



November 3, 2022

OPEN LETTER REGARDING THE STATE BAR'S THOMAS V. GIRARDI DISCLOSURE

Today, the State Bar of California is releasing information about disciplinary matters that were opened and closed over the past 40 years involving now-disbarred attorney Thomas V. Girardi. The handling of the Girardi matters brought to light serious failures in the State Bar's attorney discipline system, failures that have contributed to a lack of confidence in the State Bar's ability to carry out our core responsibility of protecting the public. There is no excuse being offered here; Girardi caused irreparable harm to hundreds of his clients, and the State Bar could have done more to protect the public. We can never allow something like this to happen again.

I speak on behalf of the entire Board of Trustees when I say that we want the public to know that we take our statutory mission to protect the public seriously. As articulated in our new strategic plan, our public protection mission is the guiding light for all that we do. Moreover, meaningful change begins with a culture that values transparency and accountability, principles the Board of Trustees and State Bar leadership hold central in our decision-making. In this spirit, and pursuant to a discretionary determination made by the Chief Trial Counsel and me, the State Bar is now releasing as much information about the Girardi matters as we believe is allowed under the law.

THE GIRARDI DISCLOSURE – THE NUMBERS

Over the past 40 years, the State Bar opened 205 disciplinary matters about Girardi. Of the 205 matters, approximately 120 involved allegations relating to client trust account violations. The remaining disciplinary matters involved various allegations ranging from failure to communicate with clients to failure to perform, as well as misrepresentations to courts and clients, among others. Of these 205 disciplinary matters, the State Bar received 69 complaints on or after December 18, 2020, when a petition was filed to force Girardi's law firm into bankruptcy. Nearly 60 of those recent complaints alleged client trust account violations.

Three of the 205 disciplinary matters resulted in Girardi's disbarment earlier this year. An additional 64 matters were thereafter closed due to his disbarment—after a disbarment, there is no further disciplinary action the State Bar can take. Before his disbarment, Girardi was never

publicly disciplined by the State Bar. Thirteen other matters were previously resolved through non-public measures at the investigation, pre-filing, or post filing stages.¹

The remaining 125 matters were handled as follows:

- 60 complaints, or 48 percent, were closed at intake;
- Another 61 complaints, or just under 49 percent, were closed after investigation; and
- 4 complaints, or just over 3 percent, were closed at the pre-filing stage.

The full disclosure accompanied by explanatory information is attached.

THE STATE BAR'S RESPONSE

We recognize that the Girardi situation has undermined the public's trust in the State Bar as an institution. In response, the State Bar has initiated a number of efforts (highlighted below) and outlined bold goals for the attorney discipline system. We made significant progress on many fronts.

BAR-INITIATED INVESTIGATIONS OF GIRARDI MATTERS

The State Bar began the process of righting the wrongs brought to light by the Girardi matters in 2021, when we conducted an audit of all closed disciplinary matters concerning Girardi. That was followed by the launch of a comprehensive investigation (still ongoing), into prior actions taken by any staff or other State Bar affiliated persons, to determine whether the State Bar's handling of matters involving Girardi was affected by his connections to, or relationships or influence with these individuals. As I have said previously about this investigation, we are pursuing the facts as vigorously as possible under the law and will go where the evidence leads us. We will share more information about both the audit and the investigation when the latter is completed.

GIRARDI WAS DISBARRED AND THE STATE BAR ACCELERATED CLIENT SECURITY FUND PAYMENTS

The Chief Trial Counsel sought disbarment of Girardi in 2021; following a default, Girardi was disbarred by the Supreme Court in June 2022. Also in 2021, even before Girardi was disbarred, the State Bar's Client Security Fund began making payments to his victims on an accelerated basis.

¹ Non-public measures may include non-public private reprovls, agreements in lieu of discipline, admonitions, warning letters, or directional letters.

REFORMS TO ATTORNEY DISCIPLINE SYSTEM, INCLUDING ESTABLISHING THE NEW CLIENT TRUST ACCOUNT PROTECTION PROGRAM

Under the Board's leadership, the State Bar has developed and implemented much-needed reforms to the attorney discipline system. We will continue to pursue these efforts to ensure the State Bar fulfills our mission to protect the public.

Among the important steps we have taken thus far is the creation of the new Client Trust Account Protection Program, which was approved by the California Supreme Court last month. This program will be in effect at the commencement of the 2023 annual license renewal cycle. The program will empower the State Bar—for the first time—to require licensed attorneys to report information about *all* of their client trust accounts annually, as well as provide the State Bar with new tools to enhance accountability and oversight of client trust accounts and deter misconduct. The Program includes resources and tools to assist licensees in complying with the new requirements.

Directly related to some of the issues reflected in the present disclosure, the State Bar also has undertaken the following:

New Tools and Policies to Identify and Address Patterns of Complaints

- Developed an automated process for identifying patterns of prior complaints at intake and implemented a new policy so that when new complaints are received about an attorney, the State Bar can identify previous complaints against that attorney and consider those previous complaints in determining how to proceed; and
- Implemented a new policy that cases resulting from small bank overdrafts may not be closed without investigation if the attorney has a pending or prior (within the last two years) overdraft or client trust account-related complaint.

Restrictions on the Use of Nonpublic Measures

- Revised our policies to provide clearer guidance and limits on the use of nonpublic measures to close cases.

The Board of Trustees also appointed George S. Cardona, a former federal prosecutor, as the State Bar's Chief Trial Counsel, who was confirmed by the Senate earlier this year — the first such confirmation in ten years. The new leadership team was further bolstered by the hiring of Ellin Davtyan as the State Bar's new general counsel.

Today's disclosure is another step forward in advancing our commitment to protect the public with greater impact, transparency, and urgency. The State Bar is committed to doing everything in our power to prevent something like this from happening again.

On behalf of the entire Board, I'd like to express our appreciation to all who have reached out with their thoughts, concerns, and complaints. We hear you, loud and clear. Your experiences serve as a

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sober reminder of the importance of our efforts to do better. We are committed to doing so, to fulfill our mission of protecting the public.

Sincerely,

A handwritten signature in blue ink that reads "Ruben Duran". The signature is written in a cursive, flowing style.

Ruben Duran
Chair, Board of Trustees

Attachments

ATTACHMENT A
Explanatory Accompaniment to Business and Professions Code section 6086.1(b)(2)
Disclosure re Girardi Disciplinary Matters

This disclosure is being made pursuant to Business and Professions Code, Section 6086.1(b)(2), which provides the Chair or Chief Trial Counsel with discretionary authority to waive confidentiality of disciplinary investigations if warranted for the protection of the public.

- Under that law¹, the public disclosure must be limited to “confirming the fact of an investigation or proceeding, clarifying the procedural aspects and current status, and defending the right of the licensee to a fair hearing.” The disclosure is limited to this statutorily authorized information for all closed disciplinary matters involving Girardi. Given his disbarment, there are no open disciplinary matters.
- The disclosure, in **Attachment B**, is organized by case number and includes the dates the matter was opened and closed by the State Bar, the alleged violations, and the disposition.²
- A summary breakdown of the 205 disciplinary matters being disclosed is reflected in **Chart 1** below.
- To assist in understanding the disclosure, the reference sheet in **Chart 2** below outlines the reasons for closing a complaint as set out in the disclosure.
- Note that the disclosure includes references to historical State Bar processes that are no longer in place, including review of complaint closure decisions by the Board of Governors and a Complainant’s Grievance Panel.

¹ Business and Professions Code section 6086.1 (b)(2).

² The State Bar reserves its right to use different formats when exercising its discretion to waive confidentiality and make disclosures of disciplinary investigations in the future.

