



# The State Bar of California

---

## **OPEN SESSION AGENDA ITEM 702 OCTOBER 2022**

**DATE:** October 24, 2022

**TO:** Members, Board of Trustees

**FROM:** Yun Xiang, Chief of Mission Advancement & Accountability Division

**SUBJECT:** 2022 Annual Discipline Report Review and Approval

---

### **EXECUTIVE SUMMARY**

The 2022 Annual Discipline Report (ADR) is a statutorily mandated report that provides an overview of the State Bar's performance in fulfilling its mandate to protect the public from attorney misconduct. This agenda item requests that the Board of Trustees review and approve the ADR.

---

### **BACKGROUND**

Business and Professions Code section 6086.15 requires the State Bar to submit an ADR "describing the performance and condition of the State Bar discipline system, including all matters that affect public protection" by October 31 of each year. Senate Bill 211 made several changes and additions to the ADR reporting requirements, including the due date, the reporting period from the calendar year to the fiscal year ending June 30 (and requiring the 2022 ADR to report both fiscal and calendar year data), the number of years of data reported. In addition, in September 2022, the Board of Trustees approved a set of procedures to guide the production of the ADR.

### **DISCUSSION**

The 2022 ADR reflects changes to requirements for ADR reporting as directed by SB 211 and minor changes made in an ongoing effort to improve reporting consistency and transparency.

The report narrative accompanying the statutorily mandated tables summarizes key findings regarding the Office of Chief Trial Counsel's workload and case processing performance (measured by case processing time and percentage of cases meeting current case processing goals).

The procedures approved by the Board of Trustees were adhered to in the production of the 2022 ADR.

This agenda item requests that the Board of Trustees review and approve the ADR. The State Bar will submit the ADR to the Chief Justice of California, the governor, the Speaker of the Assembly, the President pro Tempore of the Senate, and the Assembly and Senate Judiciary Committees by October 31, 2022.

### **FISCAL/PERSONNEL IMPACT**

None

### **AMENDMENTS TO RULES**

None

### **AMENDMENTS TO BOARD OF TRUSTEES POLICY MANUAL**

None

### **STRATEGIC PLAN GOALS & IMPLEMENTATION STEPS**

None – compliance

### **RECOMMENDATIONS**

**Should the Board of Trustees concur in the proposed action, passage of the following resolution is recommended:**

**RESOLVED**, that the Board of Trustees approves the 2022 Annual Discipline Report; and it is

**FURTHER RESOLVED**, that the Board of Trustees hereby authorizes staff to make minor technical adjustments and corrections to the 2022 Annual Discipline Report before submitting it to the Chief Justice of California, the Governor, the Speaker of the Assembly, the Senate President pro Tempore, and the Assembly and Senate Judiciary Committees by October 31, 2022.

### **ATTACHMENT LIST**

- A.** 2022 Annual Discipline Report



# The State Bar *of California*

ATTACHMENT A

**2022 Annual Discipline Report**  
**Calendar Year: January 1, 2021–December 31, 2021**  
**and**  
**Fiscal Year: July 1, 2021–June 30, 2022**

**October 24, 2022**

## TABLE OF CONTENTS

INTRODUCTION .....	1
2022 PERFORMANCE HIGHLIGHTS .....	1
NEW REQUIREMENTS AND OTHER REPORTING CHANGES .....	1
SB 211 Required Changes .....	2
Other Changes.....	3
PERFORMANCE .....	4
Inventory .....	4
Case Processing Goals.....	5
Case Processing Time .....	6
SUMMARY AND NEXT STEPS.....	7
STATUTORILY MANDATED REPORTING .....	1
FISCAL YEAR .....	1
Inventory and Case Processing .....	1
Case Inventory and Disposition .....	3
Self-Reported Reportable Actions .....	6
Reportable Actions, Reported by Others.....	12
Speed of Complaint Handling .....	19
Formal Disciplinary Filings and Outcomes .....	24
Other Matters and Specified Definitions .....	26
Unauthorized Practice of Law by Former Attorneys .....	29
Unauthorized Practice of Law by Nonattorneys.....	30
Disposition of Felony Convictions & Conviction Transmittals .....	31
Construction-Related Accessibility Demand Letters.....	33
Demand Letter Received, Investigations Opened, and Disciplinary Action .....	34
Insurance Fraud .....	35
Provision of Financial Services by Lawyers .....	36
Condition of the Client Security Fund .....	37
Cost of the Discipline System.....	64
CALENDAR YEAR.....	1
Inventory and Case Processing .....	1
Case Inventory and Disposition .....	3
Self-Reported Reportable Actions .....	6
Reportable Actions, Reported by Others.....	12
Speed of Complaint Handling .....	19
Formal Disciplinary Filings and Outcomes .....	24
Other Matters and Specified Definitions .....	26
Unauthorized Practice of Law by Former Attorneys .....	29
Unauthorized Practice of Law by Non-Attorneys .....	30
Disposition of Felony Convictions & Conviction Transmittals .....	31
Construction-Related Accessibility Demand Letters.....	33
Demand Letters Received, Investigations Opened, and Disciplinary Action .....	34
Insurance Fraud .....	35
Provision of Financial Services by Lawyers .....	36



Condition of the Client Security Fund .....	37
Cost of the Discipline System.....	65
APPENDIX A: GLOSSARY OF ATTORNEY DISCIPLINE REPORT TERMINOLOGY .....	1
APPENDIX B: POTENTIAL CONFLICTS OF INTEREST–RULE 2201 .....	1
APPENDIX C: CALIFORNIA’S ATTORNEY DISCIPLINE SYSTEM.....	1
APPENDIX D: THREE TABLES BASED ON OLD CASE TYPES .....	1
APPENDIX E: REPORT METHODOLOGY .....	1

## INTRODUCTION

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

## 2022 PERFORMANCE HIGHLIGHTS

In fiscal year 2022, OCTC:

- Opened more than 16,000 cases;
- Met case processing goals for 86 percent of cases, including 91 percent of noncomplex cases and 70 percent of complex cases;<sup>1</sup>
  - The total number of cases not meeting goals (defined as backlog) is 1,965, a decrease from all previous years.
  - The number of complex cases in backlog is 1,100, a decrease from FY 2021 but an increase since FY 2018.
  - The number of noncomplex cases in backlog is 865, a significant decrease from all previous years.
- Maintained average case processing times for cases closed with no action, a referral, or nondisciplinary action; average case processing time for cases OCTC filed in the State Bar Court continued a trend of increases over the last five years; and
- Obtained formal public discipline or recommendations for formal public discipline for 262 attorneys, including 84 disbarments, 89 probation terms with actual suspensions, 23 probation terms with stayed suspensions, and 66 reprovals (both public and private).

