cases Closed by OCTC with No Action	7	2	3	3	7

Table SR-3. Reportable Actions, Reported by Self <sup>15</sup>	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Cases Closed by OCTC with Referral	0	1	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	1	7	0	0	0
Total Cases Closed by OCTC	8	10	3	3	7
Average Pendency at Closure	133	145	628	547	248
Median Pendency at Closure	104	115	630	441	85
Cases Filed in SBC	21	6	5	14	6
Average Pendency at Filing	279	242	201	374	700
Median Pendency at Filing	188	196	79	140	283
Reports Remaining in OCTC at Year End	16	11	13	5	2
Average Pendency at Year End	312	578	628	1,141	830
Median Pendency at Year End	153	277	154	482	830
Cases Closed by SBC with No Action	4	2	2	3	5
Cases Closed by SBC with Nondisciplinary Action	0	1	0	0	0
Cases Closed with Discipline Imposed	13	14	8	6	9
Total Cases Closed by SBC	17	17	10	9	14
Average Pendency at Closure	888	1,013	922	1,304	1,070
Median Pendency at Closure	598	644	808	1,269	1,003
Cases Remaining in SBC at Year End	32	21	16	21	14
Average Pendency at Year End	827	986	1,191	909	1,192
Median Pendency at Year End	482	701	926	675	927
<a href="#"><u>Discipline by professional agency or licensing board (§ 6068, subd. (o)(6))</u></a>					
Reports Received	28	22	15	17	9
Cases Reopened	1	0	0	0	0
Cases Closed by OCTC with No Action	21	6	15	11	7
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	2	0	4	0	1
Total Cases Closed by OCTC	23	6	19	11	8
Average Pendency at Closure	150	107	328	182	163
Median Pendency at Closure	27	99	181	6	23
Cases Filed in SBC	6	10	7	6	4
Average Pendency at Filing	313	367	456	341	494
Median Pendency at Filing	245	266	392	266	344
Cases Remaining in OCTC at Year End	16	22	11	11	10
Average Pendency at Year End	378	405	514	437	792
Median Pendency at Year End	264	210	342	202	467
Cases Closed by SBC with No Action	0	0	1	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	9	7	8	9	6
Total Cases Closed by SBC	9	7	9	9	6
Average Pendency at Closure	759	449	756	801	999
Median Pendency at Closure	709	418	746	566	742
Cases Remaining in SBC at Year End	7	10	8	5	2
Average Pendency at Year End	732	877	1,032	1,008	675
Median Pendency at Year End	779	830	796	778	675

Table SR-3. Reportable Actions, Reported by Self<sup>15</sup>      FY 2019   FY 2020   FY 2021   FY 2022   FY 2023

Reversal of judgment based on misconduct, gross incompetence, etc. (§ 6068, subd. (o)(7))

Reports Received	9	7	16	6	4
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	12	8	9	6	3
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	2	1	1	4	0
Total Cases Closed by OCTC	14	9	10	10	3
Average Pendency at Closure	130	132	31	176	184
Median Pendency at Closure	51	22	22	64	41
Cases Filed in SBC	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	2	0	6	2	3
Average Pendency at Year End	463	0	129	415	294
Median Pendency at Year End	463	0	97	415	108
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by SBC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0

Settlement or judgment for civil fraud, misrepresentation, gross negligence, etc. (§ 6086.8, subd. (c))

Reports Received	0	1	0	2	0
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	0	1	0	0	2
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	0	1	0	0	2
Average Pendency at Closure	0	55	0	0	60
Median Pendency at Closure	0	55	0	0	60
Cases Filed in SBC	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	0	0	0	2	0
Average Pendency at Year End	0	0	0	59	0
Median Pendency at Year End	0	0	0	59	0
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0

Table SR-3. Reportable Actions, Reported by Self <sup>15</sup>	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Total Cases Closed by SBC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0

## Reportable Actions, Reported by Others

**Section 6086.15, subdivision (a)(4):** The number, average pending times, and types of matters reported by other sources pursuant to sections 6086.7, 6086.8, 6091.1, subdivision (b) of section 6101, and section 6175.6.<sup>18 19</sup>

Table SR-4. Reportable Actions, Reported by Others	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
<b>Summary: All Reportable Actions, Reported by Others</b>					
Reports Received	2,362	2,066	1,340	1,662	1,804
Cases Reopened	6	1	2	62	1
Cases Closed by OCTC with No Action	1,998	1,879	1,221	1,292	1,093
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	155	136	129	103	289
Total Cases Closed by OCTC	2,153	2,015	1,350	1,395	1,382
Cases Filed in SBC	189	100	77	61	97
Cases Remaining in OCTC at Year End	627	579	494	762	1,088
Cases Closed by SBC with No Action <sup>20</sup>	51	32	34	13	8
Cases Closed by SBC with Nondisciplinary Action	0	0	0	2	0
Cases Closed with Discipline Imposed	104	113	85	98	70
Total Cases Closed by SBC	155	145	119	113	78
Cases Remaining in SBC at Year End	258	213	171	119	136
 <u>Order of Contempt (§ 6086.7, subd. (a) (1))</u>					
Reports Received	4	3	6	4	1
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	1	2	2	3	0
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	1	0	1	2
Total Cases Closed by OCTC	1	3	2	4	2
Average Pendency at Closure	4	131	85	399	778
Median Pendency at Closure	4	161	85	245	778
Cases Filed in SBC	1	2	1	0	1
Average Pendency at Filing	387	612	230	0	470
Median Pendency at Filing	387	612	230	0	470
Cases Remaining in OCTC at Year End	4	2	5	5	3
Average Pendency at Year End	285	360	355	298	337
Median Pendency at Year End	211	360	155	126	406
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0

<sup>18</sup> The figures in table SR-4 differ from those in table SR-2 for this category because table SR-4 includes reports of criminal conviction matters, which are excluded from table SR-2.

<sup>19</sup> The full text of sections 6086, 6091, 6101, 6175.6 can be found by clicking on the embedded link found in each relevant header in table SR-4.

<sup>20</sup> Reasons for cases closed by SBC with no action include the following: (1) respondent was disbarred in another matter; (2) respondent was ordered inactive pursuant to Business and Professions Code section 6007(b); (3) respondent's death, shortly before or after dismissal; (4) respondent's resignation; (5) dismissal by OCTC; and (6) dismissal by SBC.



Table SR-4. Reportable Actions, Reported by Others	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Cases Closed with Discipline Imposed	0	0	0	0	1
Total Cases Closed by SBC	0	0	0	0	1
Average Pendency at Closure	0	0	0	0	926
Median Pendency at Closure	0	0	0	0	926
Cases Remaining in SBC at Year End	1	3	4	4	4
Average Pendency at Year End	411	781	935	1,300	1,525
Median Pendency at Year End	411	777	1,024	1,389	1,754

Modification or reversal of judgment based on misconduct, etc. (§ 6086.7, subd. (a)(2))

Reports Received	22	10	15	18	6
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	17	14	6	12	3
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	3	3	2	3	6
Total Cases Closed by OCTC	20	17	8	15	9
Average Pendency at Closure	223	240	226	234	371
Median Pendency at Closure	29	58	63	37	426
Cases Filed in SBC	0	0	0	1	0
Average Pendency at Filing	0	0	0	611	0
Median Pendency at Filing	0	0	0	611	0
Cases Remaining in OCTC at Year End	12	5	12	14	11
Average Pendency at Year End	439	839	431	381	504
Median Pendency at Year End	334	713	140	192	171
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	1	0	0	0	0
Total Cases Closed by SBC	1	0	0	0	0
Average Pendency at Closure	348	0	0	0	0
Median Pendency at Closure	348	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	1	1
Average Pendency at Year End	0	0	0	856	1,221
Median Pendency at Year End	0	0	0	856	1,221

Judicial sanctions imposed (§ 6086.7, subd. (a)(3))

Reports Received	72	98	44	78	91
Cases Reopened	2	0	0	0	1
Cases Closed by OCTC with No Action	44	32	32	31	32
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	14	17	29	18	11
Total Cases Closed by OCTC	58	49	61	49	43
Average Pendency at Closure	187	197	402	297	281
Median Pendency at Closure	108	174	410	189	194
Cases Filed in SBC	10	15	9	13	7
Average Pendency at Filing	600	448	709	764	851
Median Pendency at Filing	503	341	372	616	1,062

Table SR-4. Reportable Actions, Reported by Others	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Cases Remaining in OCTC at Year End	53	87	61	77	119
Average Pendency at Year End	293	361	416	353	394
Median Pendency at Year End	201	272	272	238	302
Cases Closed by SBC with No Action	0	0	1	1	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	9	7	9	13	11
Total Cases Closed by SBC	9	7	10	14	11
Average Pendency at Closure	1,017	783	995	1,482	1,449
Median Pendency at Closure	1,051	652	802	1,056	1,345
Cases Remaining in SBC at Year End	18	26	25	24	20
Average Pendency at Year End	1,287	1,221	1,537	1,503	1,709
Median Pendency at Year End	1,323	892	1,258	1,339	1,440

Civil Penalty for providing false information to Indian tribe in adoption case (§ 6086.7, subd. (a)(4))

Reports Received	0	0	0	0	0
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	0	0	0	0	0
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Filed in SBC	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by SBC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0

Prosecutorial misconduct (§ 6086.7, subd. (a)(5))

Reports Received	1	0	0	0	0
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	0	0	0	0	0
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0

Table SR-4. Reportable Actions, Reported by Others	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Median Pendency at Closure	0	0	0	0	0
Cases Filed in SBC	0	0	0	1	0
Average Pendency at Filing	0	0	0	1,202	0
Median Pendency at Filing	0	0	0	1,202	0
Cases Remaining in OCTC at Year End	1	1	1	0	0
Average Pendency at Year End	326	692	1,057	0	0
Median Pendency at Year End	326	692	1,057	0	0
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	1	0
Total Cases Closed by SBC	0	0	0	1	0
Average Pendency at Closure	0	0	0	1,354	0
Median Pendency at Closure	0	0	0	1,354	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0
<a href="#"><u>Judgment in civil case for fraud, misrepresentation, gross negligence, etc. (§ 6086.8, subd. (a))</u></a>					
Reports Received	12	6	2	3	5
Cases Reopened	0	1	0	1	0
Cases Closed by OCTC with No Action	5	2	2	1	5
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	1	4	2	0
Total Cases Closed by OCTC	5	3	6	3	5
Average Pendency at Closure	22	259	492	229	685
Median Pendency at Closure	11	117	560	158	126
Cases Filed in SBC	1	2	1	0	1
Average Pendency at Filing	240	313	395	0	209
Median Pendency at Filing	240	313	395	0	209
Cases Remaining in OCTC at Year End	9	11	6	7	6
Average Pendency at Year End	229	409	781	931	871
Median Pendency at Year End	228	407	741	1,074	994
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	1	2	0	2	1
Total Cases Closed by SBC	1	2	0	2	1
Average Pendency at Closure	914	576	0	845	472
Median Pendency at Closure	914	576	0	845	472
Cases Remaining in SBC at Year End	1	1	2	0	0
Average Pendency at Year End	508	474	639	0	0
Median Pendency at Year End	508	474	639	0	0
<a href="#"><u>Claim or action for damages for fraud, misrepresentation, etc. (§ 6086.8, subd. (b))</u></a>					
Reports Received	243	287	214	225	221

Table SR-4. Reportable Actions, Reported by Others	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	230	277	237	214	214
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	0	1	0
Total Cases Closed by OCTC	230	277	237	215	214
Average Pendency at Closure	7	46	17	26	33
Median Pendency at Closure	4	57	14	22	25
Cases Filed in SBC	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	13	23	0	10	17
Average Pendency at Year End	6	22	0	15	11
Median Pendency at Year End	6	19	0	17	3
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by SBC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0
<a href="#"><u>Overdraft of attorney trust accounts (§ 6091.1)</u></a>					
Reports Received	1,898	1,562	959	1,266	1,402
Cases Reopened	1	0	2	61	0
Cases Closed by OCTC with No Action	1,617	1,506	913	988	741
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	138	108	93	78	270
Total Cases Closed by OCTC	1,755	1,614	1,006	1,066	1,011
Average Pendency at Closure	73	77	84	67	135
Median Pendency at Closure	43	51	31	48	96
Cases Filed in SBC	132	58	51	21	63
Average Pendency at Filing	361	375	589	823	536
Median Pendency at Filing	330	339	646	928	444
Cases Remaining in OCTC at Year End	413	303	207	447	775
Average Pendency at Year End	187	280	306	240	249
Median Pendency at Year End	67	179	152	134	148
Cases Closed by SBC with No Action	20	23	31	2	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	55	70	53	71	35
Total Cases Closed by SBC	75	93	84	73	35
Average Pendency at Closure	1,051	675	966	1,548	840
Median Pendency at Closure	620	736	817	1,208	776
Cases Remaining in SBC at Year End	148	113	80	28	55

Table SR-4. Reportable Actions, Reported by Others	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Average Pendency at Year End	784	1,092	1,305	935	887
Median Pendency at Year End	606	858	768	923	816
<u>Filing of misdemeanor or felony charges (§ 6101, subd. (b))</u>					
Reports Received	95	81	90	60	73
Cases Reopened	3	0	0	0	0
Cases Closed by OCTC with No Action	65	34	24	40	90
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	4	1	0	0
Total Cases Closed by OCTC	65	38	25	40	90
Average Pendency at Closure	345	586	565	792	752
Median Pendency at Closure	234	274	517	787	595
Cases Filed in SBC	41	20	14	18	24
Average Pendency at Filing	380	404	379	436	700
Median Pendency at Filing	273	322	315	213	628
Cases Remaining in OCTC at Year End	110	133	184	186	145
Average Pendency at Year End	595	595	629	781	790
Median Pendency at Year End	305	347	472	575	589
Cases Closed by SBC with No Action	19	9	2	8	6
Cases Closed by SBC with Nondisciplinary Action	0	0	0	1	0
Cases Closed with Discipline Imposed	32	30	22	8	19
Total Cases Closed by SBC	51	39	24	17	25
Average Pendency at Closure	1,084	911	1,179	1,130	1,258
Median Pendency at Closure	775	846	1,080	864	1,175
Cases Remaining in SBC at Year End	74	55	45	46	44
Average Pendency at Year End	1,050	1,350	1,535	1,608	1,716
Median Pendency at Year End	833	1,050	1,041	1,303	1,329
<u>Criminal Conviction (§ 6101, subd. (c))</u>					
Reports Received	15	19	10	8	5
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	19	12	5	3	8
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	2	0	0	0
Total Cases Closed by OCTC	19	14	5	3	8
Average Pendency at Closure	176	213	403	836	387
Median Pendency at Closure	108	102	458	869	414
Cases Filed in SBC	4	3	1	7	1
Average Pendency at Filing	198	184	22	176	936
Median Pendency at Filing	168	139	22	87	936
Cases Remaining in OCTC at Year End	12	14	18	16	12
Average Pendency at Year End	487	509	626	909	1,253
Median Pendency at Year End	533	296	340	651	981
Cases Closed by SBC with No Action	12	0	0	2	2
Cases Closed by SBC with Nondisciplinary Action	0	0	0	1	0
Cases Closed with Discipline Imposed	6	4	1	3	3

Table SR-4. Reportable Actions, Reported by Others	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Total Cases Closed by SBC	18	4	1	6	5
Average Pendency at Closure	2,728	774	1,806	933	673
Median Pendency at Closure	2,692	783	1,806	1,008	566
Cases Remaining in SBC at Year End	16	15	15	16	12
Average Pendency at Year End	987	1,260	1,508	1,499	2,218
Median Pendency at Year End	699	986	1,318	1,616	2,130
<u>Elder or dependent adult financial service complaints. (§ 6175.6)<sup>21</sup></u>					
Reports Received	0	0	0	0	0
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	0	0	0	0	0
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Filed in SBC	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by SBC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0

<sup>21</sup> See table SR-13 for more background information on this type of reportable action.

## Speed of Complaint Handling

**Section 6086.15, subdivision (a)(5):** The speed of complaint handling and dispositions by type, measured by the median and the average processing times.

Table SR-5. Speed of Complaint Handling	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
<b>Summary: All Case Types<sup>22</sup></b>					
Pendency at Closure by OCTC with No Action <sup>23</sup>					
Average	137	122	114	123	106
Median	58	60	38	36	43
Pendency at Closure by OCTC with Referral					
Average	123	96	109	83	59
Median	71	48	28	19	23
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	163	157	204	170	170
Median	106	76	90	63	96
Pendency at Closure by OCTC					
Average	140	125	123	127	112
Median	59	61	40	37	45
Pendency at Filing in SBC					
Average	477	517	610	658	695
Median	414	476	577	591	601
Pendency at Year End in OCTC					
Average	219	302	332	267	272
Median	115	187	159	128	147
Pendency at Closure by SBC with No Action					
Average	1,878	1,460	888	1,173	1,006
Median	1,818	1,172	728	748	793
Pendency at Closure by SBC with Nondisciplinary Action					
Average	0	0	793	1,016	840
Median	0	0	782	976	840
Pendency at Closure by SBC with Disciplinary Action					
Average	819	832	984	1,109	1,016
Median	698	756	920	935	928
Pendency at Closure by SBC					
Average	1,106	976	965	1,113	1,014
Median	781	796	877	913	914
Pendency at Year end in SBC					
Average	944	990	1,043	999	1,091
Median	744	813	834	883	948

### Complaints

Pendency at Closure by OCTC with No Action

<sup>22</sup> The case types used for table SR-5 are the same as tables SR-1B and SR-2. See footnote two.

<sup>23</sup> Rows for closure with no action, referral, nondisciplinary action and disciplinary action were added to all sections of this table to align with table SR-2.