**CHART 1:
Summary Breakdown of the 205 Disciplinary Matters**

| Complaints/Matters Opened (Pre- and Post-Bankruptcy Petition): | |
|---|------------|
| Complaints Received/Matters Opened between August 10, 1982 to December 17, 2020 (Pre- Bankruptcy Petition) | 136 |
| Complaints Received Since December 18, 2020 (Post-Bankruptcy Petition) | 69 |
| Total: | 205 |
| Of the 205 Complaints/Matters Closed: | |
| Complaints Leading to Disbarment | 3 |
| Complaints/Matters Closed Due to Disbarment | 64 |
| Complaints/Matters Closed, Non-Public Measures | 13 |
| Total: | 80 |
| Of the remaining 125 Complaints/Matters Closed: | |
| Closed at Intake | 60 |
| Closed at Investigation | 61 |
| Closed at the Pre-Filing Stage | 4 |
| Total: | 125 |

**CHART 2:
Explanation of Closing Reasons**

| Closing Reason | Explanation |
|----------------------------|---|
| Communication | Complaint alleging failure to communicate resolved with letter requesting that Respondent (R), i.e., the attorney who is the subject of the complaint, communicate with complainant |
| CW Failure to Cooperate* | Complainant or Complaining Witness (CW) has declined to cooperate |
| Disbarment in Other Matter | Respondent was ordered disbarred in another matter |
| Discipline -- Disbarment | Matter proceeded to discipline and disbarment was ordered |

| Closing Reason | Explanation |
|-----------------------------------|--|
| Duplicate | Office of Chief Trial Counsel (OCTC) has another matter pending which involves substantially the same allegations and in which OCTC is better positioned to pursue possible disciplinary action |
| Error | Matter was erroneously opened |
| Insufficient Evidence | OCTC does not have and will not be able to gather sufficient evidence to establish disciplinable violation by clear and convincing evidence |
| Insufficient Facts | Facts alleged by complainant, even if assumed true, are insufficient to establish a disciplinable violation and to identify reasonable investigative steps likely to find facts sufficient to establish a disciplinable violation |
| Lack of Jurisdiction | Absent any additional factual or procedural circumstances, OCTC generally lacks jurisdiction to proceed when complaints involve conduct by former licensees or by current licensees acting in a judicial capacity: state court judges, state court commissioners, federal court judges, federal court magistrate-judges, administrative law judges, judges pro-tem, court-appointed referees, or court-appointed arbitrators |
| Matter Resolved Between CW and R* | Complainant and respondent have resolved issues that gave rise to complaint |
| No Complaint Articulated | Complainant has failed to articulate any complaint |
| No Merit | Allegations in complaint are without merit |
| Non-Public Resolution | Closed with one of the following non-public resolutions: private reproof prior to filing of public charges, agreement in lieu of discipline, warning letter, admonition, or directional letter. |
| Prosecutorial Discretion* | Evidence is sufficient to proceed with a disciplinary action, but matter is closed in exercise of prosecutorial discretion |
| Resource Letter | Respondent's conduct is not disciplinable, but nonetheless raises concerns about their actions warranting letter advising regarding resources available to assist in addressing concerns |
| Return of File Letter Sent | Complaint alleging failure to return file resolved with letter requesting that Respondent return file to complainant |
| Rule of Limitation | Rule of procedure, rule 5.21; generally, absent tolling, discipline proceedings based upon allegations of a |

| Closing Reason | Explanation |
|----------------|--|
| | complainant must be prosecuted within five years of the misconduct |
| Withdrawal* | Complainant has withdrawn their complaint |

* In February 2022, OCTC issued a revised policy making clear that a complainant’s withdrawal of their complaint (whether because the complainant has reached a resolution with the respondent attorney or for other reasons) or failure to cooperate with the investigation is not alone a basis for closure of a complaint. Rather, closure in such circumstances is appropriate only if the complainant’s non-cooperation renders the evidence insufficient to proceed. The same revised policy also eliminated prosecutorial discretion as a basis for closure without any further action.

For more information on the State Bar’s process in reviewing complaints, please visit <https://www.calbar.ca.gov/Public/Complaints-Claims/How-to-File-A-Complaint/After-You-File>.