## NEW REQUIREMENTS AND OTHER REPORTING CHANGES

In 2021 the Senate passed Senate Bill 211 (SB 211), which included changes to the requirements for ADR reporting and directed the State Bar to propose new case processing standards by October 31, 2022. The State Bar is submitting proposed new case processing standards and associated backlog metrics via a separate report.

Given the expectation that case processing standards may change significantly before October 31, 2023, (when the 2023 ADR will be submitted), the 2022 ADR has been prepared as a transitional report. Changes were made to what was reported in the 2020 ADR<sup>2</sup> only if:

1. The changes are required by SB 211 (SB 211 required changes); and/or
2. The changes are minor and needed as part of an ongoing effort to improve reporting consistency and transparency (methodological changes).

---

<sup>1</sup> Prior ADRs have not reported separately on complex cases. Using the criteria above for designation, complex cases comprised approximately 25 percent of cases closed during the FY 2022 reporting period.

<sup>2</sup> SB 211 was approved by the governor on October 8, 2021. Given the new deadline and reporting periods (see following section "SB 211 Required Changes", a 2021 ADR was not issued.

The discussion below outlines changes to the ADR's 15 statutorily required (SR) tables. Details regarding these changes are provided in Appendix E. In addition, for the three tables where methodological changes resulted in updated reporting, alternative versions of the relevant tables without the methodological changes are provided in Appendix D.

### SB 211 Required Changes

The 2022 ADR contains several changes required by SB 211. These changes are:

- The report due date is October 31, rather than April 30, of each year.
- The reporting period is now the fiscal, rather than calendar, year.
  - The 2022 ADR must report both fiscal and calendar year data.
- The SR tables include five years of data, whereas in previous reports they included only four years of data.
- Table SR-1A is added to report on inventory of all cases that were open at the start of the reporting period, were opened during the reporting period, remained pending at the close of the reporting period, or were disposed of during the reporting period.
- Table SR-1B reports the number and percentage of cases that met and did not meet case processing goals throughout the reporting period, whereas prior reporting was on the number of cases in backlog as of the end of each year.
- Table SR-10B was added to report on the State Bar's compliance with Business and Professions Code section 6101, which requires transmittal of criminal conviction records within 30 days of receipt.

An overview of these changes and impacted SR tables is provided in table 1.

**Table 1. Senate Bill 211's Impact on ADR**

SB 211 Directive	Change Made for 2022 Report	Table Impacted
Changes deadline from April 30 to October 31 of each year.	Submitted by October 31, 2022	All tables
Changes reporting period from calendar year to fiscal year ending June 30. The ADR due on October 31, 2022, will contain data from both the prior fiscal and calendar years.	New content	All tables
Changes number of previous years of information to report from three to five, if available.	Five years of data	All tables
Requires reporting of inventory of cases open at the start of the reporting period, opened during the reporting period, remained pending at the close of the reporting period, or were disposed of during the reporting period. Inventory reporting must include all case types.	New content	SR-1A

SB 211 Directive	Change Made for 2022 Report	Table Impacted
Requires reporting of number and percent of cases that (1) met and (2) did not meet goal of dismissing a complaint, admonishing an attorney, or filing formal charges within six months for noncomplex cases and 12 months for complex cases. Eliminates requirement to report number of cases in backlog as of December 31 (with backlog defined as those pending beyond six months for noncomplex cases or one year for complex cases).	New content	SR-1B
Requires reporting on State Bar compliance with Business and Professions Code section 6101, which requires the transmittal of criminal conviction records (for both felonies and misdemeanors) that may involve moral turpitude within 30 days.	New content	SR-10B

### Other Changes

In addition to the changes directed by SB 211, case type definitions used in three tables (SR-1B, SR-2, and SR-5) have been broadened for consistency and to ensure that the ADR reports on as many cases as possible. All original matter complaints are now included in these tables, whereas previous reports only had complaints originating from complaining witnesses. This change results in a slight increase—around 1 to 2 percentage points—of cases reported in the relevant tables.

In addition to broadening the case type definitions for the three tables referenced above, several other minor modifications were made for data consistency and transparency. Table 2 summarizes all non-SB 211-directed changes and the rationale for each.

**Table 2. Other Changes to ADR Reporting**

Report Element	Change description and reason	Table Impacted
Case Type Definitions	Case type definitions have been broadened for consistency and transparency.	SR-1B SR-2 SR-5
Cases Pending in OCTC at Year Start Cases Pending in SBC at Year Start	Two pending case metrics were added for consistency with table SR-1A.	SR-2
Case-Aging Metrics	Five case-aging metrics were added for consistency with table SR-2.	SR-5
Number of Attorneys	Number of attorneys metric was added for consistency with table SR-6B.	SR-6A

Report Element	Change description and reason	Table Impacted
Directional Letters Resource Letters	Directional and resource letters were added to ensure all nondisciplinary dispositions were included for data quality and transparency.	SR-7B

## PERFORMANCE

The following section summarizes OCTC’s workload and case processing performance, measured by processing time and percentages of cases meeting case processing goals. The analysis focuses on results reported for the fiscal year.

### Inventory

Table 3 replicates data from table SR-1A and depicts case inventory, disaggregated by the following categories: cases pending at the beginning of the year; cases opened during the year; cases closed during the year; and cases pending at the end of the year.<sup>3</sup> The first two rows—cases pending at the beginning of the year and opened during the year—constitute OCTC’s workload during each period. Cases closed during the year may be viewed as output resulting from this workload.