Table SR-5. Speed of Complaint Handling	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Average	148	127	118	129	104
Median	63	67	40	35	42
Pendency at Closure by OCTC with Referral					
Average	124	96	109	83	59
Median	72	48	28	19	23
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	164	158	190	161	160
Median	112	79	68	57	50
Pendency at Closure by OCTC					
Average	149	129	124	131	108
Median	65	67	41	35	42
Pendency at Filing in SBC					
Average	504	584	631	651	738
Median	456	543	589	591	654
Pendency at Year End in OCTC					
Average	215	298	327	264	263
Median	111	180	154	128	137
Pendency at Closure by SBC with No Action					
Average	1,942	1,802	1,011	1,462	1,220
Median	1,954	2,203	978	879	1,027
Pendency at Closure by SBC with Nondisciplinary Action					
Average	0	0	716	968	239
Median	0	0	749	836	239
Pendency at Closure by SBC with Disciplinary Action					
Average	895	942	1,034	1,039	1,076
Median	783	863	984	938	963
Pendency at Closure by SBC					
Average	1,177	1,150	1,025	1,068	1,086
Median	917	935	975	936	964
Pendency at Year end in SBC					
Average	1,032	1,018	1,019	1,016	1,116
Median	848	879	875	941	959
<b>State Bar Initiated Inquiries</b>					
Pendency at Closure by OCTC with No Action					
Average	215	220	167	176	178
Median	113	125	29	49	43
Pendency at Closure by OCTC with Referral					
Average	28	114	0	0	0
Median	28	114	0	0	0
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	235	243	181	293	205
Median	184	186	90	225	175
Pendency at Closure by OCTC					
Average	217	222	171	190	181



Table SR-5. Speed of Complaint Handling	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Median	129	131	81	56	56
Pendency at Filing in SBC					
Average	503	583	615	770	709
Median	520	581	329	623	491
Pendency at Year End in OCTC					
Average	337	410	447	361	447
Median	248	272	286	206	337
Pendency at Closure by SBC with No Action					
Average	2,334	1,332	0	1,593	577
Median	2,049	1,225	0	564	577
Pendency at Closure by SBC with Nondisciplinary Action					
Average	0	0	0	1,483	0
Median	0	0	0	1,483	0
Pendency at Closure by SBC with Disciplinary Action					
Average	980	881	1,010	1,278	1,162
Median	767	738	847	925	907
Pendency at Closure by SBC					
Average	1,349	987	1,010	1,319	1,117
Median	879	957	847	925	841
Pendency at Year end in SBC					
Average	1,152	1,266	1,385	1,282	1,395
Median	1,055	881	1,143	910	1,122
<b>Probation Referrals<sup>24</sup></b>					
Pendency at Closure by OCTC with No Action					
Average	560	350	325	349	452
Median	322	284	256	154	265
Pendency at Closure by OCTC with Referral					
Average	0	0	0	0	0
Median	0	0	0	0	0
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	34	0	83	55	100
Median	34	0	83	46	83
Pendency at Closure by OCTC					
Average	527	350	304	297	388
Median	300	284	237	117	234
Pendency at Filing in SBC					
Average	240	221	314	284	285
Median	202	168	284	240	192
Pendency at Year End in OCTC					
Average	199	276	285	266	251
Median	93	181	64	127	256
Pendency at Closure by SBC with No Action					
Average	1,370	608	899	487	622

<sup>24</sup> The order of 'Probation Referrals' in table SR-5 has been changed to match that of table SR-2.

Table SR-5. Speed of Complaint Handling	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Median	1,190	687	579	427	452
Pendency at Closure by SBC with Nondisciplinary Action					
Average	0	0	0	474	1,440
Median	0	0	0	474	1,440
Pendency at Closure by SBC with Disciplinary Action					
Average	511	585	657	630	588
Median	424	514	571	602	518
Pendency at Closure by SBC					
Average	809	588	693	587	616
Median	479	521	574	539	505
Pendency at Year end in SBC					
Average	535	545	568	610	760
Median	335	396	503	371	519
<b>Reportable Actions, Reported by Self</b>					
Pendency at Closure by OCTC with No Action					
Average	116	130	165	177	111
Median	35	51	49	57	58
Pendency at Closure by OCTC with Referral					
Average	0	0	0	0	0
Median	0	0	0	0	0
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	176	193	291	215	366
Median	140	134	214	98	312
Pendency at Closure by OCTC					
Average	123	136	193	184	141
Median	45	52	78	61	61
Pendency at Filing in SBC					
Average	512	437	747	629	679
Median	489	373	850	477	362
Pendency at Year End in OCTC					
Average	340	365	328	276	362
Median	161	257	229	111	269
Pendency at Closure by SBC with No Action					
Average	2,732	1,304	808	0	0
Median	2,732	1,302	808	0	0
Pendency at Closure by SBC with Nondisciplinary Action					
Average	0	0	1,179	1,378	0
Median	0	0	1,179	1,378	0
Pendency at Closure by SBC with Disciplinary Action					
Average	828	601	1,180	984	1,018
Median	709	583	1,181	906	911
Pendency at Closure by SBC					
Average	964	793	1,161	1,007	1,018
Median	749	679	1,178	943	911

Table SR-5. Speed of Complaint Handling	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
<b>Pendency at Year end in SBC</b>					
Average	985	1,032	1,098	1,136	1,343
Median	1,042	986	876	888	1,201
<b>Reportable Actions, Reported by Others</b>					
<b>Pendency at Closure by OCTC with No Action</b>					
Average	66	73	62	59	110
Median	37	51	28	42	59
<b>Pendency at Closure by OCTC with Referral</b>					
Average	0	0	0	0	0
Median	0	0	0	0	0
<b>Pendency at Closure by OCTC with Nondisciplinary Action</b>					
Average	133	132	338	224	194
Median	57	58	253	119	135
<b>Pendency at Closure by OCTC</b>					
Average	71	77	90	72	129
Median	41	52	29	44	73
<b>Pendency at Filing in SBC</b>					
Average	435	456	659	829	634
Median	388	401	688	818	476
<b>Pendency at Year End in OCTC</b>					
Average	206	290	346	263	271
Median	112	187	184	134	155
<b>Pendency at Closure by SBC with No Action</b>					
Average	2,121	747	737	1,637	0
Median	1,902	755	714	1,382	0
<b>Pendency at Closure by SBC with Nondisciplinary Action</b>					
Average	0	0	0	0	0
Median	0	0	0	0	0
<b>Pendency at Closure by SBC with Disciplinary Action</b>					
Average	711	659	1,091	1,512	970
Median	658	613	1,059	1,109	826
<b>Pendency at Closure by SBC</b>					
Average	1,032	678	969	1,516	970
Median	672	728	828	1,127	826
<b>Pendency at Year end in SBC</b>					
Average	834	1,111	1,341	1,216	1,154
Median	607	873	905	1,116	1,012

## Formal Disciplinary Filings and Outcomes<sup>25</sup>

**Section 6086.15, subdivision (a)(6):** The number, average pending times, and types of filed notices of disciplinary charges and formal disciplinary outcomes.

Table SR-6A. Formal Filings	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
<b>Notices of Disciplinary Charges</b>					
Number of Filings	491	366	420	342	339
Average Pendency at Filing	424	450	514	502	597
Median Pendency at Filing	369	404	492	392	510
Number of Attorneys <sup>26</sup>	241	190	220	156	154
<b>Stipulations to Facts and Discipline</b>					
Number of Filings	112	92	99	80	76
Average Pendency at Filing	386	513	660	560	613
Median Pendency at Filing	339	462	714	563	446
Number of Attorneys	75	60	83	64	62
<b>Criminal Conviction Transmittals<sup>27</sup></b>					
Number of Filings	46	197	168	134	149
Number of Attorneys	45	183	153	111	118

Table SR-6B. Formal Disciplinary Outcomes	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
<b>Disbarments</b>					
Number of Cases	244	209	135	184	169
Average Pendency	933	1,017	898	1,132	1,060
Median Pendency	783	873	800	945	939
Number of Attorneys Disbarred	119	118	83	84	76
<b>Probation with Actual Suspension</b>					
Number of Cases	230	252	188	224	131
Average Pendency	842	858	1,086	1,223	1,135
Median Pendency	702	786	1,044	1,077	1,076
Number of Attorneys Suspended	129	120	95	89	91
<b>Probation with Stayed Suspension</b>					
Number of Cases	45	41	53	32	44
Average Pendency	680	746	967	876	1,226

<sup>25</sup> Cases are filed in SBC via a Notice of Disciplinary Charges (NDC), Stipulations to Facts and Discipline, and Transmittal of Criminal Convictions. This table counts each case only once: cases in which an NDC is filed or information about a criminal conviction is transmitted that are later resolved by stipulation are only counted based on the initial filing in SBC. This table includes all formal disciplinary filings, including criminal conviction matters and reportable actions not included in other sections of this report.

<sup>26</sup> Number of attorneys counts added to each section of SR-6A, to match the layout of table SR-6B.

<sup>27</sup> Pendency time for Criminal Conviction Transmittals is not applicable since it is dependent on the cases reaching finality in the criminal court, which is outside of the State Bar's control. Conviction transmittal tracking data was only available early 2019, so data in earlier years will not be available or complete.

Table SR-6B. Formal Disciplinary Outcomes	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Median Pendency	548	638	908	867	1,349
Number of Attorneys Suspended	28	32	41	23	31
<b>Public Reprovals</b>					
Number of Cases	22	31	42	56	31
Average Pendency	566	492	699	882	1,001
Median Pendency	534	403	655	906	1,006
Number of Attorneys Publicly Reproved	22	31	35	43	27
<b>Private Reprovals</b>					
Number of Cases	13	23	52	27	21
Average Pendency	596	669	842	893	729
Median Pendency	561	704	711	934	592
Number of Attorneys Privately Reproved	12	16	43	23	18

## Other Matters and Specified Definitions

**Section 6086.15, subdivision (a)(7):** The number, average pending times, and types of other matters, including petitions to terminate practice pursuant to section 6180 or 6190, interim suspensions and license restrictions pursuant to section 6007, motions to enforce a binding arbitration award, judgment, or agreement pursuant to subdivision (d) of section 6203, motions to revoke probation, letters of warning, private reprovos, admonitions, and agreements in lieu of discipline.<sup>28</sup>

Table SR-7A. Other Matters	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
<u><a href="#">Petitions to Terminate Practice pursuant to section 6180 or section 6190</a></u>					
Petitions Filed	12	3	4	11	5
Average Pendency at Filing	211	82	185	166	263
Median Pendency at Filing	67	4	174	106	282
Cases with Petitions Granted	7	6	0	7	3
Cases with Petitions Denied	0	0	0	0	0
Total Cases Disposed by Superior Court	2	5	2	5	1
Average Pendency at Disposition	1,928	1,736	799	1,529	2,095
Median Pendency at Disposition	1,928	1,100	799	1,449	2,095
<u><a href="#">Interim Suspensions and Restrictions pursuant to section 6007</a></u>					
Cases Opened	16	18	18	21	34
Cases Reopened	0	0	0	0	0
Cases Closed without Filing	0	1	1	0	3
Average Pendency at Closure	0	45	48	0	92
Median Pendency at Closure	0	45	48	0	27
Cases Filed	15	19	16	20	29
Average Pendency at Filing	62	40	9	12	13
Median Pendency at Filing	0	6	2	1	1
Cases Remaining in OCTC At Year End	2	0	1	4	4
Average Pendency at Year End	75	0	139	146	237
Median Pendency at Year End	75	0	139	38	38
Cases with Petitions Granted	15	12	11	9	19
Cases with Petitions Denied	1	2	0	5	8
Total Cases Disposed by SBC	16	14	14	23	29
Average Pendency at Disposition	168	102	109	218	89
Median Pendency at Disposition	89	81	75	142	77
Cases Remaining in SBC at Year End	4	9	11	7	7
Average Pendency at Year End	30	145	292	217	353
Median Pendency at Year End	27	42	98	80	177
<b>Motions to Enforce Fee Arbitration Award</b>					
Cases Opened	1	3	3	4	4
Cases with Petitions Granted	0	2	2	3	5
Cases with Petitions Denied	1	0	0	1	0

<sup>28</sup> The full text of sections 6180, 6190, 6007, and 6203 can be found by clicking on the embedded link found in each relevant header.

Table SR-7A. Other Matters	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Total Cases Disposed by SBC	1	3	1	5	5
Average Pendency at Disposition	71	72	82	68	71
Median Pendency at Disposition	71	77	82	55	65
Cases Remaining in SBC at Year End	0	0	2	1	0
Average Pendency at Year End	0	0	55	14	0
Median Pendency at Year End	0	0	55	14	0
<b>Motions to Revoke Probation</b>					
Cases Opened	7	1	3	2	2
Cases with Petitions Granted	5	0	4	1	2
Cases with Petitions Denied	0	1	0	0	0
Total Cases Disposed by SBC	6	1	5	1	1
Average Pendency at Disposition	166	274	292	163	229
Median Pendency at Disposition	159	274	237	163	229
Cases Remaining in SBC at Year End	2	2	0	1	2
Average Pendency at Year End	205	293	0	3	50
Median Pendency at Year End	205	293	0	3	50

Table SR-7B. Specified Dispositions	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
<b>Admonitions</b>					
Cases	0	1	3	4	3
Average Pendency at Disposition	0	687	905	1,243	1,295
Median Pendency at Disposition	0	687	857	1,312	1,258
Attorneys Admonished	0	1	3	3	3
<b>Agreements In Lieu of Discipline</b>					
Cases	5	15	4	5	15
Average Pendency at Disposition	398	553	889	784	868
Median Pendency at Disposition	428	485	994	694	871
Attorneys Entering into Agreements	5	12	4	5	10
<b>Warning Letters</b>					
Cases	632	535	704	596	536
Average Pendency at Disposition	263	299	354	299	323
Median Pendency at Disposition	214	231	280	207	251
Attorneys Receiving Warning Letters	570	500	617	537	457
<b>Directional Letters</b>					
Cases	468	691	577	545	591
Average Pendency at Disposition	42	49	45	39	40
Median Pendency at Disposition	35	32	20	17	22
Attorneys Receiving Directional Letter	445	618	508	465	513
<b>Resource Letters</b>					
Cases	197	266	258	202	320
Average Pendency at Disposition	149	202	203	193	222
Median Pendency at Disposition	114	178	123	121	153
Attorneys Receiving Resource Letters	182	234	249	193	254

Table SR-7B. Specified Dispositions	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
<b>Private Reprovals</b>					
Cases	13	23	52	27	21
Average Pendency at Disposition	596	669	842	893	729
Median Pendency at Disposition	561	704	711	934	592
Attorneys Privately Reproved	12	16	43	23	18



## Unauthorized Practice of Law by Former Attorneys<sup>29</sup>

**Section 6086.15, subdivision (a)(8):** The number, average pending times, and outcomes of complaints involving a State Bar licensee who has been disbarred or who has resigned, and is engaged in the unauthorized practice of law, including referrals to district attorneys, city attorneys, or other prosecuting authorities, or petitions to terminate practice pursuant to section 6180.

Table SR-8. UPL by Former Attorneys	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Cases Opened	52	39	23	23	22
Cases Closed without Filing	46	52	33	21	17
Average Pendency at Closure	252	267	213	154	267
Median Pendency at Closure	266	273	214	161	217
Cases Filed in Superior Court	2	0	0	0	0
Average Pendency at Filing	326	0	0	0	0
Median Pendency at Filing	326	0	0	0	0
Cases Remaining in OCTC At Year End	35	22	12	15	20
Average Pendency at Year End	180	133	127	194	178
Median Pendency at Year End	207	126	130	121	37
Cases with Petitions Granted	0	2	0	0	0
Average Pendency at Petitions Granted	0	374	0	0	0
Median Pendency at Petitions Granted	0	374	0	0	0
Cases with Petitions Denied <sup>30</sup>	0	0	0	0	0
Average Pendency at Petitions Denied	0	0	0	0	0
Median Pendency at Petitions Denied	0	0	0	0	0
Total Cases Disposed by Superior Court	0	0	0	0	0
Average Pendency at Disposition	0	0	0	0	0
Median Pendency at Disposition	0	0	0	0	0
Referrals to Law Enforcement	43	24	29	15	10
Cease and Desist Letters Sent	11	22	9	12	15

<sup>29</sup> This table does not include attorneys who are disciplined for practicing law during a time that their license is suspended.

<sup>30</sup> The pendency numbers for petitions denied are now fully expanded.

## Unauthorized Practice of Law by Nonattorneys

**Section 6086.15, subdivision (a)(9):** The number, average pending times, and outcomes of complaints against nonattorneys engaged in the unauthorized practice of law, including referrals to district attorneys, city attorneys, or other prosecuting authorities; petitions to terminate practice pursuant to section 6126.3; or referrals to prosecuting authorities or actions by the State Bar pursuant to section 6126.7.

Table SR-9. UPL by Nonattorneys	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Cases Opened	845	761	680	660	845
Cases Closed without Filing	749	940	677	589	789
Average Pendency at Closure	166	180	134	134	165
Median Pendency at Closure	139	173	126	111	125
Cases Filed in Superior Court <sup>31</sup>	13	10	7	9	6
Average Pendency at Filing	245	324	421	296	649
Median Pendency at Filing	242	334	414	265	567
Cases Remaining in OCTC At Year End	450	266	270	337	393
Average Pendency at Year End	141	143	138	156	158
Median Pendency at Year End	129	131	85	90	95
Cases with Petitions Granted	7	16	6	7	7
Average Pendency at Petitions Granted	267	468	349	292	717
Median Pendency at Petitions Granted	256	502	418	307	637
Cases with Petitions Denied <sup>32</sup>	0	0	0	0	0
Average Pendency at Petitions Denied	0	0	0	0	0
Median Pendency at Petitions Denied	0	0	0	0	0
Total Cases Disposed by Superior Court	1	7	0	3	7
Average Pendency at Disposition	552	848	0	1,422	1,513
Median Pendency at Disposition	552	710	0	1,395	1,500
<a href="#">Civil Remedies pursuant to section 6126.7</a> <sup>33</sup>	0	0	0	0	0
Referrals to Law Enforcement	420	322	326	276	290
Cease and Desist Letters Sent	126	178	197	183	207

<sup>31</sup> Petition to Terminate filed in superior court, pursuant to section 6126.3, to assume the practice of a person holding himself or herself out as entitled to practice law without being an active licensee of the State Bar.

<sup>32</sup> The pendency numbers for petitions denied are now fully expanded.

<sup>33</sup> Previously for FY 2021 the ADR reported 2 cases. It was incorrect as these cases had closed in investigation and did not go on to civil remedies. Therefore, in each year reported, the State Bar did not pursue, and neither expended funds on nor collected funds from civil penalty action under section 6126.7.

## Disposition of Felony Convictions & Conviction Transmittals

**Section 6086.15, subdivision (a)(12):** Compliance with the requirement of Section 6101 to transmit, within 30 days of receipt, the record of any criminal conviction which involves or may involve moral turpitude to the Supreme Court, or to close the matter if transmittal to the Supreme Court is not appropriate.

**Section 6094.5, subdivision (d):** To ensure that criminal conviction matters are handled competently, accurately, and timely, the State Bar shall report on its compliance with the requirement of Section 6101 to transmit, within 30 days of receipt, the record of any conviction which involves or may involve moral turpitude to the Supreme Court with such other records and information as may be appropriate to establish the Supreme Court's jurisdiction.

**Section 6095, subdivision (b):** To the extent the information is known to the State Bar, it shall report annually to the Assembly and Senate Judiciary Committees concerning the judicial or disciplinary disposition of all criminal or disciplinary proceedings involving the allegation of the commission of a felony by an attorney.