**Attachment B:
Business and Professions Code section 6086.1(b)(2) Disclosure re Girardi Disciplinary Matters**

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|--|
| 82-O-10609 | 8/10/1982 | 12/5/1983 | Failure to perform, delay, abandonment of client | Closed -- Investigation -- Insufficient Evidence |
| 83-O-10470 | 1/20/1983 | 4/25/1985 | Failure to account, deposit | Closed -- Investigation -- Insufficient Evidence |
| 83-O-11567 | 9/26/1983 | 1/12/1984 | Discretionary decisions; failure to perform, delay, abandonment of client | Closed -- Investigation -- Insufficient Evidence |
| 83-O-11655 | 10/7/1983 | 3/11/1985 | Failure to perform, delay, abandonment of client; lack of/failure to communicate with client; commission of crime/moral turpitude | Closed -- Investigation -- Insufficient Evidence |
| 84-O-11187 | 2/2/1984 | 5/8/1985 | Misrepresentations to client; misrepresentation to court; commission of crime/moral turpitude | Closed -- Investigation -- Insufficient Evidence |
| 84-O-11185 | 2/3/1984 | 10/29/1985 | Exorbitant/unconscionable fee; commingling; conversion or misappropriation; misrepresentations to client; representation of adverse interests | Closed -- Investigation -- Insufficient Evidence (request for review denied by Board of Governors 12/20/1985; final closing letter sent 1/24/1986) |
| 84-O-12554 | 5/24/1984 | 3/11/1985 | Discretionary decisions; lack of/failure to communicate; failure to turn over file/documents; failure to honor agreement/stipulation | Closed -- Investigation -- Insufficient Evidence |
| 84-O-12847 | 6/21/1984 | 4/19/1985 | Discretionary decisions; failure to perform, delay, abandonment of client; lack of/failure to communicate with client; limiting liability to client | Closed -- Investigation -- Insufficient Evidence |
| 84-O-13538 | 8/16/1984 | 8/24/1984 | Original Discipline | Closed -- Investigation -- Insufficient Evidence |
| 85-O-12626 | 5/31/1985 | 2/6/1987 | Failure to account, deposit; failure to perform, delay, abandonment of client | Closed -- Investigation -- Insufficient Evidence |
| 85-O-14292 | 10/24/1985 | 11/13/1985 | Exorbitant, unconscionable fee | Closed -- Investigation -- Insufficient Evidence |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|--|
| 85-O-14914 | 12/10/1985 | 5/19/1986 | Commission of crime/moral turpitude | Closed -- Investigation -- Insufficient Evidence |
| 86-O-12985 | 6/16/1986 | 1/2/1987 | Failure to honor liens; commission of crime/moral turpitude | Closed -- Investigation -- Insufficient Evidence |
| 86-O-13382 | 7/21/1986 | 4/3/1987 | Conversion or misappropriation; failure to account, deposit; failure to perform, delay, abandonment of client; lack of/failure to communicate with client | Closed -- Investigation -- Insufficient Evidence |
| 86-O-15516 | 12/8/1986 | 2/6/1987 | Solicitation; failure to perform, delay, abandonment of client; lack of/failure to communicate with client | Closed -- Investigation -- Insufficient Evidence |
| 87-O-11697 | 4/6/1987 | 4/29/1987 | Failure to perform, delay, abandonment of client; lack of/failure to communicate with client | Closed -- Investigation -- Insufficient Evidence |
| 87-O-16137 | 9/16/1987 | 9/1/1989 | Conversion or misappropriation; failure to account, deposit; failure to honor liens | Closed -- Investigation -- Insufficient Evidence |
| 87-O-18399 | 12/28/1987 | 8/18/1992 | Failure to account, deposit; failure to perform, delay, abandonment of client; lack of/failure to communicate with client; misrepresentations to client. | Closed -- Pre-filing -- Non-Public Resolution (originally closed 8/24/1988; ordered reopened by Complainant's Grievance Panel 9/14/1990) |
| 88-00464 | 12/28/1987 | 2/9/1988 | Failure to perform, delay, abandonment of client; lack of/failure to communicate with client. | Closed -- Intake -- Matter Resolved Between CW and R |
| 88-O-11569 | 4/5/1988 | 5/11/1989 | Failure to diligently perform; failure to keep client reasonably informed of case status; abandonment of client through withdrawal as counsel without cause | Closed -- Investigation -- Insufficient Evidence (closure affirmed by Complainant's Grievance Panel 8/2/1991) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|--|--|
| 88-O-11756 | 5/27/1988 | 2/25/1992 | Withdrawal of funds in dispute; misrepresentations to client; limiting liability to client; representation of adverse interests; commission of crime/moral turpitude | Closed -- Investigation -- Insufficient Evidence (closure affirmed by Complainant's Grievance Panel 7/9/1993) (originally closed 12/28/1989; ordered reopened by Complainant's Grievance Panel 5/8/1991) |
| 88-10043 | 6/1/1988 | 9/13/1988 | Failure to perform, delay, abandonment of client; lack of/failure to communicate with client | Closed -- Intake -- CW Failure to Cooperate (complaint form mailed 6/1/1988 not returned) |
| 89-O-10983 | 3/14/1989 | 8/18/1992 | Conversion or misappropriation; failure to account, deposit; commission of crime/moral turpitude; fee limitation re medical malpractice (B&P Code § 6146) | Closed -- Pre-filing -- Non-Public Resolution |
| 89-O-12014 | 5/2/1989 | 8/18/1992 | Conversion or misappropriation; failure to account, deposit; failure to honor liens; commission of crime/moral turpitude | Closed -- Pre-filing -- Non-Public Resolution |
| 89-O-12946 | 6/26/1989 | 8/18/1992 | Failure to honor liens | Closed -- Pre-filing -- Non-Public Resolution |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|--|--|
| 89-O-15641 | 8/9/1989 | 10/3/1990 | <p>Failure to perform, delay, abandonment of client; misrepresentations to client; schemes to defraud; commission of crime/moral turpitude; harassment claim, not warranted; reportable actions (self reported)</p> <p>Bus. & Prof. Code, § 6068.1(c): Kathy Bernick v. Firemen's Fund Insurance Co., et al., No. C650547 (L.A. Super. Ct.) Denise Breakman v. Thomas Girardi, No. C646455 (L.A. Super. Ct.) Nathan Schiff v. Thomas Girardi, et al., No. C670638 (L.A. Super. Ct.) Sylvia Manheim v. Anthony Brazil, et al., No. C672753 (L.A. Super. Ct.) Martin & Associates v. Thomas Girardi, No. C680418 (L.A. Super. Ct.) Medi-Cal (Kizer) v. Girardi, Keese and Crane Michael v. Girardi, Keese and Crane Wilson v. Olsten & Girardi, Keese and Crane Duralia v. Girardi, Keese and Crane Tiedman v. Girardi, Keese and Crane Life Center v. Girardi, Keese and Crane</p> | Closed -- Investigation -- Insufficient Evidence |
| 89-O-15098 | 8/28/1989 | 8/18/1992 | Failure to perform, delay, abandonment of client; lack of/failure to communicate with client | Closed -- Pre-filing -- Non-Public Resolution |
| 89-O-17526 | 12/21/1989 | 1/17/1991 | Failure to honor liens | Closed -- Investigation -- Insufficient Evidence |
| 90-00797 | 1/12/1990 | 1/23/1990 | Failure to turn over file/documents | Closed -- Intake -- Matter Resolved between CW and R |
| 90-O-12614 | 4/26/1990 | 9/18/1990 | Lack of/failure to communicate with client; retaliatory withdrawal from employment | Closed -- Investigation -- Insufficient Evidence |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 90-14117 | 6/25/1990 | 7/12/1990 | Lack of/failure to communicate with client | Closed -- Intake -- Communication |
| 90-15343 | 7/11/1990 | 7/11/1990 | Failure to perform, delay, abandonment of client; lack of/failure to communicate with client | Closed -- Intake -- Error |
| 90-27634 | 10/19/1990 | 12/5/1990 | Failure to perform, delay, abandonment of client; lack of/failure to communicate with client; withdrawal from employment | Closed -- Intake -- No Merit |
| 90-O-17655 | 12/5/1990 | 10/10/1991 | Original discipline; lack of/failure to communicate with client; failure to turn over file/documents; failure to account, deposit | Closed -- Investigation -- Insufficient Evidence |
| 91-O-03923 | 6/10/1991 | 4/23/1992 | Failure to account, deposit | Closed -- Pre-filing -- Insufficient Evidence |
| 91-O-04209 | 6/20/1991 | 8/30/1991 | Conversion or misappropriation; failure to account, deposit | Closed -- Investigation -- Error |
| 91-O-05449 | 6/25/1991 | 3/2/1992 | Failure to perform, delay, abandonment of client; lack of/failure to communicate with client | Closed -- Investigation -- Insufficient Evidence |
| 91-O-07791 | 11/13/1991 | 8/18/1992 | Failure to perform, delay, abandonment of client; lack of/failure to communicate with client | Closed -- Pre-filing -- Non-Public Resolution |
| 91-O-07877 | 11/18/1991 | 1/30/1992 | Original discipline | Closed -- Investigation -- Duplicate |
| 92-O-15406 | 7/2/1992 | 12/5/1994 | Failure to account, deposit; incompetence; lack of/failure to communicate with client; failure to turn over file/documents | Closed -- Investigation -- Non-Public Resolution |
| 93-O-11598 | 3/5/1993 | 4/21/1993 | Failure to account, deposit | Closed -- Investigation -- Matter Resolved Between CW and R |
| 93-O-12104 | 3/23/1993 | 6/29/1993 | Original discipline | Closed -- Investigation -- Insufficient Evidence |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|--------------------------|-------------|-------------|--|--|
| 93-18038 | 3/30/1993 | 6/7/1993 | Failure to account, deposit | Closed -- Intake -- Error (complaint is basis for 93-O-14209) |
| 93-O-14209 | 3/30/1993 | 11/28/1999 | Conversion or misappropriation; failure to account, deposit; failure to perform, delay, abandonment of client; lack of/failure to communicate with client | Closed -- Post-Filing -- Non-Public Resolution (Private Reapproval)# |
| 93-O-13654 | 5/6/1993 | 7/14/1993 | Division among attorneys | Closed -- Investigation -- Insufficient Evidence |
| 93-O-15913 | 7/8/1993 | 9/21/1993 | Failure to account, deposit | Closed -- Investigation -- Matter Resolved Between CW and R |
| 93-O-16928 | 8/23/1993 | 11/8/1994 | Failure to account, deposit | Closed -- Investigation -- Insufficient Evidence |
| 94-O-18874 | 12/5/1994 | 7/26/1995 | Exorbitant, unconscionable fee; failure to perform, delay, abandonment of client; lack of/failure to communicate with client; oath and duties | Closed -- Investigation -- Insufficient Evidence |
| 95-O-11864 (95-13589) | 2/1/1995 | 11/28/1999 | Incompetent representation (Reportable Action -- Court Information) Bus. & Prof. Code, § 6068.1(c): Keith v. Girardi, Keese & Krane, et al., BC038023 (L.A. Super. Ct.) | Closed -- Post-Filing -- Non-Public Resolution (Private Reapproval)# |
| 95-O-10852 | 2/7/1995 | 10/5/1999 | Representation of adverse interests | Closed -- Pre-filing -- Insufficient Evidence |
| 95-O-13372 | 5/18/1995 | 11/4/1995 | Solicitation; adverse business interest; schemes to defraud | Closed -- Investigation -- Insufficient Evidence |
| 95-23932 | 5/25/1995 | 7/25/1995 | Oath and duties | Closed -- Intake -- Lack of Jurisdiction (closure confirmed following internal review 4/16/1996) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|--|--|
| 95-O-16942 | 10/11/1995 | 8/28/1996 | Conversion or misappropriation; failure to account, deposit | Closed -- Investigation -- Insufficient Evidence |
| 96-10040 | 1/25/1996 | 4/5/1996 | Conversion or misappropriation; failure to account, deposit; appearing/performing without authorization | Closed -- Intake -- Insufficient Evidence |
| 96-O-01060 | 2/21/1996 | 7/17/1996 | Failure to account, deposit; failure to honor liens; failure to honor agreement/stipulation | Closed -- Investigation -- Insufficient Evidence |