**Table 3. OCTC Inventory**

	FY2018	FY2019	FY2020	FY2021	FY2022
Pending at Year Start	5,825	6,437	8,795	9,668	9,878
Opened During	16,673	18,252	20,979	17,190	16,355
Closed During	16,061	15,893	20,106	16,980	16,179
Pending at Year End	6,437	8,795	9,668	9,878	10,054

*Note: “Pending at Year End” does not mean these cases are in backlog. For example, a case initiated one day before the end of the year will still be counted as Pending at Year End. The average age of cases pending in OCTC at year end is included in figure 2 below.*

The number of cases opened in FY 2022 was 16,355, the lowest over the last five fiscal years. This reduction in cases opened is primarily the result of significant decreases in new complaints and criminal conviction matters from their peak periods of 2019 and 2020 (new complaints) and 2020 and 2021 (criminal convictions).

<sup>3</sup> Pursuant to SB 211, table SR-1A (as replicated in table 3) reports on inventory of all case types. See Business and Professions Code section 6086.15 (“the inventory of cases shall not be limited to case types that could result in the filing of a notice of disciplinary charges in the State Bar Court but shall also include Nonattorney Unauthorized Practice of Law (NA-UPL), Section 6007 matters, moral character matters, resignations with charges pending, and mini-reinstatements.”)

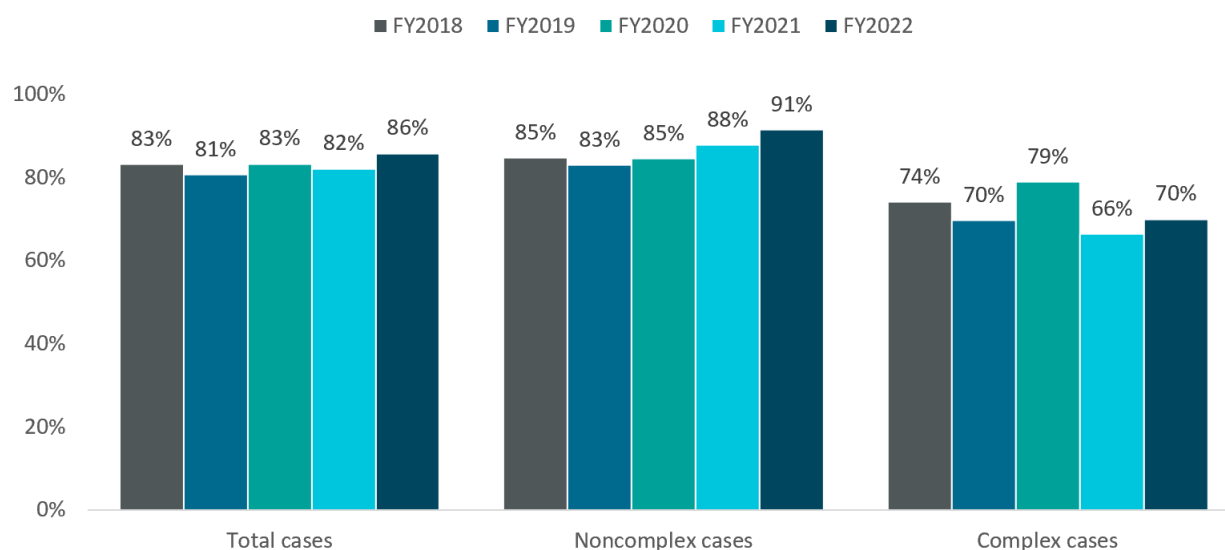
## Case Processing Goals

Figure 1 shows the percent of cases closed within current case processing time standards: 180 days for noncomplex cases and 365 days for complex cases. Cases are designated as complex based on the indicators below:

- Major case designation;<sup>4</sup>
- Subpoenas for records to banks, courts, federal immigration officials, or another third-party entity;
- Numerous potential charges (often arising from multiple incidents) or numerous potential parties; or
- Respondent fails to provide information as requested within a reasonable time or at all.

Over the five years reported, the percentage of noncomplex cases reaching disposition within 180 days ranged from 85 percent (FY 2018) to 91 percent in FY 2022. For complex cases, the percentage meeting the 365-day disposition goal has fluctuated, ranging from a low of 66 percent in FY 2021 to a high of 79 percent in FY 2020, with FY 2022 at 70 percent. With both case types combined, the proportion of cases meeting current case processing goals increased from 83 percent in FY 2018 to 86 percent in FY 2022.

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



As discussed in the report proposing case processing standards in accordance with SB 211, an examination of OCTC cases between 2018 and 2021 revealed that approximately 44 percent had unexplained time gaps of 60 days or more between case events recorded in OCTC's case management system. The State Bar has hypothesized that these delays resulted in part from high investigator and attorney caseloads that, along with some identified inefficiencies in OCTC practices and procedures, left investigators and attorneys unable to take all necessary

<sup>4</sup> See Appendix A for criteria used to designate major cases.

investigative actions in all their cases timely. The high caseloads and procedural inefficiencies are believed to be the cause for many cases that failed to meet the current case processing goals, including many complex cases that typically require additional and more complicated investigative actions. Further, it is important to note that completing a thorough investigation may simply take longer than 180 days for a noncomplex case or 365 days for a complex case depending on a variety of factors, including the need to follow up on new facts or legal issues identified during an investigation.