Table SR-10A. Disposition of Felony Convictions	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
<b>Felony Convictions</b>	38	23	18	20	15
Cases filed in SBC	35	20	14	15	12
Average days from conviction to filing in Court <sup>34</sup>	239	187	167	103	77
Median days from conviction to filing in Court	127	119	124	95	67
Cases disposed in SBC	34	29	22	23	28
Average days from filing to disposition in Court	858	881	1,274	792	702
Median days from filing to disposition in Court	488	535	838	546	446
<b>SBC Dispositions</b>					
Disbarment	24	24	11	13	15
Dismissal	2	1	2	2	1
Probation with Actual Suspension	8	3	8	3	8
Probation with Stayed Suspension	0	0	0	0	1
Public Reproval	0	1	0	2	1
Private Reproval	0	0	0	0	0
Termination Due to Resignation	0	0	1	0	1
Termination Due to Death	0	0	0	3	1

Table SR-10B. Conviction Transmittals <sup>35</sup>	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Conviction Transmittals	46	197	168	134	149
Number meeting 30-Day Requirement	NA	NA	NA	83	124
Percentage meeting 30-Day Requirement	NA	NA	NA	62%	83%
Number not meeting 30-Day Requirement	NA	NA	NA	51	25

<sup>34</sup> Both attorneys and courts are required to report felony convictions, but superior courts may not timely report convictions to the State Bar. Any resultant delays in discovery of felony convictions may lead to the extended pendency between conviction and filing in Court.

<sup>35</sup> Conviction transmittal data includes both misdemeanor and felony convictions. Transmittal filing data became available from early 2019, and transmittal time data became available from the latter half of 2021. Percentages meeting and not meeting time standards are calculated based only on cases for which transmittal time is available.

Table SR-10B. Conviction Transmittals <sup>35</sup>	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Percentage not meeting 30-Day Requirement	NA	NA	NA	38%	17%
Number with no Transmittal Time Data	46	197	168	0	0
Percentage with no Transmittal Time Data	100%	100%	100%	0%	0%

## Accessibility Demand Letters

**Civil Code Section 55.32(f)(1):** Notwithstanding Section 10231.5 of the Government Code, on or before April 30, 2019, and annually as part of the Annual Discipline Report, no later than April 30 thereafter, the State Bar shall report to the Legislature and the Chairs of the Senate and Assembly Judiciary Committees, both of the following with respect to demand letters received by the State Bar: (A) The number of investigations opened to date on a suspected violation of subdivision (b) or (c) of Section 55.31. (B) Whether any disciplinary action resulted from the investigation, and the results of that disciplinary action.<sup>36</sup>

The laws governing construction-related accessibility claims involving a place of public accommodation were revised by the enactment of Senate Bill 1186 (Stats. 2012, Chapter 383). The purpose of SB 1186 is set forth in uncodified sections of the bill. One of these sections states:

The Legislature finds and declares that a very small number of plaintiffs' attorneys have been abusing the right of petition under sections 52 and 54.3 of the Civil Code by issuing a demand for money to a California business owner that demands the owner pay a quick settlement of the attorney's alleged claim under those laws or else incur greater liability and legal costs if a lawsuit is filed. These demands for money allege one or more, but frequently multiple, claims for asserted violations of a construction-related accessibility standard and often demand a quick money settlement based on the alleged multiple claims without seeking and obtaining actual repair or correction of the alleged violations on the site. These "pay me now or pay me more" demands are used to scare businesses into paying quick settlements that only financially enrich the attorney and claimant and do not promote accessibility either for the claimant or the disability community as a whole. These practices, often involving a series of demand for money letters sent to numerous businesses, do not promote compliance with the accessibility requirements and erode public support for and confidence in our laws. (SB 1186 uncodified sec. 24.)

Civil Code section 55.32 contains several requirements and restrictions concerning demand letters and demands for money in construction-related accessibility claims. As of January 1, 2023, section 55.32, subdivision (b) has been expanded to include complaints alleging that internet websites are not accessible. As of January 1, 2019, the requirement to provide a copy of a demand letter to the State Bar was repealed. The legislative history of this section makes clear that the State Bar retains prosecutorial discretion to determine what, if any, disciplinary action should be taken in a particular case. As the September 1, 2012, Senate Judiciary Committee analysis notes, at pages 22–23:

The author notes that "even though certain acts shall be subject to discipline, the commencement of an actual disciplinary action is at the prosecutorial discretion of the State Bar's Office of Chief Trial Counsel. Nothing in the bill would require the State Bar to bring an action for any offense, and it is certainly possible that the State Bar may just send the lawyer offending the provision an advisory letter for a first violation."

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<sup>36</sup> The Annual Discipline Report is no longer due by April 30, but rather by October 31 of each year.

## DEMAND LETTERS RECEIVED,<sup>37</sup> INVESTIGATIONS OPENED, AND DISCIPLINARY ACTION

From July 1, 2022 through June 30, 2023, the State Bar received 47 copies of demand letters and 3 copies of complaints as defined by Civil Code section 55.3, subdivision (a). These letters were carefully reviewed by the Office of Professional Competence, and forty demand letters were referred to the Office of Chief Trial Counsel (OCTC) for investigation on suspected violation of the prohibition against a demand for money or a specific statement of monetary liability. In addition, three complaints were referred to OCTC for investigation based on potential failure to send a copy of the complaint to the California Commission on Disability Access and potential failure to notify the California Commission on Disability Access of the judgment, settlement, or dismissal of the claims alleged in the complaints, in violation of Civil Code section 55.32, subdivision (b)(1) and (b)(2)<sup>38</sup>. [These cases were closed after confirming that the attorneys had, in fact, complied with these requirements.]

Table SR-11 shows the number of letters received in each 12-month period since the first report, and the number of investigations undertaken.

Table SR-11. Demand Letters Investigations	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Number of Letters Received	40	13	7	10	50
Investigations of Suspected Violations of Civil Code Section 55.31 or 55.32	4	2	0	0	43

<sup>37</sup> As of January 1, 2019, Civil Code section 55.32 no longer requires an attorney who provides a demand letter as defined by Civil Code section 55.3 to provide a copy of that demand letter to the State Bar of California's Office of Professional Competence. However, Civil Code section 55.3, subdivision (b)(1)(A) continues to require attorneys to provide notices that tell recipients of demand letters that they can send copies to the Office of Professional Competence. In addition, some attorneys voluntarily copy the State Bar, and Civil Code section 55.32, subdivision (f)(1) continues to require the State Bar to report on disciplinary matters involving prohibited demands for money or specific statements of monetary liability. For these reasons, even though plaintiff attorneys are no longer required to copy the State Bar, since 2019, the Office of Professional Competence continues to receive copies that were reviewed and processed. Table SR-11 includes the number of demand letters received by the Office of Professional Competence in 2019 and following years.

<sup>38</sup> In the event the State Bar receives information indicating that an attorney failed to comply with Civil Code section 55.32, subdivision (b), Civil Code section 55.32, subdivision (c) requires the State Bar to investigate to determine whether there is a violation of Civil Code section 55.32, subdivision (b). Table SR-11 includes the total number of complaints alleging failures to comply with Civil Code section 55.32, subdivision (b) and demand letters received by the Office of Professional Competence in 2019 and following years.

## Insurance Fraud

**Insurance Code Section 1872.95** (a) Within existing resources, the Medical Board of California, the Board of Chiropractic Examiners, and the State Bar shall each designate employees to investigate and report on possible fraudulent activities relating to workers' compensation, motor vehicle insurance, or disability insurance by licensees of the board or the bar. Those employees shall actively cooperate with the Fraud Division in the investigation of those activities. (b) The Medical Board of California and the Board of Chiropractic Examiners shall each report annually, on or before March 1, to the committees of the Senate and Assembly having jurisdiction over insurance on their activities established pursuant to subdivision (a) for the previous year. The State Bar shall include this report in its Annual Discipline Report on or before April 30.<sup>39</sup> That report shall specify, at a minimum, the number of cases investigated, the number of cases forwarded to the Fraud Division or other law enforcement agencies, the outcome of all cases listed in the report, and any other relevant information concerning those cases or general activities conducted under subdivision (a) for the previous year. The report shall include information regarding activities conducted in connection with cases of suspected automobile insurance fraud.

In 1999, the Legislature enacted the Organized Crime Prevention and Victim Protection Act (Assembly Bill 1050, Stats. 1999, ch. 885) to provide for a focused, coordinated effort by all appropriate agencies and organizations to deal more effectively with fraudulent activities related to automobile and other specified insurance claims. Among other things, the act requires the Medical Board of California, the Board of Chiropractic Examiners, and the State Bar to report annually to the committees of the Legislature having jurisdiction over insurance about complaints alleging possible fraudulent activities relating to workers' compensation, motor vehicle insurance, or disability insurance by licensees of the board or the State Bar.

Table SR-12. Insurance Fraud	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
<b>Workers' Compensation</b>					
Investigations Initiated	1	13	0	0	0
Suspended Pending Disbarment	12	0	0	0	0
Suspended Pending Criminal Proceedings	0	0	0	0	0
Closed by OCTC with No Action	2	11	1	0	0
Pending in Investigation at Year End	11	1	0	0	0
Referrals to Fraud Division	0	0	0	0	0
Referrals to Law Enforcement	0	0	0	0	0
<b>Motor Vehicle</b>					
Investigations Initiated	0	0	0	0	0
Closed by OCTC with No Action	1	0	0	0	0
Referrals to Fraud Division	0	0	0	0	0
Referrals to Law Enforcement	0	0	0	0	0
<b>Disability</b>					
Investigations Initiated	0	0	0	0	0

<sup>39</sup> The Annual Discipline Report is no longer due by April 30, but rather by October 31 of each year.

## Provision of Financial Services by Lawyers

**Business and Professions Code Section 6177:** The State Bar by April 30 of each year shall include in its Annual Discipline Report information on the number of complaints filed against California attorneys alleging a violation of this article. The report shall also include the type of charges made in each complaint, the number of resulting investigations initiated, and the number and nature of any disciplinary actions taken by the State Bar for violations of this article.<sup>40</sup>

In 1999, the Legislature enacted Article 10.5 of the State Bar Act regulating the sale of financial products, including long-term care insurance and life insurance, by lawyers to clients who are elders or dependent adults (Bus. & Prof. Code, §§ 6175-6176; added by Senate Bill number 72 (Stats. 1999, Ch. 454)). These sales must be fair and reasonable to the clients, and lawyers must make specific written disclosures.<sup>41</sup>

The State Bar received no complaints alleging violations of Article 10.5 for the period 2015 through June 30, 2023. Since 2001, the State Bar has received 20 complaints alleging violations of the financial products statutes. Table SR-13 provides a summary of the resolution of those complaints.

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[Table SR-13. Financial Services Complaints](#)

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Closed in Investigation	11
Resignation with Charges Pending	2*
Disbarment	7**

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Note: \*2 attorneys  
      \*\*1 attorney

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<sup>40</sup> The Annual Discipline Report is no longer due by April 30, but rather by October 31 of each year.

<sup>41</sup> The full text of section 6175.3, which governs the provision of legal services by lawyers to elder and dependent adults, can be found by clicking on the embedded link found in the table header.



## Condition of the Client Security Fund

**Section 6086.15, subdivision (a)(10):** A description of the condition of the Client Security Fund, including an accounting of payouts.

The Client Security Fund (CSF or Fund), established by State Bar-sponsored legislation in 1972, represents one of the State Bar’s most important initiatives to achieve its public protection goals. The CSF is designed to compensate legal consumers for monetary losses caused by the dishonest conduct of California attorneys.

### Summary Statistics of CSF Payments<sup>42</sup>

*Aggregated by Attorney*

Fiscal Year	Number of Attorneys	Total Amount Paid	Minimum	Maximum	Average	Median
2019	272	\$8,981,480	\$300	\$564,850	\$33,020	\$10,000
2020	186	\$8,240,586	\$215	\$2,491,443	\$44,304	\$7,500
2021	227	\$8,075,698	\$300	\$673,497	\$35,576	\$9,509
2022	107	\$5,930,331	\$500	\$1,589,288	\$55,424	\$10,000
2023	133	\$3,659,266	\$500	\$359,000	\$27,513	\$8,000
Total	925	\$34,887,361	\$215	\$2,491,443	\$37,716	\$9,301

Fiscal Year	Number of Applications	Total Amount Paid	Minimum	Maximum	Average	Median
<i>Aggregated by Application*</i>						
2019	940	\$8,981,480	\$299	\$200,000	\$9,555	\$3,926
2020	650	\$8,240,586	\$215	\$200,000	\$12,678	\$5,130
2021	566	\$8,075,698	\$150	\$200,000	\$14,268	\$4,887
2022	261	\$5,930,331	\$500	\$362,749	\$22,722	\$7,250
2023	325	\$3,659,266	\$180	\$107,364	\$11,259	\$4,622
Total	2742	\$34,887,360	\$150	\$362,749	\$12,723	\$4,625

\* Although the maximum reimbursement from the Fund to an applicant is \$100,000, more than one individual may be included on an application.

*Aggregated by Attorney*

Fiscal Year	Number of Attorneys	Total Amount Paid	Minimum	Maximum	Average	Median
2019	272	\$8,981,480	\$300	\$564,850	\$33,020	\$10,000
2020	186	\$8,240,586	\$215	\$2,491,443	\$44,304	\$7,500
2021	227	\$8,075,698	\$300	\$673,497	\$35,576	\$9,509
2022	107	\$5,930,331	\$500	\$1,589,288	\$55,424	\$10,000

<sup>42</sup> In previous years only disaggregated CSF payout data has been included in the ADR. While this data continues to provide under the header of SR-14, a new summary table has been prepared in order to provide the data in a more useful and analyzable format.

2023	133	\$3,659,266	\$500	\$359,000	\$27,513	\$8,000
Total	925	\$34,887,361	\$215	\$2,491,443	\$37,716	\$9,301

*Aggregated by Application*

2019	940	\$8,981,480	\$299	\$200,000	\$9,555	\$3,926
2020	650	\$8,240,586	\$215	\$200,000	\$12,678	\$5,130
2021	566	\$8,075,698	\$150	\$200,000	\$14,268	\$4,887
2022	261	\$5,930,331	\$500	\$362,749	\$22,722	\$7,250
2023	325	\$3,659,266	\$180	\$107,364	\$11,259	\$4,622
Total	2742	\$34,887,360	\$150	\$362,749	\$12,723	\$4,625

The Summary Statistics of CSF Payments table, above, shows a five-year summary of CSF reimbursement payments, both aggregated by attorney (upper portion) and by Application (lower portion). In the five fiscal years shown, the Client Security Fund reimbursed victims a total of \$34,887,360 on 2,742 applications against a combined total of 925 attorneys. Since some of those attorneys were involved in paid cases over multiple years, the total unique attorneys paid against was 672.

In Fiscal Year 2023, the CSF reimbursed \$3.66 million on 325 applications against 133 individual attorneys, with the lowest payment on an application \$180 and the highest \$107,364. The average and median payments on applications for Fiscal Year 2023 were \$11,259 and \$4,622, respectively.

In Fiscal Year 2023, the lowest total amount paid against an attorney was \$500 and the highest total amount paid against an attorney was \$359,000, with average and median reimbursements against attorneys amounting to \$27,513 and \$8,000, respectively.

After a significant spike in applications over a decade ago due to loan modification fraud schemes, the CSF inventory for the past few years has seen only modest variation. The CSF received 724 new applications in Fiscal Year 2023, up from 636 new applications received in Fiscal Year 2022. At the end of Fiscal Year 2023, there were 1,184 open applications up only slightly from 1,095 at the end of Fiscal Year 2022 and down by just less than 20 percent from 1,452 at the end of Fiscal Year 2021.

The CSF is financed by an annual assessment added to attorney licensing fees, which is used exclusively for purposes of paying reimbursements and administering the CSF. After a one-time increase of \$40 per active licensee that resulted in an \$80 per active attorney assessment in Calendar Year 2020, the annual active attorney assessment reverted back to \$40 per active licensee and \$10 per inactive licensee in 2021 and remained so in 2023, bringing the CSF's Calendar Year 2023 revenue to approximately \$8 million.

The CSF has the authority to reimburse victims who have lost money or property due to theft, or an act equivalent to theft, committed by a lawyer acting in a professional capacity. As

detailed in the CSF rules, the CSF can reimburse funds received and wrongfully retained by a California lawyer. The maximum reimbursable amount to an individual applicant is \$100,000. The CSF Commission, appointed by the State Bar Board of Trustees, administers the CSF and directs policy and decision-making on applications for reimbursement according to the CSF rules.

Table SR-14. FY 2023 Client Security Fund Payments		
Attorney <sup>43</sup>	Number of CSF Claims Paid	Total Amount Paid
1	1	\$8,000.00
2	1	\$1,800.00
3	2	\$26,800.00
4	14	\$6,001.38
5	5	\$359,000.00
6	7	\$93,414.55
7	1	\$1,800.00
8	1	\$900.00
9	1	\$900.00
10	1	\$1,000.00
11	1	\$26,825.74
12	1	\$1,500.00
13	1	\$10,000.00
14	1	\$3,035.00
15	1	\$45,000.00
16	3	\$9,610.00
17	1	\$100,000.00
18	2	\$15,000.00
19	1	\$20,000.00
20	1	\$7,155.00
21	1	\$1,500.00
22	5	\$31,960.00
23	1	\$27,969.88
24	1	\$2,164.94
25	1	\$1,235.00
26	1	\$4,235.92
27	1	\$15,000.00
28	1	\$100,000.00
29	1	\$2,534.10
30	1	\$850.00
31	1	\$46,400.00
32	6	\$6,400.00

<sup>43</sup> Attorney names are not provided, as CSF rules require confidentiality under certain circumstances.