| 96-O-01837 | 3/20/1996 | 11/28/1999 | Failure to perform, delay, abandonment of client; lack of/failure to communicate with client | Closed -- Post-Filing -- Non-Public Resolution (Private Reapproval) [#] |
| 96-O-06526 | 10/7/1996 | 3/31/1999 | Failure to perform, delay, abandonment of client; lack of/failure to communicate with client | Closed -- Investigation -- Insufficient Evidence |
| 97-O-16122 | 9/9/1997 | 3/19/1999 | Failure to account, deposit; lack of/failure to communicate; appearing/performing without authorization | Closed -- Investigation -- Insufficient Evidence |
| 97-33282 | 9/18/1997 | 9/30/1997 | N/A | Closed -- Intake -- No Complaint Articulated |
| 97-O-16688 | 9/24/1997 | 3/19/1999 | Fee contracts; appearing/performing without authorization | Closed -- Investigation -- Insufficient Evidence |
| 97-O-16781 | 10/3/1997 | 3/31/1999 | Advertisements; advertising communication re mail; division with non-lawyer | Closed -- Investigation -- Insufficient Evidence |
| 97-O-18393 | 12/23/1997 | 3/19/1999 | Conversion or misappropriation; failure to account, deposit; failure to perform, delay, abandonment of client; lack of/failure to communicate with client; commission of crime/moral turpitude | Closed -- Investigation -- Insufficient Evidence (Closed as duplicative of 93-O-14209) |
| 98-O-02011 | 4/13/1998 | 5/4/1998 | Failure to account, deposit; failure to perform, delay, abandonment of client | Closed -- Investigation -- No Merit |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|--|---|
| 98-23887 | 9/3/1998 | 7/14/1999 | Conversion or misappropriation; failure to account, deposit | Closed -- Investigation -- Insufficient Evidence |
| 99-O-11880 | 8/20/1999 | 3/28/2000 | Commingling; failure to account, deposit; payment of client expenses | Closed -- Investigation -- Matter Resolved Between CW and R |
| 00-05826 | 4/11/2000 | 5/24/2000 | Failure to account, deposit; lack of/failure to communicate | Closed -- Intake -- Insufficient Evidence (following 5/25/2000 request for review, closure affirmed by intake 11/2/2000) |
| 00-O-13160 | 7/28/2000 | 6/26/2001 | Failure to perform, delay, abandonment of client; adverse business interest | Closed -- Intake -- Insufficient Evidence |
| 01-O-03204 | 8/6/2001 | 4/23/2002 | Failure to account, deposit; other; failure to perform, delay, abandonment of client | Closed -- Investigation -- Resource Letter |
| 02-O-10958 | 2/20/2002 | 3/27/2002 | Conversion or misappropriation; lack of/failure to communicate | Closed -- Investigation -- Insufficient Evidence |
| 02-09927 | 5/30/2002 | 6/25/2002 | Failure to turn over file/documents | Closed -- Intake -- Return of File Letter Sent |
| 02-11859 | 6/28/2002 | 9/9/2002 | Failure to perform, delay, abandonment of client; lack of/failure to communicate; communication-settlement offer | Closed -- Intake -- Insufficient Evidence |
| 02-14699 | 8/12/2002 | 10/18/2002 | Failure to perform, delay, abandonment of client; lack of/failure to communicate | Closed -- Intake -- Insufficient Evidence (following 11/15/2002 request for review, closure affirmed by intake 2/24/2003) |
| 03-06913 | 4/25/2003 | 5/23/2003 | Failure to perform, delay, abandonment of client | Closed -- Intake -- Insufficient Evidence |
| 03-07921 | 5/13/2003 | 7/10/2003 | Lack of/failure to communicate with client | Closed -- Intake -- Insufficient Evidence |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|--|---|
| 05-01525 | 1/28/2005 | 3/15/2005 | Failure to perform, delay, abandonment of client | Closed -- Intake -- Matter Resolved between CW and Respondent |
| 06-20052 | 6/23/2006 | 8/28/2006 | Threatening criminal, administrative charges | Closed -- Intake -- Insufficient Evidence (following 8/31/2006 request for review, closure affirmed by intake 1/8/2007) |
| 06-29601 | 12/6/2006 | 1/5/2007 | Report/NSF trust account transaction | Closed -- Intake -- Insufficient Evidence |
| 06-29602 | 12/6/2006 | 1/5/2007 | Report/NSF trust account transaction | Closed -- Intake -- Insufficient Evidence |
| 07-12185 | 2/5/2007 | 4/17/2007 | Failure to perform, delay, abandonment of client; failure to turn over file/documents | Closed -- Intake -- Insufficient Evidence |
| 07-21717 | 7/11/2007 | 4/28/2008 | Contact with/gifts to official; harassment, claim not warranted | Closed -- Intake -- Insufficient Evidence |
| 08-O-12613 | 6/25/2008 | 1/17/2011 | Misrepresentation to court; commission of crime/moral turpitude | Closed -- Investigation -- Prosecutorial Discretion |
| 10-09589 | 4/20/2010 | 7/27/2010 | Misrepresentation to court; commission of crime/moral turpitude | Closed -- Intake -- Duplicate |
| 10-J-06845 | 7/19/2010 | 1/27/2011 | Discipline in other jurisdiction Bus. & Prof. Code, § 6068.1(c): In re: Thomas V. Girardi, Walter J. Lack, Paul A. Traina, et al.; Sonia Eduarda Franco, et al. v. Dow Chemical Company, et al. (Ninth Circuit Case Nos. 08-80090, 03-57038) | Closed -- Investigation -- Prosecutorial Discretion (after reopened 6/30/2011, Closed -- Pre-Filing - Prosecutorial Discretion, 4/26/2013) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|--|
| 10-18253 | 7/30/2010 | 8/6/2010 | Report/attorney held in contempt Bus. & Prof. Code, § 6068.1(c): In re: Thomas V. Girardi, Walter J.. Lack, Paul A. Traina, et al.; Sonia Eduarda Franco, et al. v. Dow Chemical Company, et al. (Ninth Circuit Case Nos. 08-80090, 03-57038) | Closed -- Intake -- Duplicate |
| 10-J-08337 | 9/9/2010 | 11/4/2010 | Discipline in other jurisdiction Bus. & Prof. Code, § 6068.1(c): In re: Thomas V. Girardi, Walter J.. Lack, Paul A. Traina, et al.; Sonia Eduarda Franco, et al. v. Dow Chemical Company, et al. (Ninth Circuit Case Nos. 08-80090, 03-57038) | Closed -- Pre-Filing -- Insufficient Evidence |
| 10-26141 | 10/29/2010 | 11/19/2010 | Failure to perform, delay, abandonment of client | Closed -- Intake -- Insufficient Evidence |
| 10-27314 | 11/12/2010 | 12/16/2010 | Offensive language or actions; harassment, claim not warranted | Closed -- Intake -- Insufficient Evidence |
| 11-16918 | 4/7/2011 | 8/15/2011 | Representation of adverse interests; commission of crime/moral turpitude | Closed -- Intake -- Insufficient Evidence |
| 11-18676 | 5/2/2011 | 7/6/2011 | Exorbitant, unconscionable fee; conversion or misappropriation; commission of crime/moral turpitude | Closed -- Intake -- Insufficient Evidence |
| 12-O-12006 | 5/6/2011 | 3/26/2012 | Conversion or misappropriation; withdrawal of funds in dispute; failure to support constitution/laws | Closed -- Investigation -- Matter Resolved Between CW and R (originally closed 8/11/2011; reopened 3/6/2012 in accordance with recommendation from semi-annual random audit of closed cases) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 11-26130 | 8/8/2011 | 10/26/2011 | Failure to perform, delay, abandonment of client; lack of/failure to communicate with client | Closed -- Intake -- Matter Resolved between CW and R |
| 11-26135 | 8/9/2011 | 8/15/2011 | N/A | Closed -- Intake -- No Complaint Articulated |
| 11-35398 | 11/29/2011 | 12/27/2011 | N/A | Closed -- Intake -- No Complaint Articulated |
| 12-03261 | 2/14/2012 | 3/2/2012 | Failure to turn over file/documents | Closed -- Intake -- Matter Resolved between CW and R |
| 12-08523 | 4/19/2012 | 5/2/2012 | Failure to account, deposit; failure to turn over file/documents | Closed -- Intake -- Insufficient Evidence |
| 12-08796 | 4/23/2012 | 6/21/2012 | Misrepresentation to court; pursuit of unjust cause | Closed -- Intake -- Insufficient Evidence (after CW provides additional information, determination to leave closed 12/7/2015) |
| 12-O-911225 | 5/25/2012 | 6/29/2012 | Failure to perform, delay, abandonment of client | Closed -- Intake -- Rule of Limitation (after CW provides additional information, determination to leave closed 1/2/2013) |
| 12-14555 | 7/13/2012 | 8/24/2012 | Failure to return part; failure to perform, delay, abandonment of client | Closed -- Intake -- Insufficient Evidence (after CW provides additional information, determination to leave closed 1/14/2013) |
| 12-O-15515 | 7/26/2012 | 11/2/2012 | Failure to perform, delay, abandonment of client; lack of/failure to communicate; withdrawal from employment | Closed -- Investigation -- Insufficient Evidence (after CW requests review, determination to leave closed 8/8/2013) |
| 12-O-16066 | 8/23/2012 | 11/26/2012 | Failure to account, deposit; failure to honor liens; misappropriation of \$25,000 or greater; misrepresentation to court; commission of crime/moral turpitude | Closed -- Investigation -- Insufficient Evidence |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|--------------------------|-------------|-------------|---|--|
| 12-22361 | 11/5/2012 | 11/28/2012 | Commission of crime/moral turpitude | Closed -- Intake -- Insufficient Evidence |
| 12-24077 | 12/3/2012 | 1/9/2013 | Failure to return part; failure to perform, delay, abandonment of client | Closed -- Intake -- Matter Resolved between CW and R |
| 13-26286 | 9/4/2013 | 10/22/2013 | Failure to perform, delay, abandonment of client | Closed -- Intake -- Insufficient Evidence |
| 13-33967 | 12/19/2013 | 1/3/2014 | N/A | Closed -- Intake -- Rule of Limitation (after CW provides additional information, determination to leave closed 9/22/2014) |
| 14-16046 | 4/1/2014 | 4/24/2014 | Failure to turn over file/documents | Closed -- Intake -- Return of File Letter Sent |
| 14-28979 | 10/28/2014 | 6/9/2015 | Threatening criminal, administrative charges; misrepresentation to court | Closed -- Intake -- Withdrawal |
| 14-30049 | 11/19/2014 | 10/19/2016 | Failure to account, deposit | Closed -- Intake -- Insufficient Evidence |
| 14-30061 | 11/19/2014 | 10/19/2016 | Failure to account, deposit | Closed -- Intake -- Insufficient Evidence |
| 14-30269 | 11/19/2014 | 10/19/2016 | Exorbitant, unconscionable fee; conversion or misappropriation; failure to account, deposit; lack of/failure to communicate | Closed -- Intake -- Insufficient Evidence |
| 15-12318 | 2/13/2015 | 10/19/2016 | Failure to account, deposit; failure to perform, delay, abandonment | Closed -- Intake -- Insufficient Evidence |
| 16-O-17380 (15-14329) | 3/17/2015 | 2/21/2018 | Failure to account, deposit; lack of/failure to communicate with client | Closed -- Investigation -- Insufficient Evidence |
| 16-O-17383 (15-30007) | 11/30/2015 | 2/21/2018 | Failure to account, deposit; lack of/failure to communicate with client | Closed -- Investigation -- Insufficient Evidence |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|--------------------------|-------------|-------------|--|---|
| 16-O-15214 (15-30257) | 12/4/2015 | 7/8/2020 | Misrepresentation to court; pursuit of unjust cause; commission of crime/moral turpitude; conversion or misappropriation | Closed -- Investigation -- Insufficient Evidence |
| 16-O-17384 (15-31489) | 12/29/2015 | 2/21/2018 | Failure to account, deposit | Closed -- Investigation -- Insufficient Evidence |
| 16-O-15215 | 4/4/2016 | 4/30/2020 | Commission of crime/moral turpitude; conversion or misappropriation | Closed -- Investigation -- Rule of Limitation |
