

FISCAL YEAR 2015

Complaint Number/Misc. Investigation	Date Complaint received	Issue
2014-30	7/1/2014	CPE Deficiency
2014-31	7/16/2014	CPE Deficiency
2014-32	7/17/2014	CPE Deficiency
2014-33	7/28/2014	CPE Deficiency
2014-34	8/6/2014	CPE Deficiency
2014-35	8/6/2014	CPE Deficiency
2014-36	8/6/2014	CPE Deficiency
2014-37	8/7/2014	CPE Deficiency
2014-38	8/15/2014	CPE Deficiency
2014-39	8/15/2014	CPE Deficiency
2014-40	8/18/2014	CPE Deficiency
2014-41	8/29/2014	Documentation
2014-42	9/3/2014	CPE Deficiency
2014-43	9/3/2014	CPE Deficiency
2014-44	9/11/2014	CPE Deficiency
2014-45	9/15/2014	CPE Deficiency
2014-46	9/19/2014	CPE Deficiency
2014-47	9/19/2014	CPE Deficiency
2014-48	9/19/2014	Peer Review
2014-49	9/19/2014	CPE Deficiency
2014-50	9/24/2014	CPE Deficiency
2014-51	9/24/2014	CPE Deficiency
2014-52	10/20/2014	CPE Deficiency
2014-53	10/29/2014	CPE Deficiency
2014-54	10/29/2014	CPE Deficiency
2014-55	10/29/2014	CPE Deficiency
2014-56	10/31/2014	CPE Deficiency
2014-57	11/5/2014	CPE Deficiency
2014-58	11/5/2014	CPE Deficiency
2014-59	11/6/2014	CPE Deficiency
2014-60	11/6/2014	CPE Deficiency
2014-61	11/6/2014	CPE Deficiency
2014-62	11/6/2014	CPE Deficiency
2014-63	11/7/2014	CPE Deficiency
2014-64	11/20/2014	CPE Deficiency
2014-65	11/24/2014	CPE Deficiency
2014-66	12/1/2014	Code of Conduct
2014-67	12/5/2014	CPE Deficiency
2014-68	12/8/2014	CPE Deficiency
2014-69	12/15/2014	Code of Conduct
2014-70	12/16/2014	CPE Deficiency
2014-71	12/18/2014	CPE Deficiency
2014-72	12/18/2014	CPE Deficiency
2014-73	12/19/2014	CPE Deficiency
2014-74	12/19/2014	CPE Deficiency
2014-75	12/29/2014	Code of Conduct
2015-01	1/8/2015	CPE Deficiency
2015-02	1/8/2015	CPE Deficiency

2015-03	1/20/2015	CPE Deficiency
2015-04	2/3/2015	CPE Deficiency
2015-05	2/17/2015	CPE Deficiency
2015-06	2/17/2015	CPE Deficiency
2015-07	2/17/2015	CPE Deficiency
2015-08	3/2/2015	CPE Deficiency
2015-09	3/5/2015	CPE Deficiency
2015-10	3/11/2015	CPE Deficiency
2015-11	3/12/2015	CPE Deficiency
2015-12	3/20/2015	Peer Review
2015-13	4/27/2015	Code of Conduct
2015-14	5/11/2015	CPE Deficiency
2015-15	5/11/2015	CPE Deficiency
2015-16	5/11/2015	CPE Deficiency
2015-17	5/11/2015	CPE Deficiency
2015-18	6/8/2015	CPE Deficiency
2015-19	6/11/2015	Unlicensed firm practice
2015-20	6/22/2015	Related to sale of inherited business in two companies previously owned by relative who allegedly died intestate. Legal issue.
2015-21	6/29/2015	misdmnr crim conviction
Applct 917499	7/3/2014	#4 arrest on appl: Exam
Applct 916200	6/19/2014	#4 arrest on appl: Recpcty
Applct 939795	1/7/2015	#4 arrest on appl: Reinstat
Applct 951746	4/8/2015	#4 arrest on appl: Exam
Misc/Other	1/22/2014	ongoing civil case regarding CPA use
Misc/Other	2/28/2014	Notification of action dismissal per 16.60.5.11(B) Rule 902(4)
Misc/Other	3/24/2016	Late w-2
Misc/Other	6/17/2014	Notice of settlement and consent order per rule 902; PCOAB, Medicis Pharm (AZ) vs E&Y; \$2,000000.00 sanction.
Misc/Other	6/11/2014	MD BOPA revoked Arnold Holtz CPA license based on PCAOB findings
Misc/Other	8/21/14	TRD re: embezzeler in Roswell
Misc/Other	9/4/16	CPA billing
Misc/Other	10/9/2014	Copy of Cease order to firm from SEC over State of Kansas work.
Misc/Other	10/23/2014	PCAOB santions for firms work with company in AZ
Misc/Other	11/17/2014	Disbanned tax shelter (SISG) group connected to Lehman Bros fall paid NC Board a penalty.
Misc/Other	11/21/2014	Notification of settlement and dismissal of issuess related to property tax
Misc/Other	2/19/2015	Constituant complained of lack of care in tax prep
Misc/Other	2/23/2015	possible holding out
Misc/Other	3/13/2015	action based on NC action based on SEC & DOJ NPA (Non-prosecution agreement)

Misc/Other	4/6/2015	Notice of Motion to seal record of special litigation counsel employ
Misc/Other	4/15/2015	Lehman Bros related lawsuit dismissed
Misc/Other	4-28-2015	Santa Fe City Council management of city accounts
Misc/Other	3/23/2015	OR state Board action. Respondent with NM clients
Misc/Other	4/24/2015	Improper tax preparation
Misc/Other	4/24/2015	Suspects bad tax preparation
Misc/Other	5/14/2015	Lehman Bros related lawsuit dismissed
Misc/Other	5/20/2015	Related to Lehman Bros court dismissal
Misc/Other	5/28/2015	C.A. (AKA Chyanne) Black Holding out as CPA from PO Box in Santa Fe.
Misc/Other	6/8/2015	Conflict of interest. MHM audits Tradebot who electronically traded shares in a company that owned shares of in the audit company MHM. MHM did not know of the trades.
Misc/Other	6/12/2015	Calif notice of license revokation by default
Misc/Other	2/25/2015	Tax prep complaint
Misc/Other	2/4/2015	Possible Due diligence and care
Misc/Other	2/24/2015	Possible Due diligence and care
Misc/Other	4/5/2016	Non-CPA
Misc/Other	4/27/2015	PwC in SDNY concerning stip settlement offer in master case