Table SR-14. FY 2023 Client Security Fund Payments

<b>Attorney<sup>43</sup></b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
33	1	\$2,000.00
34	1	\$15,000.00
35	1	\$11,150.00
36	1	\$100,000.00
37	1	\$6,000.00
38	2	\$8,203.36
39	1	\$5,150.00
40	1	\$5,327.57
41	7	\$13,533.21
42	11	\$323,789.76
43	10	\$65,500.00
44	1	\$10,000.00
45	1	\$25,000.00
46	1	\$2,228.66
47	1	\$3,000.00
48	6	\$11,515.00
49	1	\$7,340.57
50	1	\$3,495.50
51	2	\$11,820.00
52	1	\$20,000.00
53	1	\$3,765.00
54	1	\$59,000.00
55	2	\$7,250.00
56	1	\$1,173.60
57	1	\$56,919.00
58	20	\$81,220.00
59	3	\$8,500.00
60	1	\$2,676.50
61	3	\$6,711.37
62	2	\$14,000.00
63	3	\$14,635.00
64	1	\$5,720.00
65	1	\$8,200.00
66	1	\$3,000.00
67	1	\$500.00
68	1	\$1,000.00
69	2	\$6,500.00
70	1	\$2,235.00
71	1	\$2,000.00
72	1	\$2,000.00
73	2	\$3,580.00

Table SR-14. FY 2023 Client Security Fund Payments

<b>Attorney<sup>43</sup></b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
74	1	\$35,582.10
75	1	\$44,802.68
76	13	\$108,535.00
77	1	\$2,995.00
78	1	\$2,395.09
79	1	\$6,170.00
80	1	\$3,000.00
81	2	\$91,000.00
82	4	\$94,238.89
83	6	\$30,864.98
84	3	\$84,808.00
85	1	\$10,255.00
86	2	\$24,194.44
87	2	\$12,512.00
88	1	\$4,880.04
89	1	\$8,700.00
90	2	\$12,000.00
91	2	\$6,618.00
92	33	\$140,130.00
93	1	\$2,500.00
94	1	\$11,500.00
95	5	\$14,610.00
96	1	\$13,513.17
97	1	\$3,400.00
98	1	\$5,145.00
99	1	\$500.00
100	3	\$5,250.00
101	1	\$1,799.00
102	2	\$1,500.00
103	1	\$14,568.06
104	2	\$30,000.00
105	3	\$7,335.00
106	2	\$4,001.00
107	3	\$12,000.00
108	3	\$126,000.00
109	1	\$2,500.00
110	4	\$39,078.01
111	1	\$2,000.00
112	1	\$6,700.00
113	1	\$17,500.00
114	1	\$2,240.00

Table SR-14. FY 2023 Client Security Fund Payments

<b>Attorney<sup>43</sup></b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
115	2	\$19,350.00
116	1	\$5,550.00
117	1	\$3,000.00
118	1	\$53,333.34
119	7	\$245,200.95
120	4	\$86,875.00
121	1	\$78,580.33
122	2	\$5,400.00
123	1	\$4,200.00
124	2	\$10,400.70
125	1	\$2,500.00
126	1	\$14,981.25
127	4	\$15,000.00
128	1	\$7,000.00
129	1	\$1,500.00
130	1	\$107,364.27
131	1	\$1,500.00
132	4	\$26,578.67
133	1	\$5,000.00
<b>TOTAL</b>	<b>325</b>	<b>\$3,659,265.58</b>

Table SR-14. FY 2022 Client Security Fund Payments

<b>Attorney<sup>44</sup></b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
1	1	\$7,500.00
2	1	\$1,000.00
3	3	\$7,585.00
4	1	\$1,956.00
5	1	\$3,500.00
6	6	\$154,632.67
7	1	\$2,500.00
8	2	\$22,666.68
9	1	\$2,000.00
10	2	\$32,995.00
11	1	\$41,550.00
12	1	\$5,000.00
13	1	\$3,800.00
14	1	\$5,740.00
15	1	\$1,500.00
16	1	\$100,000.00
17	1	\$2,000.00
18	1	\$10,000.00
19	2	\$70,247.42
20	1	\$5,075.00
21	1	\$18,111.21
22	1	\$4,000.00
23	1	\$100,000.00
24	3	\$17,407.64
25	1	\$10,000.00
26	1	\$13,666.67
27	22	\$1,589,287.60
28	1	\$7,000.00
29	3	\$43,058.55
30	1	\$3,095.00
31	4	\$2,750.00
32	12	\$41,399.87
33	29	\$903,389.60
34	2	\$6,000.00
35	1	\$6,000.00
36	1	\$3,000.00
37	1	\$750.00
38	1	\$17,326.75

<sup>44</sup> Attorney names are not provided, as CSF rules require confidentiality under certain circumstances.

Table SR-14. FY 2022 Client Security Fund Payments

<b>Attorney<sup>44</sup></b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
39	1	\$20,000.00
40	1	\$8,000.00
41	1	\$300,000.00
42	1	\$15,000.00
43	1	\$5,000.00
44	1	\$74,000.00
45	2	\$105,000.00
46	1	\$43,400.00
47	2	\$110,074.93
48	1	\$45,349.32
49	2	\$2,333.00
50	3	\$46,625.00
51	1	\$100,000.00
52	1	\$10,000.00
53	2	\$33,900.00
54	1	\$2,000.00
55	2	\$8,875.00
56	2	\$50,000.00
57	1	\$70,061.64
58	1	\$3,500.00
59	1	\$3,440.00
60	1	\$60,000.00
61	2	\$185,000.00
62	9	\$26,551.93
63	13	\$100,100.00
64	1	\$100,000.00
65	1	\$3,750.00
66	1	\$5,000.00
67	9	\$45,109.00
68	1	\$2,500.00
69	4	\$92,978.89
70	1	\$18,500.00
71	1	\$10,000.00
72	1	\$11,400.00
73	1	\$37,315.32
74	1	\$3,500.00
75	6	\$19,700.00
76	1	\$1,750.00
77	1	\$1,500.00
78	1	\$800.00
79	1	\$6,500.00



Table SR-14. FY 2022 Client Security Fund Payments

<b>Attorney<sup>44</sup></b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
80	1	\$26,666.67
81	3	\$68,997.14
82	1	\$10,310.29
83	8	\$15,860.00
84	1	\$10,000.00
85	2	\$107,235.32
86	1	\$2,193.33
87	1	\$933.33
88	1	\$4,000.00
89	5	\$237,178.86
90	3	\$24,350.00
91	1	\$3,500.00
92	1	\$109,179.15
93	1	\$5,000.00
94	2	\$19,760.00
95	1	\$2,144.00
96	2	\$52,000.00
97	10	\$112,344.90
98	1	\$2,500.00
99	2	\$4,150.00
100	1	\$12,500.00
101	1	\$1,900.00
102	1	\$500.00
103	1	\$1,475.00
104	3	\$25,712.52
105	2	\$6,235.00
106	1	\$1,500.00
107	1	\$6,200.91
<b>TOTAL</b>	<b>261</b>	<b>\$5,930,331.11</b>

Table SR-14. FY 2021 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
1	1	\$20,000.00
2	1	\$71,833.69
3	2	\$6,240.00
4	1	\$10,000.00
5	2	\$9,504.95
6	3	\$13,777.69
7	1	\$300.00
8	1	\$5,950.00
9	4	\$42,333.34
10	1	\$1,500.00
11	2	\$3,000.00
12	1	\$5,000.00
13	3	\$10,750.00
14	1	\$2,500.00
15	2	\$12,000.00
16	1	\$10,000.00
17	4	\$10,322.50
18	2	\$25,000.00
19	9	\$28,700.00
20	3	\$8,300.00
21	2	\$129,566.91
22	2	\$105,000.00
23	1	\$6,000.00
24	1	\$10,400.00
25	1	\$3,500.00
26	1	\$6,000.00
27	1	\$5,000.00
28	1	\$3,200.00
29	1	\$14,350.00
30	1	\$4,207.99
31	1	\$13,420.00
32	2	\$3,300.00
33	1	\$3,000.00
34	1	\$1,000.00
35	8	\$70,700.00
36	1	\$20,000.00
37	1	\$10,000.00
38	1	\$4,000.00
39	1	\$1,020.00

Table SR-14. FY 2021 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
40	2	\$105,000.00
41	1	\$87,629.60
42	1	\$8,750.00
43	8	\$85,706.88
44	5	\$30,034.75
45	1	\$8,400.00
46	1	\$8,500.00
47	4	\$99,390.61
48	1	\$10,000.00
49	1	\$4,192.50
50	1	\$6,790.00
51	1	\$4,000.00
52	1	\$3,795.00
53	1	\$26,810.00
54	1	\$5,000.00
55	7	\$156,954.75
56	2	\$105,000.00
57	1	\$10,000.00
58	1	\$2,500.00
59	1	\$10,000.00
60	2	\$6,525.00
61	1	\$3,000.00
62	1	\$3,700.00
63	1	\$13,500.00
64	4	\$15,900.00
65	11	\$62,150.00
66	1	\$5,000.00
67	30	\$115,037.55
68	1	\$5,113.00
69	1	\$18,000.00
70	1	\$10,000.00
71	14	\$438,414.18
72	1	\$1,920.00
73	2	\$7,000.00
74	2	\$7,500.00
75	4	\$9,495.00
76	1	\$100,000.00
77	2	\$18,200.00
78	1	\$14,721.00
79	6	\$53,840.00

Table SR-14. FY 2021 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
80	1	\$18,950.00
81	3	\$200,500.00
82	1	\$14,700.00
83	1	\$1,850.00
84	1	\$87,500.00
85	4	\$45,500.00
86	1	\$3,226.13
87	1	\$10,000.00
88	1	\$2,000.00
89	3	\$15,200.00
90	1	\$18,423.43
91	1	\$3,500.00
92	1	\$3,750.00
93	1	\$1,500.00
94	1	\$6,500.00
95	3	\$115,401.96
96	1	\$15,450.00
97	1	\$2,180.00
98	2	\$25,166.00
99	1	\$100,000.00
100	2	\$97,658.17
101	1	\$4,000.00
102	1	\$2,500.00
103	1	\$12,000.00
104	1	\$1,685.00
105	1	\$2,500.00
106	1	\$100,000.00
107	1	\$50,000.00
108	2	\$76,000.00
109	2	\$12,000.00
110	1	\$2,900.00
111	1	\$1,739.56
112	3	\$88,744.00
113	1	\$10,000.00
114	14	\$304,614.68
115	2	\$68,232.88
116	2	\$100,000.00
117	1	\$7,000.00
118	3	\$10,210.00
119	1	\$1,200.00

Table SR-14. FY 2021 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
120	1	\$1,740.00
121	1	\$29,000.00
122	1	\$1,500.00
123	1	\$6,010.00
124	7	\$673,497.02
125	1	\$105,000.00
126	1	\$1,500.00
127	4	\$287,850.00
128	1	\$3,500.00
129	1	\$100,000.00
130	1	\$3,000.00
131	1	\$2,420.00
132	1	\$2,000.00
133	1	\$2,400.00
134	2	\$57,800.00
135	1	\$2,400.00
136	8	\$245,675.84
137	1	\$73,014.71
138	3	\$9,000.00
139	15	\$114,275.00
140	2	\$6,413.53
141	4	\$15,675.00
142	1	\$7,500.00
143	3	\$26,267.00
144	2	\$4,375.00
145	2	\$9,509.00
146	2	\$178,847.62
147	3	\$3,464.00
148	1	\$5,025.00
149	1	\$8,721.67
150	2	\$3,090.00
151	1	\$6,435.00
152	28	\$142,966.54
153	2	\$7,000.00
154	1	\$2,000.00
155	4	\$23,300.00
156	1	\$2,500.00
157	1	\$950.00
158	1	\$7,749.95
159	1	\$25,000.00

Table SR-14. FY 2021 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
160	1	\$16,666.67
161	1	\$1,500.00
162	2	\$15,800.00
163	1	\$1,500.00
164	3	\$29,735.46
165	1	\$500.00
166	1	\$86,494.58
167	3	\$4,750.00
168	20	\$37,815.00
169	1	\$10,000.00
170	1	\$8,000.00
171	2	\$4,231.50
172	13	\$74,142.74
173	1	\$15,000.00
174	1	\$6,000.00
175	3	\$53,750.00
176	1	\$3,325.00
177	2	\$82,325.00
178	1	\$2,000.00
179	1	\$30,000.00
180	1	\$11,000.00
181	1	\$14,327.70
182	1	\$5,000.00
183	1	\$2,435.00
184	1	\$3,480.00
185	2	\$13,736.81
186	1	\$10,000.00
187	2	\$16,010.33
188	1	\$2,000.00
189	2	\$5,000.00
190	2	\$95,652.68
191	1	\$1,500.00
192	31	\$258,050.00
193	5	\$18,300.00
194	1	\$4,500.00
195	1	\$3,500.00
196	1	\$3,000.00
197	2	\$17,354.49
198	1	\$8,082.76
199	3	\$3,080.00

Table SR-14. FY 2021 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
200	1	\$1,500.00
201	1	\$900.00
202	5	\$16,350.00
203	7	\$88,364.94
204	1	\$100,000.00
205	1	\$17,260.49
206	4	\$8,000.00
207	1	\$2,500.00
208	3	\$84,079.03
209	1	\$1,800.00
210	2	\$1,250.00
211	1	\$72,400.00
212	1	\$14,975.00
213	1	\$860.00
214	1	\$1,200.00
215	1	\$7,500.00
216	1	\$25,000.00
217	9	\$131,273.00
218	1	\$1,000.00
219	1	\$15,000.00
220	1	\$30,000.00
221	1	\$5,000.00
222	1	\$4,500.00
223	2	\$5,200.00
224	1	\$21,366.03
225	1	\$7,500.00
226	1	\$2,025.00
227	2	\$178,547.80
<b>TOTAL</b>	<b>566</b>	<b>\$8,075,697.59</b>

Table SR-14. FY 2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
1	1	\$4,509.00
2	1	\$2,350.20
3	1	\$3,000.00
4	7	\$120,144.94
5	1	\$325.00
6	1	\$2,494.00
7	1	\$1,500.00
8	2	\$11,087.50
9	5	\$22,400.00
10	2	\$23,210.00
11	1	\$3,000.00
12	1	\$1,500.00
13	3	\$8,650.00
14	1	\$116,000.00
15	1	\$100,000.00
16	1	\$6,505.00
17	1	\$12,600.00
18	1	\$2,040.66
19	1	\$2,500.00
20	1	\$3,000.00
21	1	\$3,500.00
22	2	\$2,200.00
23	1	\$5,100.00
24	7	\$24,960.00
25	38	\$255,948.00
26	1	\$2,500.00
27	1	\$6,200.00
28	2	\$17,600.00
29	24	\$57,196.03
30	1	\$6,035.00
31	1	\$6,500.00
32	1	\$1,000.00
33	1	\$100,000.00
34	1	\$20,700.00
35	1	\$5,000.00
36	1	\$12,500.00
37	45	\$294,543.66
38	1	\$15,166.20
39	5	\$80,613.05



Table SR-14. FY 2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
40	13	\$32,263.01
41	1	\$900.00
42	1	\$5,563.00
43	1	\$11,000.00
44	3	\$23,500.00
45	3	\$63,460.35
46	1	\$600.00
47	3	\$7,000.00
48	1	\$6,000.00
49	9	\$165,070.04
50	2	\$8,556.00
51	1	\$1,995.00
52	1	\$2,412.00
53	6	\$65,455.00
54	6	\$42,579.55
55	1	\$4,000.00
56	1	\$4,762.00
57	3	\$9,000.00
58	1	\$7,000.00
59	1	\$20,000.00
60	1	\$4,000.00
61	5	\$147,818.96
62	1	\$6,000.00
63	37	\$144,684.63
64	14	\$36,000.00
65	1	\$5,000.00
66	1	\$7,400.00
67	1	\$7,000.00
68	4	\$7,500.00
69	1	\$12,500.00
70	1	\$4,333.00
71	1	\$16,000.00
72	1	\$3,500.00
73	2	\$1,885.00
74	1	\$10,000.00
75	1	\$2,700.00
76	1	\$200,000.00
77	1	\$2,500.00
78	1	\$4,500.00
79	1	\$1,366.67

Table SR-14. FY 2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
80	1	\$3,600.00
81	1	\$16,000.00
82	2	\$3,500.00
83	5	\$115,867.88
84	1	\$12,020.00
85	10	\$44,235.00
86	1	\$20,960.00
87	4	\$35,227.01
88	2	\$25,360.00
89	3	\$10,886.58
90	1	\$16,500.00
91	75	\$2,491,442.90
92	12	\$575,505.00
93	1	\$9,333.28
94	1	\$12,134.90
95	1	\$64,000.00
96	6	\$21,655.00
97	1	\$2,000.00
98	2	\$18,000.00
99	1	\$2,650.00
100	1	\$9,475.00
101	1	\$75,502.00
102	3	\$8,561.00
103	1	\$30,000.00
104	12	\$53,700.00
105	3	\$11,200.00
106	1	\$41,125.00
107	1	\$4,000.00
108	1	\$5,000.00
109	1	\$900.00
110	3	\$4,386.00
111	1	\$1,500.00
112	1	\$2,500.00
113	5	\$46,955.46
114	1	\$3,500.00
115	1	\$10,000.00
116	1	\$2,834.00
117	1	\$3,495.00
118	1	\$15,166.20
119	2	\$5,781.00

Table SR-14. FY 2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
120	1	\$7,500.00
121	1	\$2,000.00
122	1	\$10,000.00
123	1	\$1,100.00
124	1	\$8,500.00
125	1	\$6,200.00
126	1	\$5,901.42
127	1	\$100,000.00
128	1	\$1,700.00
129	1	\$10,000.00
130	1	\$2,500.00
131	8	\$24,977.86
132	2	\$2,400.00
133	1	\$12,000.00
134	1	\$8,970.00
135	9	\$74,908.00
136	1	\$2,895.00
137	1	\$2,995.00
138	1	\$16,850.00
139	1	\$18,712.67
140	1	\$1,396.00
141	1	\$3,500.00
142	1	\$4,259.75
143	1	\$36,632.00
144	4	\$47,866.67
145	1	\$2,935.00
146	1	\$5,200.00
147	1	\$21,007.14
148	1	\$214.61
149	1	\$2,500.00
150	1	\$10,800.00
151	3	\$73,500.06
152	1	\$510.00
153	5	\$24,450.00
154	1	\$13,430.00
155	1	\$100,000.00
156	1	\$4,300.00
157	2	\$90,000.00
158	1	\$100,000.00
159	1	\$500.00

Table SR-14. FY 2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
160	1	\$700.00
161	1	\$1,700.00
162	1	\$3,000.00
163	1	\$1,000.00
164	2	\$49,774.00
165	1	\$14,500.00
166	3	\$12,500.00
167	2	\$4,027.20
168	3	\$8,750.00
169	2	\$12,445.00
170	1	\$56,936.00
171	1	\$4,000.00
172	28	\$264,989.48
173	1	\$1,000.00
174	2	\$4,149.00
175	1	\$4,000.00
176	1	\$5,000.00
177	2	\$10,000.00
178	1	\$3,000.00
179	42	\$567,792.22
180	1	\$10,000.00
181	1	\$2,500.00
182	1	\$4,400.00
183	3	\$6,920.00
184	1	\$1,106.00
185	1	\$10,000.00
186	1	\$6,944.77
<b>TOTAL</b>	<b>650</b>	<b>\$8,240,585.51</b>

Table SR-14. FY 2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
1	1	\$18,450.00
2	1	\$8,625.00
3	1	\$600.00
4	1	\$4,040.00
5	20	\$82,310.79
6	1	\$22,750.00
7	1	\$3,495.00
8	1	\$1,920.00
9	1	\$5,000.00
10	1	\$3,245.00
11	1	\$5,000.00
12	9	\$148,594.17
13	2	\$12,550.00
14	6	\$25,000.00
15	3	\$41,500.00
16	1	\$85,000.00
17	1	\$2,500.00
18	48	\$201,904.99
19	1	\$30,000.00
20	2	\$13,100.00
21	3	\$56,000.00
22	1	\$5,000.00
23	1	\$2,800.00
24	1	\$39,613.34
25	20	\$68,900.00
26	1	\$5,000.00
27	4	\$20,700.00
28	2	\$2,185.00
29	2	\$5,000.00
30	1	\$41,180.00
31	2	\$25,600.00
32	1	\$1,045.00
33	1	\$3,200.00
34	1	\$6,000.00
35	2	\$44,980.99
36	1	\$5,660.00
37	1	\$5,000.00
38	1	\$183,500.00
39	1	\$75,951.00