| 16-O-17385 | 6/20/2016 | 6/14/2017 | Withdrawal from employment | Closed -- Pre-Filing -- Insufficient Evidence |
| 17-02400 | 2/10/2017 | 2/25/2017 | Conversion or misappropriation | Closed -- Intake -- Insufficient Evidence |
| 17-O-02388 | 4/3/2017 | 11/15/2017 | Advertisements; legal advertising/false, misleading; advertising communication re testimonial | Closed -- Investigation -- Non-Public Resolution |
| 17-08854 | 5/30/2017 | 7/9/2017 | Commingling; conversion or misappropriation; failure to account, deposit; schemes to defraud | Closed -- Intake -- Insufficient Evidence |
| 19-O-10279 (18-29529) | 10/24/2018 | 3/9/2019 | Failure to account, deposit | Closed -- Investigation -- CW Failure to Cooperate |
| 19-O-10151 | 11/20/2018 | 4/17/2019 | Failure to account, deposit | Closed -- Investigation -- Matter Resolved Between CW and R |
| 19-O-10247 | 12/12/2018 | 4/17/2019 | Conversion or misappropriation; failure to account, deposit; failure to communicate with client | Closed -- Investigation -- Insufficient Evidence |
| 19-O-10248 | 12/14/2018 | 3/12/2019 | Failure to honor liens | Closed -- Investigation -- Matter Resolved Between CW and R |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|--|
| 19-O-10694 | 1/7/2019 | 7/28/2022 | Incompetence; failure to perform, delay, abandonment of client; failure to communicate with client; withdrawal from employment; communication -- settlement offer | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 19-O-910584 | 1/8/2019 | 2/25/2019 | Solicitation | Closed -- Intake -- Insufficient Evidence |
| 19-O-10695 | 1/22/2019 | 3/7/2019 | Limiting liability to client | Closed -- Investigation -- Non-Public Resolution |
| 19-O-16483 | 5/24/2019 | 7/15/2019 | 1.15(d)(7) -- Failing to promptly distribute undisputed funds/property as requested by client/other | Closed -- Intake -- Withdrawal |
| 19-O-25820 | 10/23/2019 | 2/24/2020 | 6106 -- moral turpitude/dishonesty/corruption: misrepresentation; 3-110(A) -- Intentional/reckless/repeated failure to perform competently: incompetence | Closed -- Intake -- CW Failure to Cooperate |
| 19-O-29284 | 12/26/2019 | 6/4/2020 | 6068(a) -- failing to support constitution/laws: breach of fiduciary duties | Closed -- Intake -- Rule of Limitation (originally closed 3/16/2020: Closed -- Intake -- CW's Failure to Cooperate; reopened 6/3/2020 after CW provided additional information) |
| 20-O-00434 | 1/8/2020 | 5/19/2020 | 4.2(a) -- communicating with represented party re subject of representation | Closed -- Investigation -- Non-Public Resolution |
| 20-O-04157 | 3/11/2020 | 4/20/2020 | 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 1.3 -- intentional/ repeated/reckless/grossly negligent failure to act with reasonable diligence | Closed -- Investigation -- Insufficient Evidence |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 20-O-04436 | 3/19/2020 | 7/28/2022 | 3-110(A)-intentional/reckless/repeated failure to perform competently; abandonment/failure to perform; 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 1.4(a)(3)-failing to keep client reasonably informed re significant developments; 1.4(a)(3)-- failing to promptly comply with reasonable requests for information/documents; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 1.16(e)(1)-failing to promptly release materials/property to client upon termination; 1.16(b)-withdrawing from representation despite absence of reasons for permissive withdrawal | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 20-O-15684 | 11/9/2020 | 7/1/2022 | 6106-committing act involving moral turpitude/dishonesty/corruption; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 6106--moral turpitude/ dishonesty/corruption: misappropriation of \$25,000 or more; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6068(i)-failing to cooperate/participate in disciplinary/regulatory investigation or proceeding; 1.4(a)(3)-failing to keep client reasonably informed re significant developments; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 1.4(a)(3)-failing to comply with reasonable requests for information/documents; 1.15(d)(4)-failing to promptly account in writing to client/other re funds/property | Closed -- Post-Filing -- Discipline -- Disbarment (3/30/2021 Notice of Disciplinary Charges Filed SBC 21-O-30192) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|--|--|
| 20-O-16589 | 12/3/2020 | 4/23/2021 | 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or more; 6068(a)-failing to support constitution/laws; 8.4(a) violating rules of professional conduct or State Bar act; 8.4(b)-committing criminal act reflecting adversely on attorney's honesty/trustworthiness/fitness; 8.4(c)-engaging in conduct involving dishonesty/fraud/deceit/reckless or intentional misrepresentations | Closed -- Investigation -- Duplicate (duplicate to 20-O-17192) |
| 20-O-16767 | 12/7/2020 | 7/29/2022 | 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion; 8.4(a) violating rules of professional conduct or State Bar act; 8.4(b)-committing criminal act reflecting adversely on attorney's honesty/ trustworthiness/fitness; 8.4(c)-engaging in conduct involving dishonesty/fraud/deceit/reckless or intentional misrepresentations; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 6068(a)-failing to support constitution/laws | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 20-O-17192 | 12/17/2020 | 7/1/2022 | 6103-failing to comply with court order; 1.15(a)-failing to maintain in client trust account funds received/held for client/ other person; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or more; 6106--moral turpitude/dishonesty/corruption: misrepresentation; 6068(i)-failing to cooperate/participate in disciplinary/regulatory investigation or proceeding; 6068(a)-failing to support constitution/ laws: breach of fiduciary duties; 6106--moral turpitude/dishonesty/corruption: scheme to defraud | Closed -- Post-Filing -- Discipline -- Disbarment (3/30/2021 Notice of Disciplinary Charges Filed SBC 21-O-30192) |
| 20-O-17505 | 12/18/2020 | 7/1/2022 | 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or more; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6106--moral turpitude/dishonesty/corruption: misrepresentation; 1.4(a)(3)-failing to keep client reasonably informed re significant developments; 1.4.1(a)(2)-failing to promptly communicate to client terms of written settlement offer; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments | Closed -- Post-Filing -- Discipline -- Disbarment (3/30/2021 Notice of Disciplinary Charges Filed SBC 21-O-30192) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 20-O-17427 | 12/22/2020 | 7/29/2022 | 1.15(d)(1)-failing to promptly notify client/other re receipt of funds/property; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-00974 | 1/15/2021 | 7/28/2022 | 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 6068(a)-failing to support constitution/laws: breach of fiduciary duties; 1.15(c) -- commingling | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-00654 | 1/19/2021 | 2/3/2021 | 1.4(a)(3) -- Failing to promptly comply with reasonable requests for information/ documents | Closed -- Intake -- Communication |
| 21-O-00698 | 1/20/2021 | 2/10/2021 | 6068(m) -- Failing to respond to client inquiries/keep client informed re significant developments | Closed -- Intake -- Communication |
| 21-O-00763 | 1/20/2021 | 7/29/2022 | 1.4(a)(3) -- failing to promptly comply with reasonable requests for information/documents; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 1.3 -- intentional/ repeated/reckless/grossly negligent failure to act with reasonable diligence; 6106 -- moral turpitude/dishonesty/corruption: misappropriation or conversion | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 21-O-00800 | 1/21/2021 | 7/29/2022 | 6106 -- moral turpitude/dishonesty/ corruption: misappropriation or conversion; 1.4(a)(3) -- Failing to promptly comply with reasonable requests for information/ documents; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 1.3 -- intentional/ repeated/reckless/grossly negligent failure to act with reasonable diligence; 1.4(a)(3)--failing to keep client reasonably informed re significant developments | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-01129 | 1/21/2021 | 7/29/2022 | 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 1.4(a)(2) -- failing to reasonably consult with client re means to accomplish objectives; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 1.15(d)(4)-failing to promptly account in writing to client/other re funds/ property; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-01178 | 1/25/2021 | 7/29/2022 | 6106--moral turpitude/dishonesty/ corruption: scheme to defraud; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 21-O-01045 | 1/26/2021 | 7/29/2022 | 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 1.3 -- intentional/repeated/ reckless/grossly negligent failure to act with reasonable diligence; 1.4(a)(3) -- Failing to promptly comply with reasonable requests for information/ documents; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-01068 | 1/27/2021 | 7/28/2022 | 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-01071 | 1/27/2021 | 7/29/2022 | 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 1.4(a)(3) -- failing to promptly comply with reasonable requests for information/ documents; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106-moral turpitude/ dishonesty/corruption: misappropriation or conversion | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 21-O-01074 | 1/27/2021 | 3/8/2021 | 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other | Closed -- Intake -- CW Failure to Cooperate |
| 21-O-01204 | 2/1/2021 | 7/29/2022 | 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 1.4(a)(3) -- Failing to promptly comply with reasonable requests for information/ documents; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-01594 | 2/4/2021 | 7/28/2022 | 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|--|---|
| 21-O-01628 | 2/10/2021 | 7/28/2022 | 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106 -- moral turpitude/dishonesty/corruption: misappropriation or conversion; 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 1.3 -- intentional/ repeated/reckless/grossly negligent failure to act with reasonable diligence; 1.4(a)(3)--failing to keep client reasonably informed re significant developments; 1.4(a)(3) -- Failing to promptly comply with reasonable requests for information/ documents; 1.15(d)(1)-failing to promptly notify client/other re receipt of funds/property | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-01673 | 2/11/2021 | 7/29/2022 | 6106-moral turpitude/dishonesty/ corruption: misappropriation of \$25,000 or greater; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106--moral turpitude/ dishonesty/ corruption: scheme to defraud | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-02131 | 2/22/2021 | 7/28/2022 | 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106 -- moral turpitude/dishonesty/corruption: misappropriation or conversion; 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 1.3 -- intentional/ repeated/reckless/grossly negligent failure to act with reasonable diligence; 1.16(d) -- terminating representation without taking reasonable steps to avoid prejudice to client | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 21-O-02333 | 2/25/2021 | 7/29/2022 | 6106-moral turpitude/dishonesty/ corruption: issuance of NSF checks/transactions; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 1.4(a)(3) -- failing to promptly comply with reasonable requests for information/ documents | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-04024 | 3/29/2021 | 7/29/2022 | 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106 -- moral turpitude/dishonesty/corruption: misappropriation or conversion; 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 1.3 -- intentional/ repeated/reckless/grossly negligent failure to act with reasonable diligence; 1.16(d) -- terminating representation without taking reasonable steps to avoid prejudice to client | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|--|