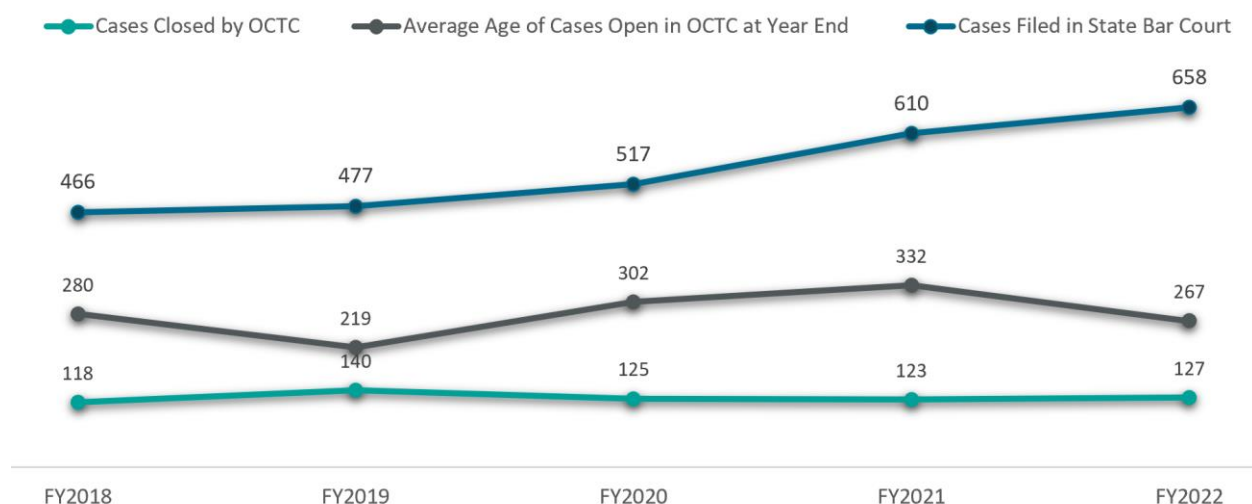
## Case Processing Time

Figure 2 shows data from table SR-5 regarding the average case processing times for three categories of cases:

1. Cases open in OCTC at year end;
2. Cases closed during the year by OCTC with no action, a referral, or nondisciplinary action;<sup>5</sup> and
3. Cases filed during the year in State Bar Court.

The average age of cases open in OCTC at year end was 267 days in FY 2022, down from a high of 332 days in FY 2021 but up from a low of 219 days in FY 2019. The average time for OCTC to close cases with no action, a referral, or nondisciplinary action increased from 118 days in FY 2018 to 127 days in FY 2022. The average time for OCTC to file cases in State Bar Court has steadily increased over the last five years, from 466 days in FY 2018 to 658 days in FY 2022.

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



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

<sup>5</sup> Cases closed by OCTC with no action are those closed with no referral or nondisciplinary action. Referrals are cases closed with the following types of status: alternative dispute resolution, fee arbitration matter, family support referral, and fee arbitration award referral. Cases closed with nondisciplinary action are those closed with a cease and desist letter, communication letter, directional letter, return of file letter, resource letter, or warning letter.

## SUMMARY AND NEXT STEPS

The 2022 ADR data is contained in the fifteen SR tables that follow this Introduction and Overview in both fiscal and calendar year formats:

SR-1A and SR-1B: Inventory and Case Processing  
 SR-2: Inquiries and Complaints  
 SR-3: Self-Reported Reportable Actions  
 SR-4: Reportable Actions, Reported by Others  
 SR-5: Speed of Complaint Handling  
 SR-6A and SR-6B: Formal Disciplinary Filings and Outcomes  
 SR-7A and SR-7B: Other Matters and Specified Definitions  
 SR-8: Unauthorized Practice of Law by Former Attorneys  
 SR-9: Unauthorized Practice of Law by Nonattorneys  
 SR-10A and SR-10B: Conviction Transmittals & Disposition of Felony Convictions  
 SR-11: Construction-Related Accessibility Demand Letters  
 SR-12: Insurance Fraud  
 SR-13: Provision of Financial Services by Lawyers  
 SR-14: Condition of the Client Security Fund  
 SR-15: Cost of the Discipline System

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

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

	FY2018	FY2019	FY2020	FY2021	FY2022	ADR Tables
Complaints	12,327	13,894	13,781	12,501	12,731	SR-1, SR-2, SR-5
State Bar Initiated Inquiries	410	302	240	344	310	SR-1, SR-2, SR-5
Probation Referrals	106	123	94	58	79	SR-1, SR-2, SR-5
Reportable Action, Self	166	157	169	161	183	SR-1, SR-2, SR-3, SR-4, SR-5
Reportable Actions, Other	2,498	2,285	2,016	1,267	1,686	SR-1, SR-2, SR-3, SR-4, SR-5
Criminal Conviction Matters	282	296	3,442	1,765	292	SR-1, SR-3, SR-4, SR-10
Unauthorized Practice of Law	798	907	806	711	688	SR-1, SR-8, SR-9



	FY2018	FY2019	FY2020	FY2021	FY2022	ADR Tables
Other <sup>6</sup>	86	288	431	383	386	SR-1, SR-7
<b>Total Cases</b>	<b>16,673</b>	<b>18,252</b>	<b>20,979</b>	<b>17,190</b>	<b>16,355</b>	

A proposed set of new case processing standards will be submitted to the Legislature on October 31, 2022. ADR reporting changes in alignment with the standards ultimately approved by the Legislature will be developed and used as the basis for future annual discipline reporting.

---

<sup>6</sup> Cases that fall under 'Other' are the following: moral character, prefiling motion to quash, probation revocation motion, resignation with charges pending, reinstatements, interim suspensions, Jurisdiction of Courts (excluding former attorney), and Rule 2605 Vexatious Complainant.

## STATUTORILY MANDATED REPORTING

### FISCAL YEAR

#### Inventory and Case Processing

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

Table SR-1A. Inventory <sup>7</sup>	FY2018	FY2019	FY2020	FY2021	FY2022
Pending at Year Start	5,825	6,437	8,795	9,668	9,878
Opened During	16,673	18,252	20,979	17,190	16,355
Closed During	16,061	15,893	20,106	16,980	16,179
Pending at Year End	6,437	8,795	9,668	9,878	10,054

---

<sup>7</sup> As defined by statute, inventory in this report will include all case types, no exceptions, to reflect the complete turnover of cases in the year.