Table SR-14. FY 2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
40	1	\$900.00
41	3	\$10,000.00
42	12	\$78,120.00
43	1	\$1,995.00
44	9	\$52,317.32
45	3	\$54,025.00
46	122	\$274,440.59
47	1	\$3,975.00
48	1	\$46,930.00
49	1	\$3,000.00
50	22	\$161,818.96
51	2	\$14,500.00
52	7	\$82,500.00
53	2	\$10,000.00
54	9	\$26,400.90
55	1	\$2,685.00
56	1	\$625.00
57	1	\$7,000.00
58	1	\$2,995.00
59	3	\$72,150.00
60	1	\$10,000.00
61	1	\$66,666.66
62	1	\$4,221.18
63	1	\$3,300.00
64	1	\$10,000.00
65	1	\$2,500.00
66	3	\$77,269.83
67	1	\$40,080.00
68	21	\$71,460.50
69	1	\$9,301.00
70	1	\$5,400.00
71	1	\$1,500.00
72	2	\$110,000.00
73	2	\$9,175.00
74	1	\$200,000.00
75	1	\$50,000.00
76	1	\$2,000.00
77	1	\$4,500.00
78	2	\$34,048.00
79	6	\$17,480.00

Table SR-14. FY 2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
80	1	\$30,000.00
81	2	\$50,018.15
82	1	\$1,200.00
83	2	\$47,329.00
84	1	\$3,000.00
85	1	\$17,922.70
86	4	\$86,286.00
87	1	\$500.00
88	1	\$4,250.00
89	1	\$3,250.00
90	3	\$101,243.93
91	1	\$3,333.34
92	1	\$7,195.00
93	1	\$1,000.00
94	1	\$68,854.42
95	1	\$1,500.00
96	2	\$21,668.00
97	1	\$6,000.00
98	1	\$4,000.00
99	1	\$1,500.00
100	2	\$15,947.31
101	1	\$2,000.00
102	1	\$24,500.00
103	1	\$16,000.00
104	1	\$1,000.00
105	2	\$38,000.00
106	3	\$146,763.32
107	1	\$2,000.00
108	3	\$2,845.00
109	1	\$3,300.00
110	3	\$11,050.00
111	2	\$15,835.00
112	1	\$60,000.00
113	1	\$32,500.00
114	4	\$18,757.00
115	12	\$547,394.01
116	1	\$24,000.00
117	1	\$3,000.00
118	1	\$3,000.00
119	1	\$15,000.00

Table SR-14. FY 2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
120	5	\$14,500.00
121	1	\$1,500.00
122	39	\$244,335.00
123	2	\$17,900.00
124	1	\$2,000.00
125	5	\$12,922.50
126	1	\$2,000.00
127	1	\$9,666.34
128	1	\$3,393.02
129	1	\$3,500.00
130	1	\$12,000.00
131	2	\$9,076.50
132	2	\$12,749.81
133	1	\$60,000.00
134	1	\$100,000.00
135	4	\$33,323.32
136	1	\$2,000.00
137	3	\$10,000.00
138	14	\$76,935.00
139	2	\$7,991.50
140	2	\$157,307.00
141	6	\$20,335.00
142	1	\$3,000.00
143	11	\$301,864.43
144	4	\$80,813.00
145	1	\$300.00
146	6	\$21,000.00
147	2	\$3,100.00
148	2	\$2,000.00
149	6	\$20,356.00
150	1	\$1,585.00
151	1	\$1,800.00
152	1	\$15,568.00
153	1	\$40,834.36
154	3	\$4,500.00
155	1	\$4,250.00
156	1	\$15,000.00
157	1	\$2,774.00
158	4	\$66,666.68
159	1	\$15,000.00



Table SR-14. FY 2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
160	16	\$56,313.47
161	1	\$100,000.00
162	2	\$62,651.55
163	1	\$100,000.00
164	2	\$4,300.00
165	2	\$2,500.00
166	1	\$1,750.00
167	1	\$1,200.00
168	4	\$8,000.00
169	8	\$20,440.54
170	1	\$37,403.94
171	1	\$8,370.00
172	1	\$3,400.00
173	1	\$15,000.00
174	1	\$950.00
175	4	\$15,995.00
176	1	\$1,000.00
177	1	\$5,000.00
178	1	\$3,825.00
179	29	\$209,755.60
180	1	\$74,900.00
181	1	\$1,977.50
182	1	\$21,000.00
183	1	\$75,855.84
184	6	\$21,210.00
185	2	\$32,050.00
186	1	\$2,700.00
187	1	\$10,000.00
188	1	\$3,500.00
189	1	\$600.00
190	1	\$67,065.75
191	2	\$22,500.00
192	3	\$49,300.00
193	1	\$3,591.52
194	1	\$1,950.00
195	1	\$15,000.00
196	1	\$50,000.00
197	1	\$100,000.00
198	2	\$11,952.63
199	1	\$10,000.00

Table SR-14. FY 2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
200	1	\$5,031.00
201	1	\$2,440.00
202	1	\$3,750.00
203	1	\$6,500.00
204	2	\$5,102.00
205	1	\$4,000.00
206	1	\$5,000.00
207	2	\$12,045.00
208	3	\$95,480.00
209	4	\$68,423.98
210	4	\$18,000.00
211	1	\$5,000.00
212	3	\$5,200.00
213	3	\$5,706.00
214	1	\$2,850.00
215	4	\$5,640.00
216	2	\$9,895.00
217	1	\$12,000.00
218	2	\$52,000.00
219	2	\$10,400.00
220	1	\$4,466.00
221	1	\$2,333.33
222	1	\$2,495.00
223	1	\$4,965.55
224	4	\$12,350.00
225	4	\$10,100.00
226	1	\$1,500.00
227	3	\$9,395.00
228	7	\$16,150.00
229	5	\$8,735.00
230	3	\$37,418.41
231	3	\$82,600.00
232	1	\$10,500.00
233	1	\$1,500.00
234	1	\$22,750.00
235	1	\$100,000.00
236	1	\$2,880.00
237	5	\$20,000.00
238	1	\$3,000.00
239	5	\$58,151.00

Table SR-14. FY 2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
240	13	\$38,705.00
241	1	\$5,000.00
242	2	\$30,800.00
243	56	\$564,850.27
244	2	\$6,500.00
245	2	\$5,150.00
246	8	\$25,000.00
247	2	\$18,186.04
248	1	\$1,635.00
249	1	\$2,000.00
250	1	\$650.00
251	1	\$2,000.00
252	2	\$6,200.00
253	1	\$6,500.00
254	2	\$950.00
255	1	\$500.00
256	2	\$6,000.00
257	1	\$3,500.00
258	1	\$7,500.00
259	2	\$5,985.00
260	1	\$137,375.16
261	4	\$20,500.00
262	2	\$26,500.00
263	2	\$9,575.00
264	1	\$3,500.00
265	1	\$5,000.00
266	1	\$12,766.50
267	1	\$74,100.00
268	3	\$140,823.00
269	1	\$2,500.00
270	1	\$3,500.00
271	2	\$4,000.00
272	1	\$20,000.00
<b>TOTAL</b>	<b>940</b>	<b>\$8,981,480.44</b>

## Cost of the Discipline System

**Section 6086.15, subdivision (a)(11)** An accounting of the cost of the discipline system by function

Table SR-15 reflects the cost of programs included in the Supreme Court's November 2016 order approving an interim special regulatory assessment, which authorized the State Bar to assess 2017 attorney licensing fees for discipline-related functions.<sup>45</sup>

Table SR-15 Cost of the Discipline System	FY 2019	FY 2020	FY 2021
Chief Trial Counsel	\$47,283,614	\$56,816,480	\$59,527,958
Probation	\$1,491,859	\$1,847,959	\$1,821,285
Mandatory Fee Arbitration	\$78,487	\$68,541	\$33,436
State Bar Court	\$12,015,144	\$13,541,255	\$13,696,960
Professional Competence	\$2,647,774	\$2,919,868	\$2,861,989
Regulation Division	\$5,177,381	\$5,577,749	\$5,644,334
Communications (70%) <sup>46</sup>	\$521,774	\$699,547	\$719,692
Licensee Billing	\$380,888	\$385,415	\$758,501
General Counsel	\$2,811,561	\$3,120,330	\$4,356,820
<b>Total</b>	<b>\$72,408,483</b>	<b>\$84,977,144</b>	<b>\$89,420,974</b>

Table SR-15 Cost of the Discipline System (cont.)	FY 2022	FY 2023
Chief Trial Counsel	\$61,171,413	\$68,512,101
Probation	\$1,821,057	\$1,990,858
Mandatory Fee Arbitration	\$30,822	\$662,423
State Bar Court	\$13,908,598	\$14,555,248
Professional Competence	\$3,488,214	\$4,030,422
Regulation Division	\$6,362,273	\$6,624,249
Communications (70%)	\$752,488	\$1,219,897
Licensee Billing	\$816,752	\$706,678
General Counsel	\$4,111,875	\$6,005,916
<b>Total</b>	<b>\$92,463,493</b>	<b>\$104,307,793</b>

<sup>45</sup> The court's order included funding for activities of the California Young Lawyers Association (CYLA) related to the discipline system. The CYLA is no longer a part of the State Bar, so those costs are not included in table SR-15. The court's order also referenced Attorney Regulation & Consumer Resources, a function now captured under the header Regulation Division.

<sup>46</sup> This percent reflects the portion of Office of Communications resources devoted to its principal roles, which are to help Californians understand how to access the resources of the discipline system and to ensure that attorneys understand their professional ethical obligations.

## APPENDIX A: GLOSSARY OF ATTORNEY DISCIPLINE REPORT TERMINOLOGY

The State Bar Act (section 6000 et seq.) and Rules of Procedure adopted by the State Bar Board of Trustees to govern proceedings in the State Bar Court include definitions of many technical terms used in the State Bar's discipline system. Definitions of some of those key terms, as well as definitions of data elements used in this report, are presented here.

**Case:** An individual complaint, Office of Probation referral, State Bar initiated inquiry, reportable action, motion to enforce fee arbitration, motion to revoke probation, motion to terminate practice,\* or motion to impose interim suspension or license restrictions (petitions pursuant to section 6007).

### Case Initiation Date:

- For **complaints**: the date on which the written complaint is received in the Intake Unit.<sup>47</sup>
- For **probation referrals**: the date on which the referral is received in OCTC.
- For **State Bar initiated inquiries**: the date on which the inquiry is received in the Intake Unit.
- For **reportable actions**: the date on which the report is received in the Intake Unit.
- For **motions to enforce fee arbitration**: the date on which the Mandatory Fee Arbitration Program files the motion in State Bar Court.
- For **motions to revoke probation**: the date on which the Office of Probation files the motion in State Bar Court.
- For **petition to terminate practice**:\* the date on which the case is opened in the Intake Unit.
- For **petition to impose interim suspension or license restrictions pursuant to section 6007**: the date on which the case is opened in the Intake Unit.

**Complaint:** A written complaint submitted by a complaining witness to OCTC:

- A single written complaint that lists multiple respondents is counted as a separate complaint against each respondent.
- A single written complaint signed by multiple complaining witnesses (e.g. a married couple) against a respondent is counted as one complaint.
- Independently submitted written complaints against a single respondent are counted separately.

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\* While section 6086.15 directs the State Bar to report on "motions to terminate practice," the State Bar refers to these as "motions to assume jurisdiction pursuant to section 6180 or 6190 (for attorneys) or 6126.3 (for nonattorneys)."

<sup>47</sup> Complaints received after 4:30 p.m. or on non-business days are deemed received on the next business day.

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### Court Closing Date:

- For **cases filed in State Bar Court**: the date the court records as the closing date of the case.
- For **initial 6180/6190/6126.3 petitions filed in Superior Court resulting in denial or dismissal of OCTC's petition**: the date on which OCTC closes the case.
- For **initial 6180/6190/6126.3 petitions filed in Superior Court resulting in Superior Court jurisdiction (i.e., granting the petition)**: the case remains open until OCTC closes the case following the Superior Court granting a petition to terminate Superior Court jurisdiction.<sup>48</sup>

**Demographics:** In 2019, the State Bar launched the Attorney Census data collection effort to support the five-year strategic plan's commitment to diversity, equity, and inclusion in the legal profession. This voluntary annual survey collects demographic data including race/ethnicity and gender. The question on race/ethnicity provides the following options, with multiple selections allowed:

- Hispanic/Latino
- Asian
- White
- Black or African American
- Middle Eastern or North African
- American Indian or Alaska Native
- Native Hawaiian or Other Pacific Islander
- Other race, ethnicity, or origin (please specify): \_\_\_\_\_

The gender question provides the following options, again with multiple selections allowed:

- Female
- Male
- Gender Variant/Nonconforming/Nonbinary
- Two Spirit
- Not list (please specify): \_\_\_\_\_

For reporting purposes, the race/ethnicity of disciplined attorneys was limited to the largest groups with the remaining categories consolidated into a single category ("Other"). Similarly, the latter three gender categories were consolidated. The final set of reporting categories are as follows:

#### Race/ethnicity

- Hispanic/Latino
- Asian
- White

#### Gender

- Women
- Men
- Other

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<sup>48</sup> This may occur many months or years after the initial assumption of jurisdiction petition is granted.

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- Black or African American
- Other

Given the voluntary nature of the survey, an “unknown” category is included to capture those who did not provide the information, or in rare instances, provided information that cannot be appropriately categorized.

The Attorney Census serves as primary data source for the analyses of discipline attorneys. State Bar exam takers are also asked to provide demographic information when they apply to take the exam. This data source is available for admitted attorneys since the late 1980s. The final dataset used for the demographic reporting was derived from consolidating these two data sources, with remapping and regrouping some answer options that have changed over the years. In this consolidated dataset, approximately 5 percent of active attorneys have missing data on race/ethnicity or gender.

### Dispositions (OCTC):

- ***Closed with Nondisciplinary Action:*** Closed with a warning letter, directional letter, resource letter, or agreement in lieu of discipline.
- ***Closed with Referral:*** Closed upon referral to other processes or agencies, including mandatory fee arbitration, law enforcement,<sup>49</sup> and alternative dispute resolution.
- ***Filed in State Bar Court:*** Formal filing, including Notice of Disciplinary Charges, Stipulation to Facts and Discipline, transmittal of a criminal conviction case, or petition pursuant to section 6007.
- ***Filed in Superior Court:*** Petition pursuant to section 6180, section 6190, or section 6126.3 filed in superior court.
- ***Closed with No Action:*** Closed by OCTC with no further action.

### Dispositions (State Bar Court):

- **For complaints, State Bar Inquiries, Probation Referrals, and Reportable Actions:**
  - ***Discipline Imposed:*** Disbarment, suspension, probation, reproof, revocation of probation, or extension of probation.<sup>50</sup>
  - ***Closed with Nondisciplinary Action:*** Admonition or the granting of a petition pursuant to section 6007.
  - ***Closed with No Action:*** Closed by the court with dismissal, termination, or denial of petition.

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<sup>49</sup> A referral to a law enforcement agency is not, by itself, a reason for closing a case; this disposition captures the number of closed cases that included a referral to a law enforcement agency.

<sup>50</sup> A case is disposed with “Discipline Imposed” only after a final order of the California Supreme Court imposing discipline becomes effective, or when the State Bar Court issues a reproof.

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### Dispositions (Superior Court):

- **Petition Granted:** Initial petition for assumption of jurisdiction pursuant to section 6180, section 6190, or section 6126.3<sup>51</sup> is granted by a superior court.
- **Petition Denied/Dismissed:** Closed upon denial or dismissal by the court of an initial petition to assume jurisdiction over a practice pursuant to section 6180, section 6190, or section 6126.3.

**Initial Filing Date:** The date on which a case is formally filed in State Bar Court or Superior Court by OCTC, Probation, or the Mandatory Fee Arbitration Program.

### Major Case:

- A case involving significant publicity, or the likelihood of significant publicity, or involving issues of special interest to the public, the legal profession, or the State Bar.
  - This category includes matters involving allegations of significant harm or potential harm, to clients or others, likely to generate publicity or be of special interest to the public.
  - This category also includes allegations that a prosecutor has engaged in misconduct in the course of a criminal prosecution, if a court or government office (such as the U.S. Department of Justice's Office of Professional Responsibility or a District Attorney's Office) has found such misconduct to have occurred, whether or not the prosecutorial misconduct resulted in harm.
  - This category also includes matters that have already generated significant publicity, for example, matters that have been the subject of legislative inquiries or extensive media reports.
  - This category also includes matters with the potential to generate significant criticism of the State Bar if there is disagreement with the outcome of the investigation. Such matters may include allegations of repeated or serious misconduct where multiple earlier complaints alleging similar misconduct did not result in action by the State Bar.
  - This category may overlap with the more specific categories below, including where a matter in one of those more specific categories has already generated or is likely to generate significant publicity, has resulted in significant harm or potential harm, or has the potential to generate significant criticism of the State Bar. Such matters should be designated as falling within both this category and the more specific category.
- A case referred to the State Bar by the Supreme Court or the Commission on Judicial Performance.

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<sup>51</sup> This is treated as the disposition of the case for the purposes of the Annual Discipline Report. However, the case technically remains open until the seized practice is fully resolved, which often takes years.



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- A case involving a complaint submitted by an elected or appointed public official, judge, or well-known public figure.
- A case involving allegations of misconduct by an elected or appointed public official or well-known public figure.
  - This category includes allegations of misconduct of any type by elected or appointed District Attorneys, City Attorneys, County Counsel, Attorneys General, United States Attorneys, or Public Defenders, who are considered public officials, or high-ranking supervisors or managers within their offices.
  - This category also includes allegations that a prosecutor has engaged in misconduct in the course of a criminal prosecution, even in the absence of a finding by a court or government office (such as the U.S. Department of Justice's Office of Professional Responsibility) that such misconduct has occurred.
- A case involving investigation of a respondent who has been reinstated to the practice of law following disbarment or resignation with disciplinary charges pending.

**Motion to Enforce Result of Fee Arbitration:** A motion filed in State Bar Court by the State Bar's Mandatory Fee Arbitration Program to enforce the outcome of a binding fee arbitration.<sup>52</sup>

**Motion to Revoke Probation:** A motion filed by Probation in State Bar Court to revoke probation of a licensed attorney under Probation supervision.<sup>53</sup>

**Pendency in State Bar Court:** Number of days from the Case Initiation Date to the Court Closing Date.<sup>54</sup>

**Pendency in Superior Court:** Number of days from the Case Initiation Date until the date the Superior Court ruled to either grant or deny the initial petition to assume jurisdiction over a practice pursuant to section 6180, section 6190, or section 6126.3.

**Pendency:** Number of days between the Case Initiation Date and a specified milestone. Note that Pendency is always calculated from the original Case Initiation Date, regardless of whether the case has been closed and reopened.

- ***Pendency at Year End in OCTC:*** for cases Pending in OCTC at year end, the number of days between the Case Initiation Date and period end.
- ***Pendency at Year End in State Bar Court:*** for cases Pending in State Bar Court at year end, the number of days between the Case Initiation Date and period end.

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<sup>52</sup> OCTC plays no role in these proceedings.

<sup>53</sup> OCTC plays no role in these proceedings.