| 21-O-04531 | 4/8/2021 | 7/29/2022 | <p>6068(m)-failing to respond to client inquiries/keep client informed re significant developments;</p> <p>6068(a)--failing to support constitution/laws: breach of fiduciary duties;</p> <p>6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater;</p> <p>1.4(a)(3)--failing to keep client reasonably informed re significant developments;</p> <p>1.4.1(a)(2)--failing to promptly communicate to client terms of written settlement offer;</p> <p>8.4(a) violating rules of professional conduct or State Bar act;</p> <p>8.4(b)-committing criminal act reflecting adversely on attorney's honesty/trustworthiness/fitness;</p> <p>8.4(c)-engaging in conduct involving dishonesty/fraud/deceit/reckless or intentional misrepresentations;</p> <p>1.15(d)(1)--failing to promptly notify client/other re receipt of funds/property;</p> <p>1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other;</p> <p>6148--entering into fee agreement in excess of \$1,000 without written fee contract;</p> <p>6148(a)--failing to provide copy of signed/written fee contract to client</p> | <p>Closed -- Investigation -- Disbarment in Other Matter</p> <p>(5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505)</p> |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 21-O-05409 | 4/27/2021 | 7/29/2022 | 3-110(A)--Intentional/reckless/repeated failure to perform competently: delay/lack of diligence; 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 1.15(a)-failing to maintain in client trust account funds received/held for client/ other person; 1.15(d)(4)-failing to promptly account in writing to client/other re funds/property; 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-05726 | 5/5/2021 | 7/28/2022 | 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 1.3 -- intentional/repeated/ reckless/grossly negligent failure to act with reasonable diligence; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6068(a)--failing to support constitution/ laws: violating oath and duties | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-05791 | 5/6/2021 | 7/29/2022 | 3-110(A)--Intentional/reckless/repeated failure to perform competently: delay/lack of diligence; 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 3-500--failing to keep client informed re significant developments/comply with requests for information/ documents; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|--|---|
| 21-O-05825 | 5/6/2021 | 7/28/2022 | 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 1.4(a)(3)--failing to keep client reasonably informed re significant developments; 1.4(a)(3) -- failing to promptly comply with reasonable requests for information/ documents | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-06211 | 5/10/2021 | 7/29/2022 | 3-110(A)--Intentional/reckless/repeated failure to perform competently: abandonment/failure to perform; 1.1-Intentional/Reckless/ Grossly Negligent/Repeated failure to perform legal services competently; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 3-500--failing to keep client informed re significant developments/comply with requests for information/documents; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-06091 | 5/11/2021 | 7/29/2022 | 1.5(a)--Making agreement for/charging/ collecting an unconscionable fee; 6068(m)--failing to respond to client inquiries/keep client informed re significant developments; 1.15(d)(7)--failing to promptly distribute undisputed funds/property as requested by client/other; 1.16(d)--terminating representation without taking reasonable steps to avoid prejudice to client; 1.16(e)(1)--failing to promptly release materials/property to client upon termination; 1.16(e)(2)--failing to promptly refund unearned fees/unused costs upon termination; 1.15(d)(4)-failing to promptly account in writing to client/other re funds/property | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|--|---|
| 21-O-06248 | 5/11/2021 | 7/8/2021 | 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 1.4(a)(3)--failing to keep client reasonably informed re significant developments; 1.5(a)--Making agreement for/charging/collecting an unconscionable fee; 1.8.5(a)--paying/agreeing to pay/guaranteeing client's personal or business expenses; 1.15(d)(4)-failing to promptly account in writing to client/other re funds/property; 1.4(a)(3) -- failing to promptly comply with reasonable requests for information/ documents | Closed -- Intake -- CW Failure to Cooperate |
| 21-O-06346 | 5/17/2021 | 7/28/2022 | 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106-moral turpitude/ dishonesty/corruption: misappropriation or conversion; 3-500--failing to keep client informed re significant developments/comply with requests for information/documents; 4-100(A)--failing to maintain in client trust account funds received/held for client; 4-100(B)(4)--failing to promptly pay/deliver client funds/property as requested by client; 1.4(a)(3)--failing to keep client reasonably informed re significant developments; 1.4(a)(3) -- Failing to promptly comply with reasonable requests for information/ documents; 1.15(a)-failing to maintain in client trust account funds received/held for client/ other person; 1.15(d)(7)--failing to promptly distribute undisputed funds/property as requested by client/ other | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 21-O-06412 | 5/17/2021 | 7/29/2022 | 6106-moral turpitude/dishonesty/ corruption: misappropriation or conversion; 4-100(A)--failing to maintain in client trust account funds received/held for client; 4-100(B)(4)--failing to promptly pay/deliver client funds/property as requested by client; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(7)--failing to promptly distribute undisputed funds/property as requested by client/ other | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-06413 | 5/17/2021 | 7/29/2022 | 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|--|---|
| 21-O-06465 | 5/17/2021 | 7/29/2022 | 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion; 3-500--failing to keep client informed re significant developments/comply with requests for information/ documents; 4-100(A)--failing to maintain in client trust account funds received/held for client; 4-100(B)(4)--failing to promptly pay/deliver client funds/property as requested by client; 1.4(a)(3)--failing to keep client reasonably informed re significant developments; 1.4(a)(3) -- Failing to promptly comply with reasonable requests for information/ documents; 1.15(a)-failing to maintain in client trust account funds received/held for client/ other person; 1.15(d)(7)--failing to promptly distribute undisputed funds/property as requested by client/ other | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 21-O-06536 | 5/18/2021 | 7/15/2021 | <p>1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently;</p> <p>3-110(A)--intentional/reckless/repeated failure to perform competently: delay/lack of diligence;</p> <p>3-500--failing to keep client informed re significant developments/comply with requests for information/ documents;</p> <p>1.4(a)(3)--failing to keep client reasonably informed re significant developments;</p> <p>1.4(a)(3) -- Failing to promptly comply with reasonable requests for information/ documents;</p> <p>1.15(d)(1)--failing to promptly notify client/other re receipt of funds/property;</p> <p>1.15(d)(4)-failing to promptly account in writing to client/other re funds/property;</p> <p>1.15(d)(7)--failing to promptly distribute undisputed funds/property as requested by client/ other;</p> <p>1.16(d)--terminating representation without taking reasonable steps to avoid prejudice to client;</p> <p>4-100(B)(1)--failing to promptly notify client re receipt of client funds/property;</p> <p>4-100(B)(3)--failing to render appropriate accounts to client of client funds/property;</p> <p>4-100(B)(4)--failing to promptly pay/deliver client funds/property as requested by client;</p> <p>4-210(A)--paying/agreeing to pay/guaranteeing client's personal or business expenses</p> | Closed -- Intake -- CW Failure to Cooperate |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|--|---|
| 21-O-06493 | 5/19/2021 | 7/29/2022 | 6068(a)--failing to support constitution /laws: breach of fiduciary duties; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 1.1-Intentional/Reckless/Grossly Negligent/Repeated failure to perform legal services competently; 1.4(a)(3)--failing to keep client reasonably informed re significant developments; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(1)--failing to promptly notify client/other re receipt of funds/property; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 8.4(c)-engaging in conduct involving dishonesty/fraud/deceit/reckless or intentional misrepresentations | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-06569 | 5/20/2021 | 7/28/2022 | 6068(a)--failing to support constitution /laws; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 1.4(a)(3)--failing to keep client reasonably informed re significant developments; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(1)--failing to promptly notify client/other re receipt of funds/property; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 8.4(c)-engaging in conduct involving dishonesty/fraud/deceit/reckless or intentional misrepresentations | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|--|
| 21-O-06766 | 5/24/2021 | 7/29/2022 | 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 1.3 -- intentional/repeated/reckless/grossly negligent failure to act with reasonable diligence; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 1.4(a)(3)--failing to promptly comply with reasonable requests for information/ documents; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 1.16(e)(1)--failing to promptly release materials/property to client upon termination; 1.16(d)--terminating representation without taking reasonable steps to avoid prejudice to client | Closed -- Investigation -- Disbarment in Other Matter (5/27/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-07636 | 6/14/2021 | 7/29/2022 | 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other | Closed -- Investigation -- Disbarment in Other Matter (11/24/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-07731 | 6/17/2021 | 7/29/2022 | 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 6106-committing act involving moral turpitude/dishonesty/corruption | Closed -- Investigation -- Disbarment in Other Matter (11/24/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|--|--|