Table SR-1B. Case Processing <sup>8</sup>	FY2018		FY2019		FY2020		FY2021		FY2022	
<b>Noncomplex cases</b>	<b>n</b>	<b>%</b>	<b>n</b>	<b>%</b>	<b>n</b>	<b>%</b>	<b>n</b>	<b>%</b>	<b>n</b>	<b>%</b>
Cases meeting goals	10,873	85	10,174	83	12,081	85	9,972	89	9,728	92
Cases not meeting goals	1,938	15	2,024	17	2,082	15	1,292	11	865	8
Total	12,811	100	12,198	100	14,163	100	11,264	100	10,593	100
<b>Complex cases</b>	<b>n</b>	<b>%</b>	<b>n</b>	<b>%</b>	<b>n</b>	<b>%</b>	<b>n</b>	<b>%</b>	<b>n</b>	<b>%</b>
Cases meeting goals	1,705	76	1,776	71	3,167	80	2,789	67	2,716	71
Cases not meeting goals	536	24	732	29	792	20	1,344	33	1,100	29
Total	2,241	100	2,508	100	3,959	100	4,133	100	3,816	100
<b>All cases</b>	<b>n</b>	<b>%</b>	<b>n</b>	<b>%</b>	<b>n</b>	<b>%</b>	<b>n</b>	<b>%</b>	<b>n</b>	<b>%</b>
Cases meeting goals	12,578	84	11,950	81	15,248	84	12,761	83	12,444	86
Cases not meeting goals	2,474	16	2,756	19	2,874	16	2,636	17	1,965	14
Total	15,052	100	14,706	100	18,122	100	15,397	100	14,409	100

<sup>8</sup> Business and Professions Code section 6094.5 (a) identifies the following case processing goals: six months for all cases and 12 months for “complicated” cases. This report uses 180 and 365 days as opposed to six and 12 months to calculate case processing time which allows for more accurate calculations based on the data structure of the State Bar’s case management system. The term “complex” will be used in lieu of “complicated.” Cases are deemed complex if they contain any of the following characteristics: major case designation; requests for bank, court, or other records; multiple charges or parties; or respondent delays in responding. In accordance with Business and Professions Code section 6094.5 (c), the following case types are excluded from table SR-1B: criminal conviction, unauthorized practice of law, interim suspensions, moral character, resignations with charges pending, and reinstatements. For full details see Appendix E. To ensure that all relevant cases are included in this report, the methodology used to identify case types was changed for this report, impacting tables SR-1B, SR-2, and SR-5. See Appendix E for more details about this methodological change and Appendix D for how results reported in tables SR-1B, SR-2, and SR-5 would be under the old method.

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

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

Table SR-2. Inquiries and Complaints	FY2018	FY2019	FY2020	FY2021	FY2022
<b>Summary: All Case Types</b>					
Cases Pending in OCTC at Year Start <sup>10</sup>	5,208	5,663	7,717	5,895	4,829
Cases Received	15,428	16,541	15,700	13,781	14,497
Cases Reopened <sup>11</sup>	79	220	600	550	492
Closed by OCTC with No Action	12,791	12,553	15,964	13,131	12,416
Closed by OCTC with Referral	262	199	298	237	245
Closed by OCTC with Nondisciplinary Action	1,469	1,334	1,417	1,516	1,318
Total Cases Closed by OCTC	14,522	14,086	17,679	14,884	13,979
Filed in SBC	530	620	443	513	430
Cases Pending in OCTC at Year End	5,663	7,717	5,895	4,829	5,409
Cases Pending in SBC at Year Start	941	807	794	693	721
Closed by SBC with No Action <sup>12</sup>	124	171	125	86	45
Closed by SBC with Nondisciplinary Action	2	0	0	6	9
Closed with Discipline Imposed	538	463	419	393	460
Total Cases Closed by SBC	664	634	544	485	514
Cases Pending in SBC at Year End	807	794	693	721	637
<b>Complaints</b>					
Complaints Pending in OCTC at Year Start	4,480	4,837	6,851	5,123	4,258
Complaints Received	12,254	13,683	13,195	11,957	12,306
Complaints Reopened	73	211	586	544	425
Closed by OCTC with No Action	10,094	10,205	13,717	11,519	10,790
Closed by OCTC with Referral	261	197	297	237	245
Closed by OCTC with Nondisciplinary Action	1,280	1,118	1,251	1,260	1,154
Total Complaints Closed by OCTC	11,635	11,520	15,265	13,016	12,189
Filed in SBC	335	360	244	350	304
Complaints Pending in OCTC at Year End	4,837	6,851	5,123	4,258	4,496
Complaints Pending in SBC at Year Start	610	520	476	389	475
Closed by SBC with No Action	94	108	80	40	24
Closed by SBC with Nondisciplinary Action	0	0	0	5	6

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

<sup>10</sup> Pending at year start rows for OCTC and State Bar Court (SBC) have been added to all sections of table SR-2.

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

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

Table SR-2. Inquiries and Complaints	FY2018	FY2019	FY2020	FY2021	FY2022
Closed with Discipline Imposed	331	296	251	219	296
Total Complaints Closed by SBC	425	404	331	264	326
Complaints Pending in SBC at Year End	520	476	389	475	453
<b>State Bar Initiated Inquiries</b>					
Inquiries Pending in OCTC at Year Start	166	224	203	174	145
Inquiries Initiated	408	299	230	340	305
Inquiries Reopened	2	3	10	4	5
Closed by OCTC with No Action	293	246	219	262	205
Closed by OCTC with Referral	0	2	1	0	0
Closed by OCTC with Nondisciplinary Action	36	41	20	87	27
Total Inquiries Closed by OCTC	329	289	240	349	232
Filed in SBC	23	33	29	24	22
Inquiries Pending in OCTC at Year End	224	203	174	145	201
Inquiries Pending in SBC at Year Start	72	48	49	44	41
Closed by SBC with No Action	13	9	8	0	4
Closed by SBC with Nondisciplinary Action	1	0	0	0	1
Closed with Discipline Imposed	33	24	26	27	24
Total Inquiries Closed by SBC	47	33	34	27	29
Inquiries Pending in SBC at Year End	48	49	44	41	34
<b>Probation Referrals</b>					
Referrals Pending in OCTC at Year Start	56	56	77	60	32
Referrals Received	106	122	91	58	79
Referrals Reopened	0	1	3	0	0
Closed by OCTC with No Action	24	30	36	21	14
Closed by OCTC with Referral	1	0	0	0	0
Closed by OCTC with Nondisciplinary Action	0	2	0	2	3
Total Referrals Closed by OCTC	25	32	36	23	17
Filed in SBC	81	70	75	63	55
Referrals Pending in OCTC at Year End	56	77	60	32	39
Referrals Pending in SBC at Year Start	118	108	83	93	77
Closed by SBC with No Action	8	33	11	12	14
Closed by SBC with Non-Disciplinary Action	0	0	0	0	1
Closed with Discipline Imposed	83	62	54	67	36
Total Referrals Closed by SBC	91	95	65	79	51
Referrals Pending in SBC at Year End	108	83	93	77	81
<b>Reportable Actions, Self-Reported</b>					
Actions Pending in OCTC at Year Start	79	75	74	91	91
Actions Reported	166	155	169	161	183
Actions Reopened	0	2	0	0	0
Closed by OCTC with No Action	148	130	124	115	140
Closed by OCTC with Referral	0	0	0	0	0
Closed by OCTC with Nondisciplinary Action	11	16	13	33	30