<sup>54</sup> Includes any appellate review and time taken to receive the final order from the Supreme Court as well as any time during which proceedings are abated while a respondent is participating in the Alternative Discipline Program (ADP), which provides monitored support for attorneys receiving substance abuse or mental health treatment who have stipulated to certain facts, conclusions of law, and the level of discipline to be imposed in State Bar Court, prior to entering the ADP.

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- **Pendency at OCTC Case Disposition:** the number of days between the Case Initiation Date and the date the case was either closed or filed in State Bar Court.
- **Pendency at Closure:** for cases closed during a particular year, the number of days between the Case Initiation Date and the date the case was closed.

**Petition to Impose Interim Suspension or License Restrictions:** A petition filed by OCTC in State Bar Court pursuant to section 6007.

**Petition to Terminate Practice:** A petition filed by OCTC in Superior Court to close down and assume responsibility for the practice of an attorney, former attorney, or nonattorney pursuant to section 6180, section 6190, or section 6126.3

**Probation Referral:** Notification from Probation to OCTC of the failure of an attorney under Probation supervision to comply with the terms of probation.

**Reportable Action:** A report of an event statutorily mandated to be reported to the State Bar:

- **Self-Reported:** Reports received from licensed attorneys regarding themselves pursuant to section 6068, subdivision (o) and section 6086.8, subdivision (c).
- **Other-Reported:** Reports received from specified mandated reporters pursuant to section 6086.7, section 6086.8, subdivisions (a) and (b), section 6091.1, section 6101, subdivision (b), and section 6175.6.

**State Bar Initiated Inquiry:** An inquiry into possible misconduct of an attorney initiated by OCTC based on information other than a written complaint, Probation referral, or reportable action.

**Suspended matters:** Matters that are abated by OCTC or after filing in State Bar Court. This action is usually taken where there are other investigations or cases pending against a respondent and prosecution of those other complaints is likely to result in disbarment of the lawyer.

**Unauthorized Practice of Law (UPL):** Active State Bar license status is a requirement for practicing law in California. State Bar Rules, as well as state law, provide authority to investigate UPL, seek civil penalties, assume jurisdiction over the practice, and refer violations to law enforcement authority. These activities may be directed toward attorneys licensed in other states but not in California; suspended, disbarred, or otherwise inactive or formerly licensed California attorneys; and those who have never been licensed to practice law.

## APPENDIX B: POTENTIAL CONFLICTS OF INTEREST: RULE 2201

The purpose of State Bar Rule of Procedure 2201 is to ensure impartiality in disciplinary decision-making and to avoid the appearance of bias. Rule of Procedure 2201 requires the recusal of the Office of Chief Trial Counsel in any case involving individuals with close ties to the State Bar. Pursuant to Rule 2201, all complaints against attorneys who are identified as falling into a Rule 2201 category are automatically referred to a Special Deputy Trial Counsel (SDTC) Administrator, who conducts a preliminary review to determine whether to close the matter or appoint an SDTC to investigate the matter further. The rule allows the administrator and SDTC to be compensated for services rendered and for reimbursement of costs and expenses in all rule 2201 matters. Table B provides information about cases falling under Rule 2201.

Table B. Complaints Subject to Rule 2201	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
Closed without Investigation	157	84	136	65	147
Closed after Investigation	39	41	76	27	62
Pending Assignment to SDTC	19	2	5	24	3
Pending in Investigation	67	103	55	53	49
Total	282	230	272	169	261

## APPENDIX C: CALIFORNIA'S ATTORNEY DISCIPLINE SYSTEM

In California, an attorney is licensed when admitted to the State Bar; only attorneys with active status may practice law. The State Bar is a constitutional agency established in the judicial branch. In administering the requirements for admission and discipline of California lawyers, the State Bar is an administrative arm of the California Supreme Court. Under its inherent judicial power to regulate admission and discipline, it is the Supreme Court that admits, disbars, or suspends a lawyer from the practice of law.

In California's attorney discipline system, communication and information concerning alleged misconduct of California lawyers is handled by the State Bar's Office of Chief Trial Counsel (OCTC). OCTC investigates those complaints involving allegations of professional misconduct and may initiate and prosecute disciplinary proceedings in State Bar Court. The Hearing Department of the court conducts evidentiary hearings and renders a decision with findings and recommendations of discipline that are reviewable by the court's Review Department. In each case, the court's final decision and accompanying record are then transmitted to the Supreme Court. In cases where the court recommends the suspension or disbarment of a lawyer, the Supreme Court undertakes an independent determination of the discipline to be imposed. Discipline occurs with a final decision and order of the Supreme Court.<sup>55</sup> Following is a more detailed description of the attorney discipline process.

### INQUIRY

The disciplinary process typically begins with receipt of a written complaint in OCTC. Staff in OCTC receive and review complaints that allege ethical misconduct by an attorney or the unauthorized practice of law by a nonattorney. OCTC conducts the initial review of a complaint to determine whether to close it or forward it for investigation. If a complaint sufficiently alleges misconduct, OCTC assigns it for investigation. If it does not, OCTC closes the complaint.

Some complaints lack sufficient detail to allow OCTC to make an informed decision at the outset as to whether or not to assign a case for investigation. In these cases, OCTC will seek additional information to determine the next steps. This information gathering may involve contacting the complainant, reviewing court records, searching the internet, or conducting legal research. For example, in evaluating an allegation of failing to perform competently, if it is unclear whether an attorney-client relationship exists, OCTC will contact the complainant to try to secure a fee agreement or other evidence of such a relationship. If a complaint involves a violation of a court order, OCTC will attempt to obtain a copy of the order if it is not included with the complaint. If a complaint alleges failure to return an unearned fee, OCTC may request billing statements or an accounting to determine if there is a plausible claim of misconduct, and may assist the complainant in recovering fees from the respondent.

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<sup>55</sup> Public and private reprovls are also considered formal discipline; issuance of a reprovl by the court does not require Supreme Court action.

## APPENDIX C

### INVESTIGATION

Investigations are carried out by investigators in OCTC, under the guidance and supervision of OCTC attorneys. Investigators may interview witnesses and respondents, subpoena and analyze bank records, obtain court documents, and otherwise evaluate and analyze the case to determine whether there is clear and convincing evidence of attorney misconduct that would allow OCTC to bring disciplinary proceedings in court. After a determination to proceed with disciplinary proceedings, the complaint advances to the prefiling stage.

When multiple complaints are made against the same attorney, OCTC may focus its resources and prosecutorial efforts on those complaints most likely to result in disbarment. In such an event, the investigation of the other complaints may be suspended or “held.” If the Supreme Court orders the attorney's disbarment, prosecution of the suspended cases will no longer be necessary and the remaining complaints will not be investigated further.<sup>56</sup> If the attorney is not disbarred, however, OCTC may reactivate any suspended investigations. If an attorney is the subject of a criminal prosecution or party to civil action for the same misconduct, OCTC may suspend its investigation until the criminal or civil proceedings have concluded.

### PREFILING

Before finalizing formal charges, OCTC evaluates the evidence gathered during the investigation and any subsequent information received from the respondent or other source. Where OCTC has determined there is sufficient evidence to file a Notice of Disciplinary Charges, OCTC will notify the respondent in writing of the intent to file such charges and the attorney's right to request a confidential Early Neutral Evaluation (ENE) conference. Either party may request an ENE before a State Bar Court judge who will orally evaluate the facts, charges, and potential for discipline. Prior to the ENE, OCTC must provide the ENE judge with a draft or summary of the charges and OCTC's settlement position. Regardless of whether either party requests an ENE, OCTC also provides the respondent an opportunity to request informal discovery and to discuss potential settlement. If the parties are unable to reach a resolution or the respondent does not respond to OCTC's written notice, OCTC will proceed to file charges.

After the filing of formal charges, the parties may explore the appropriateness of participation in the Alternative Discipline Program (ADP) for respondents with substance abuse and/or mental health concerns. Participation is contingent upon the following: (1) the court's approval of a stipulation of facts and conclusions of law signed by the parties; (2) evidence that the respondent's substance abuse or mental health issue causally contributed to the misconduct; and (3) respondent's acceptance into the State Bar's Lawyer Assistance Program (LAP). The extent and severity of the respondent's stipulated misconduct, including the degree of harm suffered by their clients, if any, are factors in determining eligibility for the ADP. The stipulation includes the level of discipline that will be imposed if the program is completed successfully, and a higher level of discipline that will be imposed if the attorney does not complete the program. If the respondent successfully completes the ADP, the disposition may be dismissal of the charges or proceeding or some other level of discipline less than

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<sup>56</sup> Complainants in cases dismissed under these circumstances are eligible for reimbursement through the Client Security Fund.

## **APPENDIX C**

disbarment; if the respondent does not complete the ADP, the higher level of discipline will be imposed.

### **HEARING AND REVIEW**

After the filing of disciplinary charges, OCTC prosecutes the case in the Hearing Department, which is the trial level of the court. Five full-time judges hear and decide cases, and make recommendations to the Supreme Court in cases where proposed discipline includes suspension or disbarment. If the discipline is limited to reproof, it is imposed by the court without review by the Supreme Court.

The Review Department is the appellate level of the State Bar Court, consisting of the presiding judge and two other review judges. The three-judge panel acts on a statewide basis to conduct de novo reviews of Hearing Department decisions and orders in cases in which at least one of the parties has sought review. Review judges review and decide cases, and make recommendations to the Supreme Court in cases in which one or both of the parties have sought review of a Hearing judge's decision, exercise temporary suspension and other powers delegated to it by the Supreme Court according to rule 9.10, California Rules of Court; and conduct discretionary interlocutory review on issues materially affecting the outcome of the Hearing Department cases.

### **SUPREME COURT**

Upon the filing of the court's decision and the record, the Supreme Court conducts its own independent determination and action. Discipline is not imposed until the Supreme Court issues its final order or decision.

Chart C1 on the following page shows the flow of client complaints, as described above. Charts C2 and C3 on the subsequent pages reproduce the brochure published on the State Bar's website in English and Spanish and provided to members of the public who contact the State Bar

Chart C1: Client Complaint Process



The State Bar of California

# Client Complaint Process

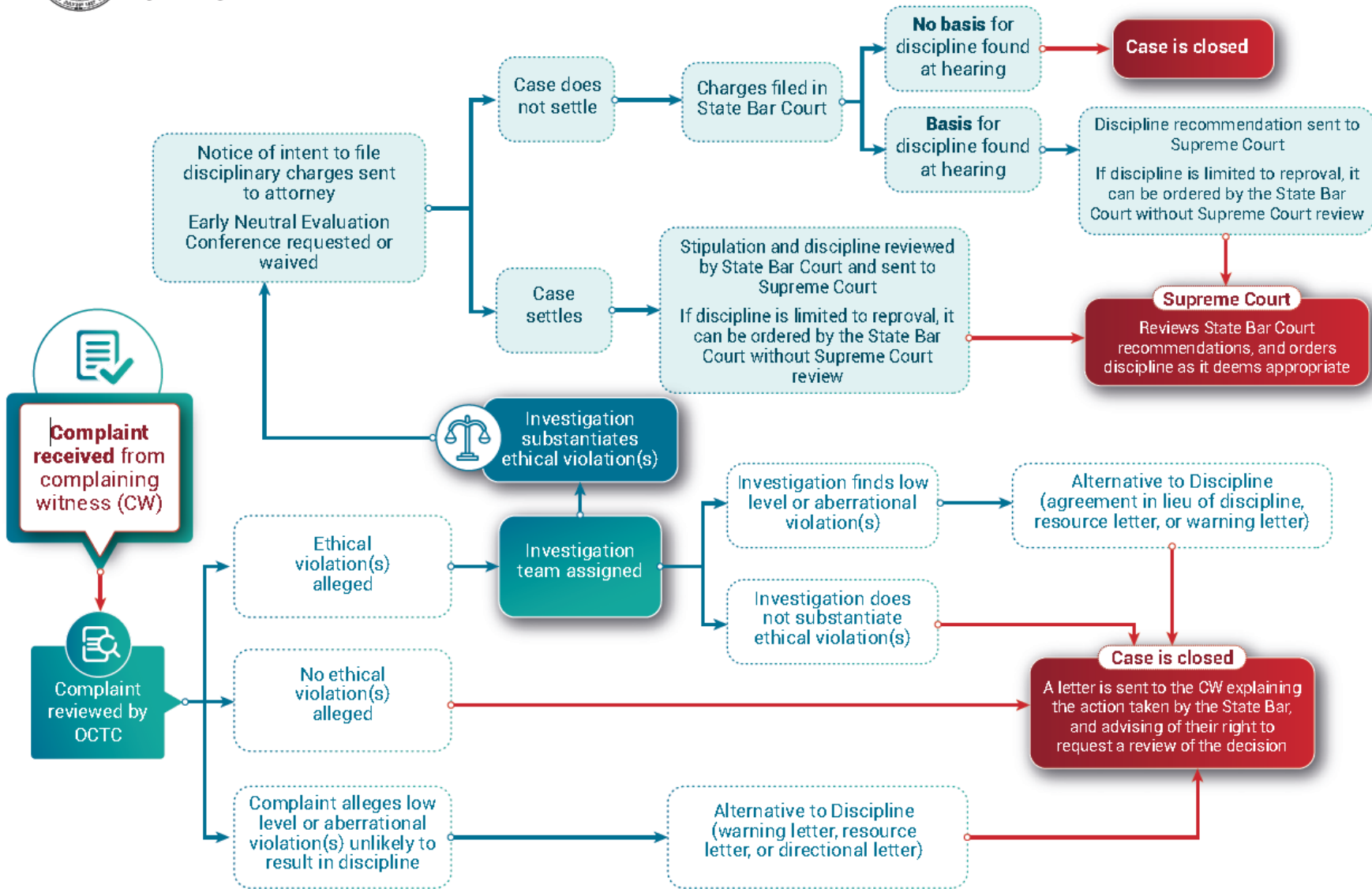


Chart C2: Client Complaint Flow Chart



# What Happens After I File a Complaint Against an Attorney?

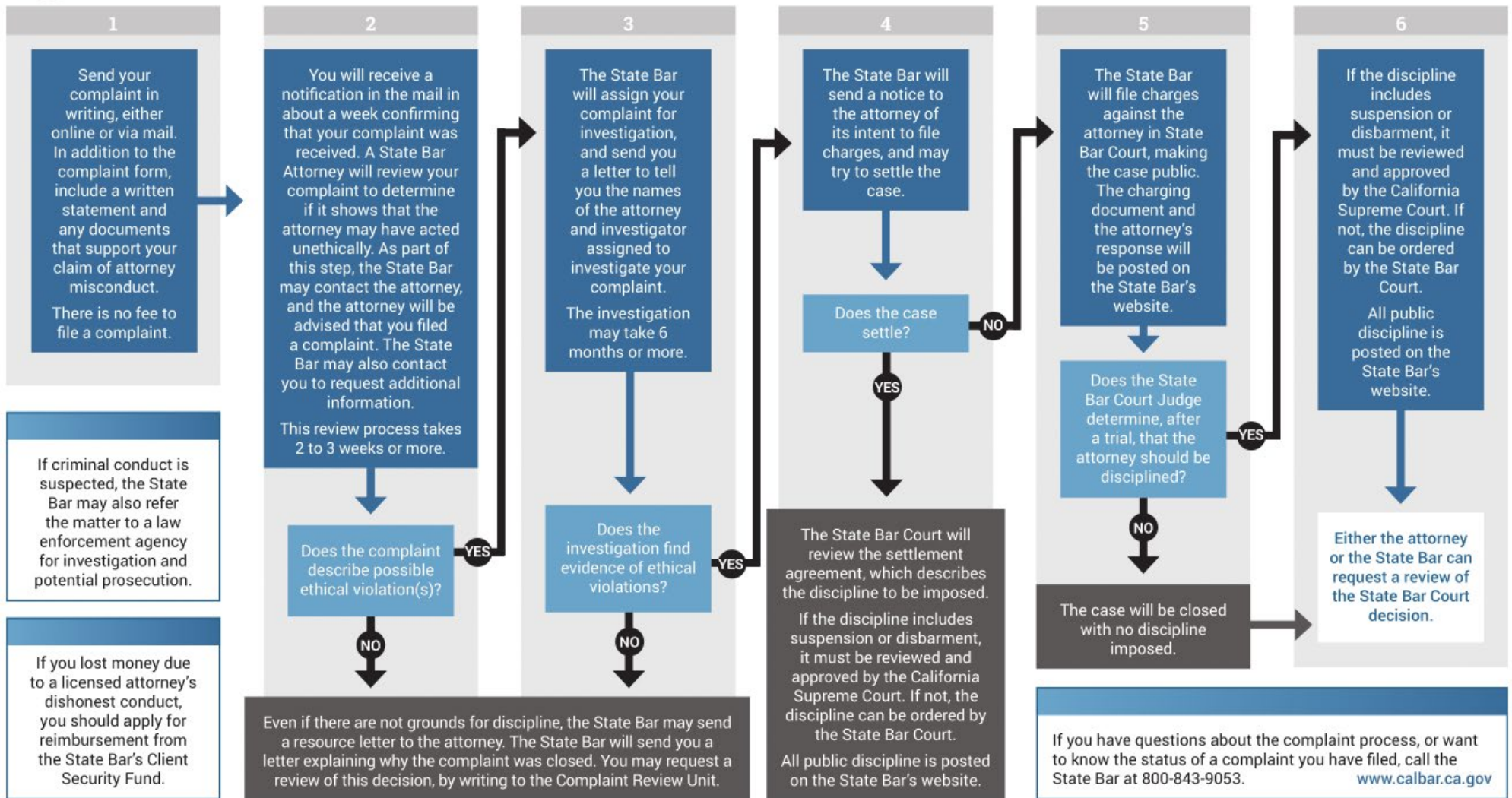


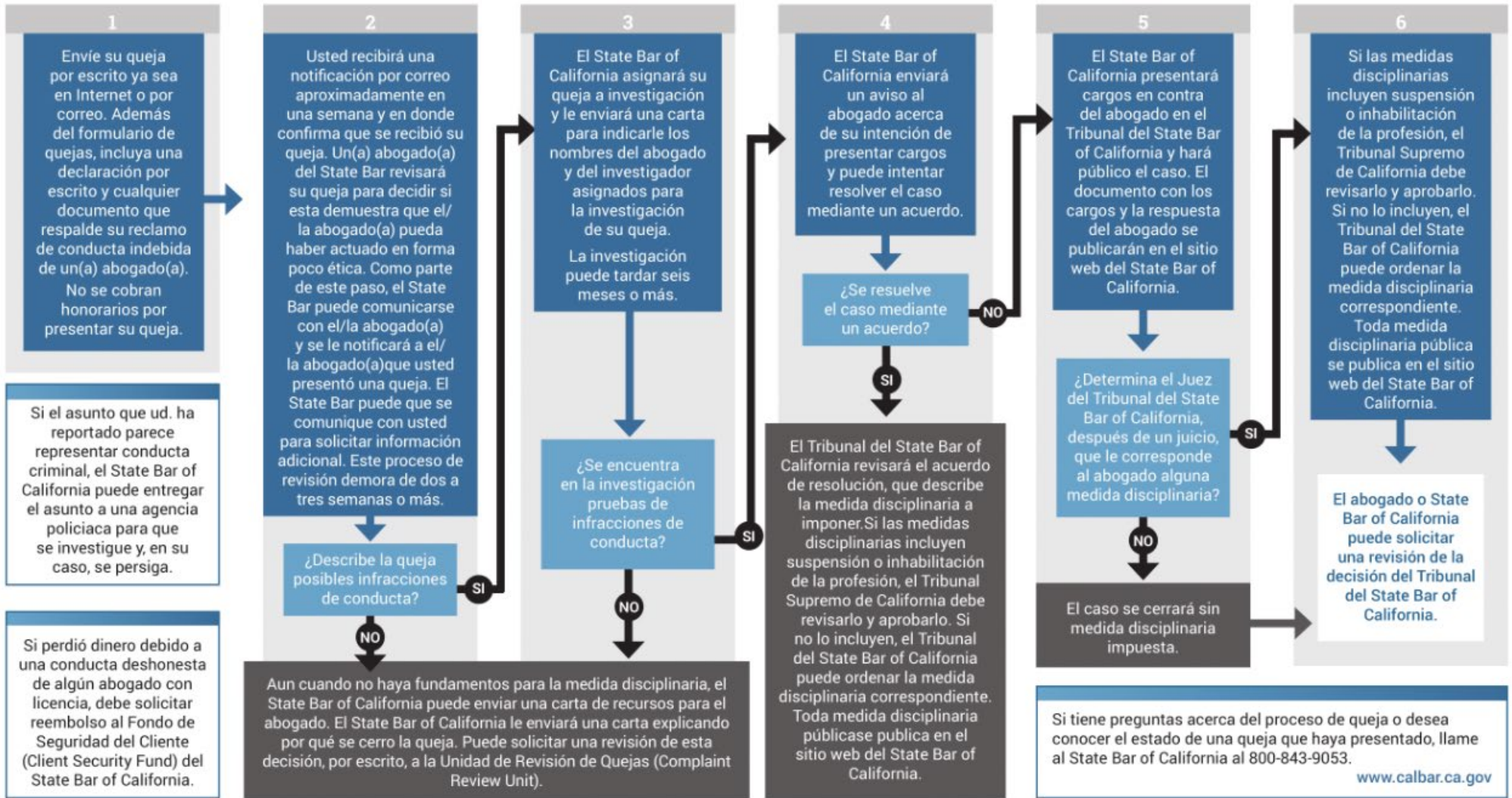


Chart C3: Client Complaint Process (Spanish)