| 21-O-07854 | 6/21/2021 | 7/29/2022 | 6106-moral turpitude/ dishonesty/corruption: misappropriation or conversion; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 8.4(b)-committing criminal act reflecting adversely on attorney's honesty/ trustworthiness/fitness; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(4)-failing to promptly account in writing to client/other re funds/ property; 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently | Closed -- Investigation -- Disbarment in Other Matter (11/24/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-08205 | 6/28/2021 | 7/29/2022 | 6106-moral turpitude/ dishonesty/corruption: misappropriation or conversion; 1.15(d)(1)--failing to promptly notify client/other re receipt of funds/property; 1.15(d)(7)--failing to promptly distribute undisputed funds/property as requested by client/ other; 4-100(B)(1)--failing to promptly notify client re receipt of client funds/property; 4-100(B)(4)--failing to promptly pay/deliver client funds/property as requested by client | Closed -- Investigation -- Disbarment in Other Matter (10/5/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-08411 | 6/30/2021 | 7/29/2022 | 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other | Closed -- Investigation -- Disbarment in Other Matter (12/9/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|--|
| 21-O-08777 | 7/12/2021 | 7/29/2022 | 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other | Closed -- Investigation -- Disbarment in Other Matter (1/19/2022 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-08785 | 7/12/2021 | 7/29/2022 | 6068(a)--failing to support constitution/laws: breach of fiduciary duties; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 1.4(a)(3)--failing to keep client reasonably informed re significant developments; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(1)--failing to promptly notify client/other re receipt of funds/property; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 8.4(c)-engaging in conduct involving dishonesty/fraud/deceit/reckless or intentional misrepresentations | Closed -- Investigation -- Disbarment in Other Matter (11/23/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|--|
| 21-O-08791 | 7/12/2021 | 7/29/2022 | 6068(a)--failing to support constitution/laws: breach of fiduciary duties; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 1.4(a)(3)--failing to keep client reasonably informed re significant developments; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(1)--failing to promptly notify client/other re receipt of funds/property; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 8.4(c)-engaging in conduct involving dishonesty/fraud/deceit/reckless or intentional misrepresentations | Closed -- Investigation -- Disbarment in Other Matter (11/24/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-08796 | 7/12/2021 | 7/28/2022 | 6068(a)--failing to support constitution/laws: breach of fiduciary duties; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 1.4(a)(3)--failing to keep client reasonably informed re significant developments; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(1)--failing to promptly notify client/other re receipt of funds/property; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 8.4(c)-engaging in conduct involving dishonesty/fraud/deceit/reckless or intentional misrepresentations | Closed -- Investigation -- Disbarment in Other Matter (11/23/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|--|--|
| 21-O-08935 | 7/14/2021 | 7/29/2022 | 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(1)--failing to promptly notify client/other re receipt of funds/property; 1.15(d)(3)--failing to maintain complete records of funds/property of client/other 1.15(d)(4)-failing to promptly account in writing to client/other re funds/ property; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater | Closed -- Investigation -- Disbarment in Other Matter (11/24/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-09514 | 7/26/2021 | 7/29/2022 | 6068(a)--failing to support constitution/laws: breach of fiduciary duties; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 1.4(a)(3)--failing to keep client reasonably informed re significant developments; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(1)--failing to promptly notify client/other re receipt of funds/property; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 8.4(c)-engaging in conduct involving dishonesty/fraud/ deceit/reckless or intentional misrepresentations | Closed -- Investigation -- Disbarment in Other Matter (11/23/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|--|--|
| 21-O-09707 | 8/3/2021 | 7/28/2022 | 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other | Closed -- Investigation -- Disbarment in Other Matter (12/9/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-10456 | 8/18/2021 | 7/29/2022 | 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion | Closed -- Investigation -- Disbarment in Other Matter (11/24/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-10784 | 8/30/2021 | 7/29/2022 | 6068(a)--failing to support constitution/laws: violating civil code section 2944.7(a)(1); 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 1.4(a)(3)--failing to keep client reasonably informed re significant developments; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(1)--failing to promptly notify client/other re receipt of funds/property; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 8.4(c)-engaging in conduct involving dishonesty/fraud/deceit/reckless or intentional misrepresentations | Closed -- Investigation -- Disbarment in Other Matter (12/16/2021 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|--|
| 21-O-10982 | 8/31/2021 | 7/29/2022 | 3-110(A)--Intentional/reckless/repeated failure to perform competently: abandonment/failure to perform; 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 1.3 -- intentional/repeated/reckless/grossly negligent failure to act with reasonable diligence; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments | Closed -- Investigation -- Disbarment in Other Matter (3/3/2022 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-11591 | 9/16/2021 | 7/28/2022 | 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 6068(a)--failing to support constitution/laws; 6106--committing act involving moral turpitude/dishonesty/corruption; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 8.4(c)-engaging in conduct involving dishonesty/fraud/deceit/reckless or intentional misrepresentations; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person | Closed -- Investigation -- Disbarment in Other Matter (3/9/2022 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 21-O-12605 | 10/12/2021 | 7/29/2022 | 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 1.16(e)(1)-failing to promptly release materials/property to client upon termination; 3-700(D)(1)--failing to promptly release papers/property to client upon termination 4-100(A)--failing to maintain in client trust account funds received/held for client; 4-100(B)(4)--failing to promptly pay/deliver client funds/property as requested by client | Closed -- Investigation -- Disbarment in Other Matter (3/3/2022 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-13251 | 10/25/2021 | 7/29/2022 | 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 1.15(d)(1)--failing to promptly notify client/other re receipt of funds/property; 6068(a)--failing to support constitution/laws: breach of fiduciary duties; 1.4(a)(3)--failing to keep client reasonably informed re significant developments; 6068(m)-failing to respond to client inquiries/keep client informed re significant developments; 8.4(c)-engaging in conduct involving dishonesty/fraud/deceit/reckless or intentional misrepresentations | Closed -- Investigation -- Disbarment in Other Matter (1/19/2022 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 21-O-13363 | 10/27/2021 | 7/28/2022 | 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other | Closed -- Investigation -- Disbarment in Other Matter (5/3/2022 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 21-O-15248 | 12/15/2021 | 7/28/2022 | 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion | Closed -- Investigation -- Disbarment in Other Matter (3/4/2022 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 22-O-00875 | 1/8/2022 | 7/29/2022 | 1.15(d)(1)--failing to promptly notify client/other re receipt of funds/property; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 6106-committing act involving moral turpitude/dishonesty/corruption | Closed -- Investigation -- Disbarment in Other Matter (5/11/2022 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 22-O-01603 | 1/28/2022 | 3/8/2022 | 6068(a)--failing to support constitution/laws | Closed -- Intake -- Insufficient Facts |
| 22-O-02959 | 3/7/2022 | 7/28/2022 | 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 6103-failing to comply with court order | Closed -- Investigation -- Disbarment in Other Matter (4/22/2022 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 22-O-02961 | 3/7/2022 | 7/28/2022 | 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 6103-failing to comply with court order | Closed -- Investigation -- Disbarment in Other Matter (4/22/2022 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition ⁺ |
|-------------|-------------|-------------|---|---|
| 22-O-02962 | 3/7/2022 | 7/28/2022 | 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other; 1.1-intentional/reckless/grossly negligent/repeated failure to perform legal services competently; 6068(a)--failing to support constitution/laws; 8.4(c)-engaging in conduct involving dishonesty/fraud/deceit/reckless or intentional misrepresentations | Closed -- Investigation -- Disbarment in Other Matter (4/22/2022 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 22-O-02972 | 3/7/2022 | 7/28/2022 | 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 6103-failing to comply with court order | Closed -- Investigation -- Disbarment in Other Matter (4/22/2022 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 22-O-02976 | 3/7/2022 | 7/28/2022 | 1.15(a)-failing to maintain in client trust account funds received/held for client/other person; 6106-moral turpitude/dishonesty/corruption: misappropriation of \$25,000 or greater; 6103-failing to comply with court order | Closed -- Investigation -- Disbarment in Other Matter (4/22/2022 abated pending NDC and subsequent proceedings arising from OCTC cases 20-O-15684, 17192, 17505) |
| 22-O-04807 | 4/13/2022 | 5/10/2022 | 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion; 1.15(a)-failing to maintain in client trust account funds received/held for client/other person | Closed -- Intake -- Insufficient Facts |
| 22-O-05971 | 5/9/2022 | 7/6/2022 | 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other | Closed -- Intake -- Disbarment in Other Matter |