Table SR-2. Inquiries and Complaints	FY2018	FY2019	FY2020	FY2021	FY2022
Total Actions Closed by OCTC	159	146	137	148	170
Filed in SBC	11	12	15	13	11
Actions Pending in OCTC at Year End	75	74	91	91	93
Actions Pending in SBC at Year Start	30	20	18	22	15
Closed by SBC with No Action	1	1	3	1	0
Closed by SBC with Nondisciplinary Action	0	0	0	1	1
Closed with Discipline Imposed	20	13	8	18	16
Total Actions Closed by SBC	21	14	11	20	17
Actions Pending in SBC at Year End	20	18	22	15	9
<b>Reportable Actions, Reported by Others</b>					
Actions Pending in OCTC at Year Start	427	471	512	447	303
Actions Reported	2,494	2,282	2,015	1,265	1,624
Actions Reopened	4	3	1	2	62
Closed by OCTC with No Action	2,232	1,942	1,868	1,214	1,267
Closed by OCTC with Referral	0	0	0	0	0
Closed by OCTC with Nondisciplinary Action	142	157	133	134	104
Total Actions Closed by OCTC	2,374	2,099	2,001	1,348	1,371
Filed in SBC	80	145	80	63	38
Actions Pending in OCTC at Year End	471	512	447	303	580
Actions Pending in SBC at Year Start	111	111	168	145	113
Closed by SBC with No Action	8	20	23	33	3
Closed by SBC with Nondisciplinary Action	1	0	0	0	0
Closed with Discipline Imposed	71	68	80	62	88
Total Actions Closed by SBC	80	88	103	95	91
Actions Pending in SBC at Year End	111	168	145	113	60

## Self-Reported Reportable Actions

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

Table SR-3. Reportable Actions, Reported by Self <sup>15</sup>	FY2018	FY2019	FY2020	FY2021	FY2022
<b>Summary: All Reportable Actions, Reported by Self</b>					
Reports Received	208	203	188	177	195
Cases Reopened	3	4	0	0	0
Cases Closed by OCTC with No Action	155	143	126	120	143
Cases Closed by OCTC with Referral	0	0	1	0	0
Cases Closed by OCTC with Nondisciplinary Action	11	17	20	33	30
Total Cases Closed by OCTC	166	160	147	153	173
Cases Filed in SBC	55	51	23	20	34
Cases Remaining in OCTC at Year End	110	104	123	127	115
Cases Closed by SBC with No Action <sup>16</sup>	4	8	7	5	4
Cases Closed by SBC with Nondisciplinary Action	0	0	2	1	0
Cases Closed with Discipline Imposed	50	39	31	32	24
Total Cases Closed by SBC	54	47	40	38	28
Cases Remaining in SBC at Year End	69	75	58	40	46
<u>Three or more malpractice lawsuits filed within 12 months (§ 6068, subd. (o)(1))</u>					
Reports Received	3	0	2	5	4
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	2	0	2	4	3
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	1	0	0	0	0
Total Cases Closed by OCTC	3	0	2	4	3
Average Pendency at Closure <sup>17</sup>	63	0	48	36	33
Median Pendency at Closure	36	0	48	35	30
Cases Filed in SBC	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0

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

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

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

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

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

Table SR-3. Reportable Actions, Reported by Self <sup>15</sup>	FY2018	FY2019	FY2020	FY2021	FY2022
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	0	0	0	1	2
Average Pendency at Year End	0	0	0	127	285
Median Pendency at Year End	0	0	0	127	285
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by SBC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0

Judgment in civil case for fraud, misrepresentation, gross negligence, etc. (§ 6068, subd. (o)(2))

Reports Received	4	8	9	2	8
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	4	5	6	3	6
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	1	1	0	0
Total Cases Closed by OCTC	4	6	7	3	6
Average Pendency at Closure	238	41	60	377	125
Median Pendency at Closure	274	14	49	393	42
Cases Filed in SBC	0	0	1	2	0
Average Pendency at Filing	0	0	763	909	0
Median Pendency at Filing	0	0	763	909	0
Cases Remaining in OCTC at Year End	3	5	6	3	5
Average Pendency at Year End	227	307	433	505	460
Median Pendency at Year End	225	164	359	449	206
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	1	2
Total Cases Closed by SBC	0	0	0	1	2
Average Pendency at Closure	0	0	0	1,230	1,201
Median Pendency at Closure	0	0	0	1,230	1,201
Cases Remaining in SBC at Year End	0	0	1	2	0
Average Pendency at Year End	0	0	956	1,075	0
Median Pendency at Year End	0	0	956	1,075	0

Judicial sanctions imposed (§ 6068, subd. (o)(3))

Reports Received	114	109	127	122	143
Cases Reopened	0	1	0	0	0
Cases Closed by OCTC with No Action	105	92	99	84	111
Cases Closed by OCTC with Referral	0	0	0	0	0