The State Bar of California

# ¿Qué sucede cuando presento una queja contra un abogado?



## APPENDIX D: REPORT METHODOLOGY

### CASE TYPE DEFINITIONS

Case type definitions have been broadened to ensure the ADR covers as many cases as possible. All original matter complaints are now included in the report, whereas previous reports only included complaints originating from complaining witnesses. Specifically, two sets of factors within the OCTC case management system are used to determine case type: (1) Case type code; (2) Case origin code. The definition for "Complaints," for example, depends on the case type being coded as "O" and the Origin field containing the code value of "CW" ("Complaining Witness"). Both restrictions were modified to broaden the definition for "Complaints." In addition to "O" case type, two new case type codes are now reported in the "Complaint" case type, including "J" (complaint referrals from other jurisdictions) and "N" (9.20 violation of State Bar Court Order). As for the Origin field this was expanded to include all origins, except for "State Bar Initiated" and "Probation Referral".<sup>57</sup>

Similarly, for case type "Reportable Action – Other," it was previously based on case type being tied to specific reportable actions (referrals from the bank, court, insurance, etc.) as well as the Case Origin coded with a specific list of origins. This restrictive criterion resulted in a small number of cases not being reported when the Case Origin field is blank. Cases in the "Reportable Action – Other" category now do not have any reliance on the Case Origin code and include all Reportable Action cases that are not self-reported.

As the changes in case type definition described above involve mainly the removal of a narrow set of explicit restrictions, these changes resulted in only a small increase of cases reported in the relevant tables noted above (SR-1B, SR-2, SR-5), around 1 to 2 percentage points. The affected tables are also displayed in Appendix D using the old definitions.

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<sup>57</sup> Since 2020 when the reporting database for ADR switched from the legacy system to Odyssey, OCTC's new case management system implemented in 2019, the State Bar has been evaluating the report's query logic and the underlying data on an ongoing basis. One of the long-standing issues has to do with the parameters that grouped the cases into five major categories: (1) Complaints; (2) State Bar initiated inquiries; (3) Probation referrals; (4) Reportable Action – Self; and (5) Reportable Action – Other. These five case types are reported in a few key tables related to different metrics, including tables SR-1B on case processing goals, SR-2 on case inventory and disposition, and SR-5 on case processing time.

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### DATA

Until 2018, the State Bar used the AS400 database to manage information in the Office of Chief Trial Counsel (OCTC), Probation, and State Bar Court. While AS400 is a functional database, it is an antiquated system lacking many key features required for a modern case management system, such as the paperless handling of cases.

The State Bar identified Odyssey as a replacement for AS400 for handling discipline cases, and spent several years working with the Odyssey developer, Tyler Technologies, to configure Odyssey to the State Bar's needs. Beginning in mid-2018, Odyssey was used for case management and tracking of discipline cases. In 2018, cases were entered in both Odyssey and AS400; the 2018 Annual Discipline Report was based on data drawn from AS400.

### PRIOR YEAR DATA

Beginning in 2019, case management transitioned entirely to Odyssey, and information was no longer entered into AS400. While data from AS400 was converted into Odyssey, the migration of prior year data was not perfect. Replication of prior year data for the ADR from Odyssey proved challenging, requiring significant staff resources to identify and correct data migration errors. A decision was made to "freeze" data reported in the 2018 Annual Discipline Report that was previously obtained from AS400. In producing the ADR statistical tables, all data since 2019 are refreshed to assess any changes that might have occurred compared to what were previously reported. Where changes are significant, data for the previous year will be updated in the report, with a footnote providing appropriate explanation as needed.

### DATA EXTRACTION

Data in Odyssey is stored in a series of highly normalized databases, which means there are many tables that need to be reviewed in order to locate the ones that are needed. Using Structured Query Language (SQL) the State Bar currently extracts 67 tables on a regular basis to create 32 datasets.

These datasets are then converted to Stata data files; Stata is a statistical analysis software package that allows the State Bar to filter, shape and analyze the data needed for the ADR tables. Stata also allows us to program and automate the conversion of the raw data for the ADR, to give consistent results that are easy to reproduce as time goes on.

While the Odyssey extracts include cases from both OCTC and SBC, discipline case statistics reported in the ADR are generated from OCTC case numbers only. In tables that report on non-case related activities such as discipline costs, other State Bar databases are accessed.

The datasets are separated into the different functional areas used when entering the data into Odyssey. For instance, there is a case summary dataset showing case number, case type, file date, etc., while another dataset is focused on the various events a case goes through. The common thread between the datasets is an ID number that can be used to link them

## APPENDIX D

together. The following describes how each data element of the statutory tables was derived using Stata data files generated from Odyssey data extracts:

### SR-1A. Inventory Main categories

Type	Description
Pending at Beginning	Number of open cases at the start of the reporting period. Includes all case types.
Opened During	Number of cases opened during the reporting period. Includes all case types.
Closed During	Number of cases disposed during the reporting period. Includes all case types.
Pending at End	Number of cases remained pending at the close of the reporting period. Includes all case types.

Note: This table was added per SB 211, section 6086.15(a)(1).

### SR-1B. Case Processing Main Categories

Type	Description
Noncomplex Cases	Includes all cases that are not complex. The case processing goal for noncomplex cases is to dismiss a complaint or admonish an attorney, or to file formal charges within 180 days. Case type definitions are the same as those used in SR-2 and SR-5.
Complex Cases	Cases are determined complex if they have any of the following characteristics: <ul style="list-style-type: none"><li>• Case requires subpoenas to banks, courts, or another third-party entity</li><li>• Case has numerous potential charges</li><li>• Case has numerous potential parties</li><li>• Case is designated as a major case</li><li>• Respondent is uncooperative and fails to provide information to OCTC as requested within a reasonable time or at all</li></ul> The case processing goal for complex cases is to dismiss a complaint, admonish an attorney, or file formal charges within 365 days. Case type definitions are the same as those used in SR-2 and SR-5.
All Cases	Includes noncomplex and complex cases.

Note: This table was added per SB 211, 6086.15(a)(1) and 6094.5(a)

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**Subcategories**

Type	Description
Cases Meeting Goals	Number and percent of cases that met case processing goal.
Cases Not Meeting Goals	Number and percent of cases that did not meet case processing goal.
Total	Total number of cases.

**SR-2. Inquiries and Complaints**

**Main Categories**

Type	Description
Summary: All Case Types	Sum of all case types listed below.
Complaints	Discipline in other jurisdiction <sup>58</sup> , original complaints, and rule 9.20 violations (State Bar Court), except those with specific origins as noted below.
State Bar Initiated Inquiries	Discipline in other jurisdiction and original complaints initiated by the State Bar.
Probation Referrals	Probation violations, reprobation violations, rule 9.20 violations (Supreme Court). Also includes original complaints and disciplines in other jurisdiction, with a probation referral origin.
Reportable Actions, Self	Self-reported actions concerning contempt orders, insurance claims, sanction orders, judgments, reversal of judgments, multiple lawsuits, civil penalties, discipline by other licensing agency or discipline in other jurisdiction.
Reportable Actions, Other	All other reportable actions including actions reported by courts, banks, other licensing agencies or insurance companies, concerning insufficient funds, contempt orders, insurance claims, sanction orders, judgments, reversals of judgment, prosecutors withholding exculpatory evidence, civil penalties, or discipline by other licensing agency.

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<sup>58</sup> Case type definitions have been broadened to include these cases in order to improve data quality and transparency.

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**Subcategories**

<b>Type</b>	<b>Description</b>
<b>Cases Pending in OCTC at Year Start</b>	Number of open cases at the start of the reporting period in OCTC.
<b>Cases Received</b>	Number of cases that were opened during the reporting period.
<b>Cases Reopened</b>	Number of cases that went from a closed status to an open status.
<b>Closed by OCTC with No Action</b>	Number of OCTC cases that were closed with no referral and/or with no other nondisciplinary action. The cases status is used to determine the type of closure.
<b>Closed by OCTC with Referral</b>	Number of OCTC cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Alternative Dispute Resolution</li> <li>• Fee Arbitration Matter</li> <li>• Family Support Referral</li> <li>• Fee Arbitration Award Referral</li> <li>• Referral</li> </ul>
<b>Closed by OCTC with Nondisciplinary Action</b>	Number of OCTC cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Cease and Desist</li> <li>• Communication</li> <li>• Directional Letter</li> <li>• Return of File Letter Sent</li> <li>• Resource Letter</li> <li>• Warning Letter</li> </ul>
<b>Total Cases Closed by OCTC</b>	Total of the previous three sections.
<b>Filed in State Bar Court</b>	Number of OCTC cases that moved from a prefiling status to a post-filing status.
<b>Cases Pending in OCTC at Year End</b>	Number of OCTC cases open at the end of the year.
<b>Cases Pending in SBC at Year Start</b>	Number of open court cases at the start of the reporting period.
<b>Closed by State Bar Court with No Action</b>	Number of cases closed by the State Bar Court without nondisciplinary or disciplinary action.
<b>Closed by State Bar Court with Nondisciplinary Action</b>	Number of State Bar Court cases closed with “Admonition” status.

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Type	Description
Closed with Discipline Imposed	Number of State Bar Court cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Public Reproval</li> <li>• Private Reproval</li> <li>• Actual Suspension</li> <li>• Stayed Suspension</li> <li>• Disbarment</li> </ul>
Total Cases Closed by State Bar Court	Total of the previous three sections.
Cases Pending in State Bar Court at Year End	Number of court cases open at the end of the year.

**SR-3. Reportable Actions, Reported by Self  
Main Categories**

Type	Description
Summary: All Reportable Actions, Reported by Self	Sum of all cases listed below.
Three or more malpractice lawsuits filed within 12 months (6068, subd.(o)(1))	Self-reported multiple lawsuit cases.
Judgment in civil case for fraud, misrepresentation, gross negligence, etc. (6068, subd.(o)(2))	Self-reported judgment cases.
Judicial sanctions imposed (6068, subd.(o)(3))	Self-reported sanction order cases.
Felony indictment (6068, subd. (o)(4))	Self-reported conviction matters with a felony charge.
Conviction of felony, or misdemeanor related to practice of law (6068, subd. (o)(5))	Self-reported conviction matters with a convicted status.
Discipline by professional agency or licensing board (6068, subd. (o)(6))	Self-reported discipline in other jurisdiction cases.
Reversal of judgment based on misconduct, gross incompetence, etc. (6068, subd. (o)(7))	Self-reported reversals of judgment case.
Settlement or judgment for fraud, misrepresentation, gross negligence, etc. (6086.8, subd. (c))	Self-reported insurance claims.

**APPENDIX D**

**Subcategories**

<b>Type</b>	<b>Description</b>
<b>Cases Received</b>	Number of cases that were opened during the reporting period.
<b>Cases Reopened</b>	Number of cases that went from a closed status to a open status.
<b>Closed by OCTC with No Action</b>	Number of all OCTC closed cases that were closed with no referral and/or with no other nondisciplinary action. The case’s status is used to determine the type of closure.
<b>Cases Closed by OCTC with Referral</b>	Number of OCTC cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Alternative Dispute Resolution</li> <li>• Fee Arbitration Matter</li> <li>• Family Support Referral</li> <li>• Fee Arbitration Award Referral</li> <li>• Referral</li> </ul>
<b>Cases Closed by OCTC with Nondisciplinary Action</b>	Number of OCTC cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Cease and Desist</li> <li>• Communication</li> <li>• Directional Letter</li> <li>• Return of File Letter Sent</li> <li>• Resource Letter</li> <li>• Warning Letter</li> </ul>
<b>Total Cases Closed by OCTC</b>	Total of the previous three sections.
<b>Average Pendency at Closure</b>	Average age of cases that were closed by OCTC.
<b>Median Pendency at Closure</b>	Median age of cases that were closed by OCTC.
<b>Cases Filed in State Bar Court</b>	Number of OCTC cases that moved from a pre-filing status to a post-filing status
<b>Average Pendency at Filing</b>	Average age of cases at time of filing in State Bar Court.
<b>Median Pendency at Filing</b>	Median age of cases at time of filing in State Bar Court.
<b>Cases Remaining in OCTC at Year End</b>	Number of OCTC cases open at the end of the year.
<b>Average Pendency at Year End</b>	Average age of cases that were open in OCTC at year end.



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Type	Description
Median Pendency at Year End	Median age of cases that were open in OCTC at year end.
Cases Closed by State Bar Court with No Action	Number of all cases closed by the State Bar Court without nondisciplinary or disciplinary action.
Cases Closed by State Bar Court with Nondisciplinary Action	Number of State Bar Court cases closed with “Admonition” status.
Cases Closed with Discipline Imposed	Number of State Bar Court cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Public Reproval</li> <li>• Private Reproval</li> <li>• Actual Suspension</li> <li>• Stayed Suspension</li> <li>• Disbarment</li> </ul>
Total Cases Closed by State Bar Court	Total of the previous three sections.
Average Pendency at Closure	Average age of cases that were closed by State Bar Court.
Median Pendency at Closure	Median age of cases that were closed by State Bar Court.
Cases Remaining in State Bar Court at Year End	Number of State Bar Court cases open at year end.
Average Pendency at Year End	Average age of open cases in State Bar Court at year end.
Median Pendency at Year End	Median age of open cases in State Bar Court at year end.

**SR-4. Reportable Actions, Reported by Others  
Main Categories**

Type	Description
Summary: All Reportable Actions, Reported by Others	Sum of all cases listed below.
Order of Contempt (6086.7, subd.(a)(1))	Court reported contempt order cases.
Modification or reversal of judgment based on misconduct, etc. (6086.7, subd. (a)(2))	Court reported reversals of judgment cases.
Judicial sanctions imposed (6086.7, subd. (a)(3))	Court reported sanction order cases.
Civil Penalty for providing false information to Indian tribe in	Court reported civil penalty as applicable.

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Type	Description
adoption case (6086.7, subd. (a)(4))	
Prosecutorial misconduct (6086.7, subd. (a)(5))	Court reported prosecutor misconduct.
Judgment in civil case for fraud, misrepresentation, gross negligence, etc. (6086.8, subd.(a))	Court reported judgment cases.
Claim or action for damages for fraud, misrepresentation, etc. (6086.8, subd. (b))	Insurance company reported insurance claim cases.
Overdraft of attorney trust accounts (6091.1)	Bank reported insufficient funds cases.
Filing of misdemeanor or felony charges (6101, subd. (b))	Prosecuting agency reported conviction matters.
Criminal Conviction (6101, subd. (c))	Court clerk reported conviction matters.

**Subcategories**

Type	Description
Cases Received	Number of cases that were opened.
Cases Reopened	Number of cases that went from a closed status to a open status.
Closed by OCTC with No Action	Number of all OCTC closed cases that were not closed with referral or with nondisciplinary action. Case status is used to determine the type of closure.
Cases Closed by OCTC with Referral	Number of OCTC cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Alternative Dispute Resolution</li> <li>• Fee Arbitration Matter</li> <li>• Family Support Referral</li> <li>• Fee Arbitration Award Referral</li> <li>• Referral</li> </ul>
Cases Closed by OCTC with Nondisciplinary Action	Number of OCTC cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Cease and Desist</li> <li>• Communication</li> <li>• Directional Letter</li> <li>• Return of File Letter Sent</li> <li>• Resource Letter</li> <li>• Warning Letter</li> </ul>
Total Cases Closed by OCTC	Total of the previous three sections.

**APPENDIX D**

Type	Description
Average Pendency at Closure	Average age of cases that were closed by OCTC.
Median Pendency at Closure	Median age of cases that were closed by OCTC.
Cases Filed in State Bar Court	Number of OCTC cases that moved from a pre-filing status to a post-filing status.
Average Pendency at Filing	Average age of cases at time of filing in State Bar Court.
Median Pendency at Filing	Median age of cases at time of filing in State Bar Court.
Cases Remaining in OCTC at Year End	Number of OCTC cases open at the end of the year.
Average Pendency at Year End	Average age of cases that were open in OCTC at year end.
Median Pendency at Year End	Median age of cases that were open in OCTC at year end.
Cases Closed by State Bar Court with No Action	Number of cases closed by the State Bar Court without nondisciplinary or disciplinary action.
Cases Closed by State Bar Court with Nondisciplinary Action	Number of State Bar Court cases closed with “Admonition” status.
Cases Closed with Discipline Imposed	Number of State Bar Court cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Public Reproval</li> <li>• Private Reproval</li> <li>• Actual Suspension</li> <li>• Stayed Suspension</li> <li>• Disbarment</li> </ul>
Total Cases Closed by State Bar Court	The total of the previous three sections.
Average Pendency at Closure	Average age of cases that were closed by State Bar Court.
Median Pendency at Closure	Median age of cases that were closed by State Bar Court.
Cases Remaining in State Bar Court at Year End	Number of State Bar Court cases open at the end of the year.
Average Pendency at Year End	Average age of cases that were open in State Bar Court at year end.