| Case Number | Date Opened | Date Closed | Alleged Violation(s)* | Disposition [†] |
|-------------|-------------|-------------|---|--|
| 22-O-07262 | 6/1/2022 | 6/13/2022 | 6104-appearing as attorney for party without authority; 6106--committing act involving moral turpitude/ dishonesty/corruption | Closed -- Intake -- Disbarment in Other Matter |
| 22-O-08126 | 6/21/2022 | 7/12/2022 | 6106-moral turpitude/dishonesty/corruption: misappropriation or conversion | Closed -- Intake -- Disbarment in Other Matter |
| 22-O-10802 | 8/18/2022 | 8/29/2022 | 1.5(a)-making agreement for/charging/collecting an illegal fee; 1.15(d)(4)-failing to promptly account in writing to client/other re funds/ property; 1.15(d)(7)-failing to promptly distribute undisputed funds/property as requested by client/other | Closed -- Intake -- Disbarment in Other Matter |
| 22-O-12756 | 9/28/2022 | 10/20/2022 | 6106-moral turpitude/dishonesty/corruption: misrepresentation; 8.4(c)-engaging in conduct involving dishonesty/fraud/ deceit/reckless or intentional misrepresentations | Closed -- Intake -- Disbarment in Other Matter |

* The alleged violation(s) column reflects potential violations of the State Bar Act or Rules of Professional Conduct identified by the State Bar based on information received in the disciplinary proceeding. An attorney who is the subject of a disciplinary proceeding has a right to a fair hearing and must be presumed innocent of any alleged misconduct until any charges that might be brought have been proven by clear and convincing evidence in a proceeding before the State Bar Court. In addition, pursuant to Business & Professions Code section 6086.1(c), to the extent the disciplinary proceeding involves civil or criminal filings and dispositions otherwise a matter of public record made available to the State Bar pursuant to Business & Professions Code section 6068(o), 6086.7, or 6086.8, the alleged violation(s) column includes a reference to the case name and, if available, case number.

† The accompanying Chart 2 in Attachment A provides an explanation of the closing reasons identified in the disposition column.

[Updated 11/4/22] Pursuant to State Bar Rule of Procedure 5.127, a private reproof imposed before a State Bar Court proceeding begins "is not available to the public unless it becomes part of the record of any later proceeding in which it is introduced as evidence of a prior record of discipline." On November 10, 2021, the private reproof entered with respect to case numbers 93-O-14209, 95-O-11864, and 96-O-01837 was attached as an exhibit to the Petition for Disbarment filed by the Office of Chief Trial Counsel. The Petition, including the exhibit with the private reproof, is available at <https://www.calbar.ca.gov/Portals/0/documents/SBC-21-O-30192-Petition-for-Disbarment.pdf>.