Table SR-3. Reportable Actions, Reported by Self <sup>15</sup>	FY2018	FY2019	FY2020	FY2021	FY2022
Cases Closed by OCTC with Nondisciplinary Action	8	11	11	28	26
Total Cases Closed by OCTC	113	103	110	112	137
Average Pendency at Closure	111	120	146	186	184
Median Pendency at Closure	37	49	57	81	79
Cases Filed in SBC	2	6	3	4	5
Average Pendency at Filing	723	622	277	1,025	884
Median Pendency at Filing	723	516	219	1,018	640
Cases Remaining in OCTC at Year End	47	48	62	68	69
Average Pendency at Year End	282	327	338	302	244
Median Pendency at Year End	151	158	255	219	104
Cases Closed by SBC with No Action	0	1	3	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	1	0
Cases Closed with Discipline Imposed	4	4	1	9	5
Total Cases Closed by SBC	4	5	4	10	5
Average Pendency at Closure	938	1,333	1,304	1,519	1,225
Median Pendency at Closure	937	962	1,304	1,275	1,085
Cases Remaining in SBC at Year End	10	11	10	4	4
Average Pendency at Year End	1,150	1,146	1,206	1,192	1,295
Median Pendency at Year End	963	1,150	1,245	829	1,070
<a href="#"><u>Felony indictment (§ 6068, subd. (o)(4))</u></a>					
Reports Received	25	16	10	7	6
Cases Reopened	1	1	0	0	0
Cases Closed by OCTC with No Action	5	6	2	2	3
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	5	6	2	2	3
Average Pendency at Closure	450	653	473	2,170	1,517
Median Pendency at Closure	38	463	473	2,170	1,393
Cases Filed in SBC	20	18	3	2	9
Average Pendency at Filing	461	378	250	409	487
Median Pendency at Filing	271	257	158	409	282
Cases Remaining in OCTC at Year End	25	17	22	25	19
Average Pendency at Year End	565	682	763	800	1,021
Median Pendency at Year End	316	387	475	672	993
Cases Closed by SBC with No Action	1	3	2	2	1
Cases Closed by SBC with Nondisciplinary Action	0	0	1	0	0
Cases Closed with Discipline Imposed	11	13	9	6	2
Total Cases Closed by SBC	12	16	12	8	3
Average Pendency at Closure	596	516	1,125	992	2,038
Median Pendency at Closure	510	520	666	964	1,486
Cases Remaining in SBC at Year End	22	25	16	10	16
Average Pendency at Year End	793	994	1,237	1,728	1,242

Table SR-3. Reportable Actions, Reported by Self <sup>15</sup>	FY2018	FY2019	FY2020	FY2021	FY2022
Median Pendency at Year End	484	734	1,054	1,850	1,052
<u>Conviction of felony, or misdemeanor related to practice of law (§ 6068, subd. (o)(5))</u>					
Reports Received	24	33	10	10	9
Cases Reopened	2	1	0	0	0
Cases Closed by OCTC with No Action	8	7	2	3	3
Cases Closed by OCTC with Referral	0	0	1	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	1	7	0	0
Total Cases Closed by OCTC	8	8	10	3	3
Average Pendency at Closure	83	133	145	628	547
Median Pendency at Closure	58	104	115	630	441
Cases Filed in SBC	24	21	6	5	14
Average Pendency at Filing	421	279	242	201	374
Median Pendency at Filing	271	188	196	79	140
Reports Remaining in OCTC at Year End	12	16	11	13	5
Average Pendency at Year End	500	312	578	628	1,141
Median Pendency at Year End	186	153	277	154	482
Cases Closed by SBC with No Action	2	4	2	2	3
Cases Closed by SBC with Nondisciplinary Action	0	0	1	0	0
Cases Closed with Discipline Imposed	19	13	14	8	6
Total Cases Closed by SBC	21	17	17	10	9
Average Pendency at Closure	558	888	1,013	922	1,304
Median Pendency at Closure	472	598	644	808	1,269
Cases Remaining in SBC at Year End	27	32	21	16	21
Average Pendency at Year End	974	827	986	1,191	909
Median Pendency at Year End	522	482	701	926	675
<u>Discipline by professional agency or licensing board (§ 6068, subd. (o)(6))</u>					
Reports Received	21	28	22	15	17
Cases Reopened	0	1	0	0	0
Cases Closed by OCTC with No Action	11	21	6	15	11
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	2	2	0	4	0
Total Cases Closed by OCTC	13	23	6	19	11
Average Pendency at Closure	231	150	107	328	182
Median Pendency at Closure	57	27	99	181	6
Cases Filed in SBC	9	6	10	7	6
Average Pendency at Filing	488	313	367	456	341
Median Pendency at Filing	474	245	266	392	266
Cases Remaining in OCTC at Year End	16	16	22	11	11
Average Pendency at Year End	358	378	405	514	437
Median Pendency at Year End	182	264	210	342	202
Cases Closed by SBC with No Action	1	0	0	1	0

Table SR-3. Reportable Actions, Reported by Self <sup>15</sup>	FY2018	FY2019	FY2020	FY2021	FY2022
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	16	9	7	8	9
Total Cases Closed by SBC	17	9	7	9	9
Average Pendency at Closure	665	759	449	756	801
Median Pendency at Closure	702	709	418	746	566
Cases Remaining in SBC at Year End	10	7	10	8	5
Average Pendency at Year End	694	732	877	1,032	1,008
Median Pendency at Year End	681	779	830	796	778

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

Reports Received	17	9	7	16	6
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	20	12	8	9	6
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	2	1	1	4
Total Cases Closed by OCTC	20	14	9	10	10
Average Pendency at Closure	106	130	132	31	176
Median Pendency at Closure	46	51	22	22	64
Cases Filed in SBC	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	7	2	0	6	2
Average Pendency at Year End	217	463	0	129	415
Median Pendency at Year End	143	463	0	97	415
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by SBC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0

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

Reports Received	0	0	1	0	2
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	0	0	1	0	0
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	0	0	1	0	0
Average Pendency at Closure	0	0	55	0	0
Median Pendency at Closure	0	0	55	0	0
Cases Filed in SBC	0	0	0	0	0

Table SR-3. Reportable Actions, Reported by Self <sup>15</sup>	FY2018	FY2019	FY2020	FY2021	FY2022
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	0	0	0	0	2
Average Pendency at Year End	0	0	0	0	59
Median Pendency at Year End	0	0	0	0	59
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by SBC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0