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**SR-5. Speed of Complaint Handling  
Main Categories**

Type	Description
<b>Summary: All Case Types</b>	<b>Sum of all cases listed below.</b>
<b>Complaints</b>	Discipline in other jurisdiction, <sup>59</sup> original complaints, and rule 9.20 violations (State Bar Court), except those with specific origins as noted below.
<b>State Bar Initiated Inquiries</b>	Original and discipline in other jurisdiction complaints initiated by the State Bar.
<b>Probation Referrals</b>	Probation violations, reproof violations, rule 9.20 violations (Supreme Court). Also original complaints, and discipline in other jurisdiction, with a probation referral origin.
<b>Reportable Actions, Self</b>	Self-reported actions concerning contempt orders, insurance claims, sanction orders, judgments, reversal of judgments, multiple lawsuits, civil penalties, discipline by other licensing agency or discipline in other jurisdiction.
<b>Reportable Actions, Other</b>	All other reportable actions, including actions from courts, banks, other licensing agencies, or insurance companies, concerning insufficient funds, contempt orders, insurance claims, sanction orders, judgments, reversal of judgments, prosecutor withholding exculpatory evidence, civil penalties, or discipline by other licensing agency.

**Subcategories**

Type	Description
<b>Pendency at closure by OCTC with No Action</b> <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average and median age of cases closed by OCTC that were not closed with referral or with nondisciplinary action.
<b>Pendency at closure by OCTC with Referral</b> <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average and median age of OCTC cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Alternative Dispute Resolution</li> <li>• Fee Arbitration Matter</li> <li>• Family Support Referral</li> </ul>

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<sup>59</sup> Case type definitions have been broadened to include these cases in order to improve data quality and transparency.

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Type	Description
	<ul style="list-style-type: none"> <li>• Fee Arbitration Award Referral</li> <li>• Referral</li> </ul>
<b>Pendency at closure by OCTC with Nondisciplinary Action</b> <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average and median age of OCTC cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Cease and Desist</li> <li>• Communication</li> <li>• Directional Letter</li> <li>• Return of File Letter Sent</li> <li>• Resource Letter</li> <li>• Warning Letter</li> </ul>
<b>Pendency at Closure by OCTC</b> <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average and median age of cases that were closed by OCTC.
<b>Pendency at SBC filing</b> <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average and median age of cases at time of filing in State Bar Court.
<b>Pendency at Year End in OCTC</b> <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average and median age of cases that were open in OCTC at year end.
<b>Pendency at closure by SBC with No Action*</b> <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average and median age of cases closed by the State Bar Court without nondisciplinary or disciplinary action.
<b>Pendency at closure by SBC with nondisciplinary action</b> <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average and median age of State Bar Court cases closed with “Admonition” status.
<b>Pendency at closure by SBC with disciplinary action</b> <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average and median age of State Bar Court cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Public Reproval</li> <li>• Private Reproval</li> <li>• Actual Suspension</li> <li>• Stayed Suspension</li> <li>• Disbarment</li> </ul>
<b>Pendency at Closure by SBC</b> <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average and median age of cases that were closed by State Bar Court.
<b>Pendency at Year End in SBC</b> <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average age of cases that were open in State Bar Court at year end.

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**SR-6A. Formal Filings  
Main Categories**

Type	Description
Notices of Disciplinary Charges	An event of “Notice of Disciplinary Charges Filed” entered in a case by OCTC.
Stipulations to Facts and Discipline	A status or event entered by State Bar Court indicating that a stipulation has been filed and approved, does not include cases that already had a notice of disciplinary charges filed. State Bar Court cases are linked back to their original OCTC cases in order to get the full case count.
	Stipulations data are incomplete in OCTC’s records. To capture the correct number of stipulations, OCTC filings are matched to State Bar Court filings and stipulations are counted from the State Bar Court filings.  If a case has a stipulation and a Notice of Disciplinary Charges or a <b>Criminal Conviction</b> Transmittal, the case is not counted as a stipulation; the case is counted within Notice of Disciplinary Charges or <b>Criminal Conviction</b> Transmittals.
Criminal Conviction Transmittals	A status triggered by a case being filed in State Bar Court. Only criminal conviction matters are included.

**Subcategories**

Type	Description
Number of Filings	Number of cases where a filing occurred.
Average Pendency at Filing	Average age of the cases at time of filing.
Median Pendency at Filing	Median age of the cases at time of filing.
Number of Attorneys	Number of attorneys with respect to filings.

**SR-6B. Formal Disciplinary Outcomes  
Main Categories**

Type	Description
Disbarment	An event entered in State Bar Court, that shows a disposition of disbarment, and has accompanying case close event.
Suspension Actual/Probation	An event entered in State Bar Court, that shows a disposition of suspension actual/probation, and has an accompanying case close event.

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<b>Suspension Stayed/Probation</b>	An event entered in State Bar Court, that shows a disposition of suspension stayed/probation, and has an accompanying case close event.
<b>Suspension (calendar year only)</b>	A category no longer reported that represented a combination of the previous two sections.
<b>Public Reproval</b>	An event entered in State Bar Court, that shows a disposition of public reproval, and has an accompanying case close event.
<b>Private Reproval</b>	An event entered in State Bar Court, that shows a disposition of private reproval, and has an accompanying case close event.

### Subcategories

Type	Description
<b>Number of Cases</b>	Number of cases where the disciplinary outcome occurred.
<b>Average Pendency</b>	Average age of the cases at time the disciplinary outcome occurred.
<b>Median Pendency</b>	Median age of the cases at time the disciplinary outcome occurred.
<b>Number of Attorneys</b>	Number of attorneys that received the disciplinary outcome.

## SR-7A. Other Matters

### Main Categories

Type	Description
<b>Petitions to Terminate Practice per § 6180/6190</b>	Cases entered with the case type of "6180/6190"
<b>Interim Suspensions and Restrictions per § 6007</b>	Cases entered with the following case types: <ul style="list-style-type: none"> <li>• Inactive § 6007(b)(1) insanity or mental incompetence.</li> <li>• Inactive § 6007(b)(2) order jurisdiction over practice.</li> <li>• Inactive § 6007(b)(3) mental illness or substance abuse.</li> <li>• Inactive § 6007(c) substantial threat of harm to client/public.</li> <li>• Interim remedies § 6007(h) restricted practice.</li> </ul>
<b>Motions to Enforce Fee Arbitration Award</b>	Cases entered with the case type of "Fee Arbitration"
<b>Motions to Revoke Probation</b>	Cases entered with the case type of "Probation Revocation"

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**Subcategories**

Type	Description
Cases Opened	Number of cases that were opened.
Cases Reopened	Number of cases that went from a closed status to an open status, or has a reopen status.
Closed by OCTC without Filing	Number of cases that were closed by OCTC.
Average Pendency at Closure	Average age of cases that were closed by OCTC.
Median Pendency at Closure	Median age of cases that were closed by OCTC.
Cases Filed in State Bar Court	Number of OCTC cases that moved from a pre-filing status to a post-filing status.
Average Pendency at Filing	Average age of cases at time of filing in State Bar Court.
Median Pendency at Filing	Median age of cases at time of filing in State Bar Court.
Cases Remaining in OCTC at Year End	Number of OCTC cases open at the end of the year.
Average Pendency at Year End	Average age of cases that were open in OCTC at year end.
Median Pendency at Year End	Median age of cases that were open in OCTC at year end.
Petitions Granted	<p>A count of one of the following events depending on the main category:</p> <ul style="list-style-type: none"> <li>• § 6180/6190 <ul style="list-style-type: none"> <li>○ Order issued by Superior Court granting interim order</li> <li>○ Order issued by Superior Court granting permanent order</li> </ul> </li> <li>• § 6007 <ul style="list-style-type: none"> <li>○ Closed – Post-filing – Granted</li> </ul> </li> <li>• Fee Arbitration <ul style="list-style-type: none"> <li>○ Disposition transfer inactive arbitration enforcement</li> <li>○ Disposition retransfer active arbitration enforcement</li> </ul> </li> <li>• Probation Revocation <ul style="list-style-type: none"> <li>○ Disposition revoke probation/actual suspension</li> <li>○ Disposition revoke probation/stayed suspension.</li> </ul> </li> </ul>
Petitions Denied	A count of one of the following events depending on the main category:



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Type	Description
	<ul style="list-style-type: none"> <li>• § 6180/6190               <ul style="list-style-type: none"> <li>○ Order issued by Superior Court denying interim order</li> <li>○ Order issued by Superior Court denying permanent order</li> </ul> </li> <li>• § 6007               <ul style="list-style-type: none"> <li>○ Closed – Post-filing – Denied</li> </ul> </li> <li>• Fee Arbitration               <ul style="list-style-type: none"> <li>○ If no event for petition granted is found, then it will be counted as denied</li> </ul> </li> <li>• Probation Revocation               <ul style="list-style-type: none"> <li>○ If no event for petition granted is found, then it will be counted as denied</li> </ul> </li> </ul>
<b>Total Cases Disposed by State Bar Court</b>	The total of the petitions granted and denied.
<b>Average Pendency at Disposition</b>	Average age of cases that were closed by State Bar Court.
<b>Median Pendency at Disposition</b>	Median age of cases that were closed by State Bar Court.
<b>Cases Remaining in State Bar Court at Year End</b>	Number of State Bar Court cases open at the end of the year.
<b>Average Pendency at Year End</b>	Average age of cases that were open in State Bar Court at year end.
<b>Median Pendency at Year End</b>	Median age of cases that were open in State Bar Court at year end.

**SR-7B. Specified Dispositions  
Main Categories**

Type	Description
<b>Admonitions</b>	An event entered that shows a disposition of admonition.
<b>Agreements in Lieu of Discipline</b>	A status entered by OCTC, that shows an agreement in lieu of discipline.
<b>Warning Letters</b>	An event entered in OCTC, that shows a disposition of a warning letter sent.
<b>Directional Letters</b>	An event entered in OCTC, that shows a disposition of a directional letter sent.
<b>Resource Letters</b>	An event entered in OCTC, that shows a disposition of a resource letter sent.

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<b>Private Reprovals</b>	An event entered in State Bar Court, that shows a disposition of private reproof, and has an accompanying case close event.
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**Subcategories**

Type	Description
<b>Number of Cases</b>	Number of cases where the disposition occurred.
<b>Average Pendency</b>	Average age of the cases at time the disposition occurred.
<b>Median Pendency</b>	Median age of the cases at time the disposition occurred.
<b>Number of Attorneys</b>	Number of attorneys that received the disposition.

**SR-8. Unauthorized Practice of Law by Former Attorneys**

**SR-9. Unauthorized Practice of Law by Nonattorneys**

**Main Categories**

Type	Description
<b>SR-8 UPL Former Attorneys</b>	Cases entered with case type “6180/6190” and a charge of “Superior Court Assumption of Practice of Former Attorney/UPL”
<b>SR-9 UPL Nonattorneys</b>	Cases entered with case type “Unauthorized Practice of Law – Nonattorney”

**Subcategories**

Type	Description
<b>Cases Opened</b>	Number of cases that were opened.
<b>Cases Closed without Filing</b>	Number of cases that were closed by OCTC.
<b>Average Pendency at Closure</b>	Average age of cases that were closed by OCTC.
<b>Median Pendency at Closure</b>	Median age of cases that were closed by OCTC.
<b>Cases Filed in Superior Court</b>	Number of cases that moved from a pre-filing to status to a post-filing status.
<b>Average Pendency at Filing</b>	Average age of cases at time of filing in Superior Court.
<b>Median Pendency at Filing</b>	Median age of cases at time of filing in Superior Court.
<b>Cases Remaining in OCTC at Year End</b>	Number of OCTC cases open at the end of the year.
<b>Average Pendency at Year End</b>	Average age of cases that were open in OCTC at year end.
<b>Median Pendency at Year End</b>	Median age of cases that were open in OCTC at year end.

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Type	Description
Petitions Granted	A case with the either one of the following events: <ul style="list-style-type: none"> <li>• Order Issued by Superior Court Granting Interim Order</li> <li>• Order Issued by Superior Court Granting Permanent Order</li> </ul>
Average Pendency at Petition Granted	Average age of cases at time petition was granted.
Median Pendency at Petition Granted	Median age of cases at time petition was granted.
Petitions Denied	A case with the either one of the following events: <ul style="list-style-type: none"> <li>• Order Issued by Superior Court Denying Interim Order</li> <li>• Order Issued by Superior Court Denying Permanent Order</li> </ul>
Average Pendency at Petition Denied	Average age of cases at time petition was denied.
Median Pendency at Petition Denied	Median age of cases at time petition was denied.
Total Cases Disposed by Superior Court	The total of the petitions granted and denied.
Average Pendency at Disposition	Average age of cases that were closed by Superior Court.
Median Pendency at Disposition	Median age of cases that were closed by Superior Court.
Civil Remedies pursuant to section 6126.7 (table 9 only)	A count of every case where the charge “6126.7” has been entered.
Law Enforcement Referrals	A count of every instance the event “Law Enforcement Referral Sent” has been entered.
Cease and Desist Letters Sent	A case where the event “Cease and Desist Letter Sent” has been entered.

**SR-10A. Disposition of Felony Convictions**

**Main Category**

Type	Description
Felony Convictions	Cases entered with case type “Criminal Matter” and a charge degree of “Felony” and a charge status of “Conviction”.

**Subcategories**

Type	Description
Felony Convictions	The count of felony convictions.
Cases Filed in State Bar Court	The count of cases that were submitted by OCTC to State Bar Court.

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Type	Description
Average Days from Conviction to Filing in Court	Calculation of the average age of cases that were submitted by OCTC to State Bar Court.
Median Days from Conviction to Filing in Court	Calculation of the median age of cases that were submitted by OCTC to State Bar Court.
Cases Disposed in State Bar Court	The count of cases that were disposed by State Bar Court.
Average Days from Filing to Disposition in Court	Calculation of the average age of cases at time of disposition in State Bar Court.
Median Days from Filing to Disposition in Court	Calculation of the median age of cases at time of disposition in State Bar Court.
<b>State Bar Court Dispositions</b>	
Disbarment	An event entered in State Bar Court, that shows a disposition of disbarment, and has accompanying case close event.
Dismissal	An event entered in State Bar Court, that shows a disposition of dismissal, and has an accompanying case close event.
Suspension Actual/Probation	An event entered in State Bar Court, that shows a disposition of suspension actual/probation, and has an accompanying case close event.
Suspension Stayed/Probation	An event entered in State Bar Court, that shows a disposition of suspension stayed/probation, and has an accompanying case close event.
Suspension	A category no longer reported that represented a combination of the previous two sections.
Public Repeval	An event entered in State Bar Court, that shows a disposition of public reprobation, and has an accompanying case close event.
Private Repeval	An event entered in State Bar Court, that shows a disposition of private reprobation, and has an accompanying case close event.
Termination Due to Resignation	An event entered in State Bar Court, that shows a disposition of termination due to resignation, and has an accompanying case close event.
Termination Due to Death	An event entered in State Bar Court, that shows a disposition of termination due to death, and has an accompanying case close event.

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**SR-10B. Conviction Transmittals  
Main Category**

Type	Method
Conviction Transmittals	Cases that are felony or misdemeanor that are transmitted to State Bar Court.

**Subcategories**

Type	Description
Conviction transmittals	Count of transmittals sent during the period.
Number meeting 30-day transmittal	Number of transmittals that were sent within 30 days of receipt.
% meeting 30-day transmittal	Percentage of transmittals that were sent within 30 days of receipt.
Number not meeting 30-day transmittal	Number of transmittals that were not sent within 30 days of receipt.
% not meeting 30-day transmittal	Percentage of transmittals that were not sent within 30 days of receipt.
Number with no transmittal time	Number of transmittals where no time data was available.
% with no transmittal time	Percentage of transmittals where no time data was available.

Notes: Percentages meeting and not meeting times standards calculated based only on number of cases for which transmittal time data is available.

This table added per SB 211, sections 6086.15(a)(12) and 6094.5(d).

**SR-11. Demand Letters Received  
Main Categories**

Type	Description
Number of Letters Received	Number of demand letters received during the reporting period.
Investigations of Suspected Violations of Civil Code Section 55.31 or 55.32	Number of investigations opened during the reporting period.

**SR-12. Insurance Fraud  
Main Categories**

Type	Description
Workers' Compensation	Number of suspected workers' compensation fraud cases.

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<b>Motor Vehicle</b>	Number of suspected automobile insurance fraud cases.
<b>Disability</b>	Number of suspected disability insurance fraud cases.

**Subcategories**

<b>Type</b>	<b>Description</b>
<b>Investigations Initiated</b>	Number of cases investigated.
<b>Suspended Pending Disbarment</b>	Number of cases that resulted in suspension, pending disbarment.
<b>Suspended Pending Criminal Proceedings</b>	Number of cases that resulted in suspension, pending criminal proceedings.
<b>Closed by OCTC with No Action</b>	Number of OCTC closed cases that were closed with no referral and/or with no other nondisciplinary action.
<b>Pending in Investigation at Year End</b>	Number of cases pending in investigation at year end.
<b>Referrals to Fraud Division</b>	Number of cases referred to the Fraud Division.
<b>Referrals to Law Enforcement</b>	Number of cases referred to other law enforcement agencies.

**SR-13. Financial Services Complaints  
Main Categories**

<b>Type</b>	<b>Description</b>
	No data reported as no complaints have been received since 2015

**SR-14. Client Security Fund  
Main Categories**

<b>Type</b>	<b>Description</b>
<b>Attorney</b>	Attorneys who had CSF claims filed against. Attorney names are not provided, as CSF rules require confidentiality under certain circumstances.
<b>Number of CSF Claims Paid</b>	Number of CSF claims paid during the reporting period, by attorney.
<b>Total Amount Paid</b>	Total amount paid to each attorney.

**APPENDIX D****SR-15. Cost of the Discipline System  
Main Categories**

<b>Type</b>	<b>Description</b>
<b>Chief Trial Counsel</b>	Total cost incurred by the Office of Chief Trial Counsel.
<b>Probation</b>	Total cost incurred by Office of Probation.
<b>Mandatory Fee Arbitration</b>	Total Mandatory Fee Arbitration program cost.
<b>State Bar Court</b>	Total cost incurred by the State Bar Court.
<b>Professional Competence</b>	Total Office of Professional Competence program cost.
<b>Regulation Division</b>	Total cost for the Regulation Division.
<b>Communications (70%)</b>	Total cost of Office of Communications resources devoted to help Californians understand how to access the resources of the discipline system and to ensure that attorneys understand their professional ethical obligations.
<b>Licensee Billing (73%)</b>	Total cost of collecting licensing fees and discipline costs incurred by Office of Finance.
<b>General Counsel (76.3%)</b>	Total cost of Office of General Counsel resources dedicated to supporting the State Bar's discipline programs.