## Reportable Actions, Reported by Others

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

Table SR-4. Reportable Actions, Reported by Others	FY2018	FY2019	FY2020	FY2021	FY2022
<b>Summary: All Reportable Actions, Reported by Others</b>					
Reports Received	2,642	2,362	2,066	1,340	1,662
Cases Reopened	10	6	1	2	62
Cases Closed by OCTC with No Action	2,328	1,998	1,879	1,221	1,292
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	140	155	136	129	103
Total Cases Closed by OCTC	2,468	2,153	2,015	1,350	1,395
Cases Filed in SBC	149	189	100	77	61
Cases Remaining in OCTC at Year End	604	627	579	494	762
Cases Closed by SBC with No Action <sup>19</sup>	32	51	32	34	13
Cases Closed by SBC with Nondisciplinary Action	3	0	0	0	2
Cases Closed with Discipline Imposed	130	104	113	85	98
Total Cases Closed by SBC	165	155	145	119	113
Cases Remaining in SBC at Year End	221	258	213	171	119
<b>Order of Contempt (§ 6086.7, subd. (a) (1))</b>					
Reports Received	3	4	3	6	4
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	2	1	2	2	3
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	1	0	1
Total Cases Closed by OCTC	2	1	3	2	4
Average Pendency at Closure	329	4	131	85	399
Median Pendency at Closure	329	4	161	85	245
Cases Filed in SBC	0	1	2	1	0
Average Pendency at Filing	0	387	612	230	0
Median Pendency at Filing	0	387	612	230	0
Cases Remaining in OCTC at Year End	2	4	2	5	5
Average Pendency at Year End	171	285	360	355	298
Median Pendency at Year End	171	211	360	155	126
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0

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

<sup>19</sup> Reasons for cases closed by SBC with no action include the following: (1) respondent was disbarred in another matter; (2) respondent was ordered inactive pursuant to Business and Professions Code section 6007(b); (3) respondent's death, shortly before or after dismissal; (4) respondent's resignation; (5) dismissal by OCTC; and (6) dismissal by SBC.

Table SR-4. Reportable Actions, Reported by Others	FY2018	FY2019	FY2020	FY2021	FY2022
Cases Closed with Discipline Imposed	1	0	0	0	0
Total Cases Closed by SBC	1	0	0	0	0
Average Pendency at Closure	758	0	0	0	0
Median Pendency at Closure	758	0	0	0	0
Cases Remaining in SBC at Year End	0	1	3	4	4
Average Pendency at Year End	0	411	781	935	1,300
Median Pendency at Year End	0	411	777	1,024	1,389

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

Reports Received	20	22	10	15	18
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	20	17	14	6	12
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	1	3	3	2	3
Total Cases Closed by OCTC	21	20	17	8	15
Average Pendency at Closure	231	223	240	226	234
Median Pendency at Closure	95	29	58	63	37
Cases Filed in SBC	1	0	0	0	1
Average Pendency at Filing	189	0	0	0	611
Median Pendency at Filing	189	0	0	0	611
Cases Remaining in OCTC at Year End	10	12	5	12	14
Average Pendency at Year End	479	439	839	431	381
Median Pendency at Year End	256	334	713	140	192
Cases Closed by SBC with No Action	1	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	1	1	0	0	0
Total Cases Closed by SBC	2	1	0	0	0
Average Pendency at Closure	708	348	0	0	0
Median Pendency at Closure	708	348	0	0	0
Cases Remaining in SBC at Year End	1	0	0	0	1
Average Pendency at Year End	288	0	0	0	856
Median Pendency at Year End	288	0	0	0	856

[Judicial sanctions imposed \(§ 6086.7, subd. \(a\)\(3\)\)](#)

Reports Received	73	72	98	44	78
Cases Reopened	1	2	0	0	0
Cases Closed by OCTC with No Action	46	44	32	32	31
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	11	14	17	29	18
Total Cases Closed by OCTC	57	58	49	61	49
Average Pendency at Closure	136	187	197	402	297
Median Pendency at Closure	56	108	174	410	189
Cases Filed in SBC	9	10	15	9	13

Table SR-4. Reportable Actions, Reported by Others	FY2018	FY2019	FY2020	FY2021	FY2022
Average Pendency at Filing	433	600	448	709	764
Median Pendency at Filing	451	503	341	372	616
Cases Remaining in OCTC at Year End	47	53	87	61	77
Average Pendency at Year End	296	293	361	416	353
Median Pendency at Year End	142	201	272	272	238
Cases Closed by SBC with No Action	2	0	0	1	1
Cases Closed by SBC with Nondisciplinary Action	1	0	0	0	0
Cases Closed with Discipline Imposed	17	9	7	9	13
Total Cases Closed by SBC	20	9	7	10	14
Average Pendency at Closure	673	1,017	783	995	1,482
Median Pendency at Closure	659	1,051	652	802	1,056
Cases Remaining in SBC at Year End	17	18	26	25	24
Average Pendency at Year End	1,228	1,287	1,221	1,537	1,503
Median Pendency at Year End	1,118	1,323	892	1,258	1,339

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

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

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

Reports Received	0	1	0	0	0
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	0	0	0	0	0

Table SR-4. Reportable Actions, Reported by Others	FY2018	FY2019	FY2020	FY2021	FY2022
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Filed in SBC	0	0	0	0	1
Average Pendency at Filing	0	0	0	0	1,202
Median Pendency at Filing	0	0	0	0	1,202
Cases Remaining in OCTC at Year End	0	1	1	1	0
Average Pendency at Year End	0	326	692	1,057	0
Median Pendency at Year End	0	326	692	1,057	0
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	1
Total Cases Closed by SBC	0	0	0	0	1
Average Pendency at Closure	0	0	0	0	1,354
Median Pendency at Closure	0	0	0	0	1,354
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0

[Judgment in civil case for fraud, misrepresentation, gross negligence, etc. \(§ 6086.8, subd. \(a\)\)](#)

Reports Received	5	12	6	2	3
Cases Reopened	0	0	1	0	1
Cases Closed by OCTC with No Action	3	5	2	2	1
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	1	0	1	4	2
Total Cases Closed by OCTC	4	5	3	6	3
Average Pendency at Closure	645	22	259	492	229
Median Pendency at Closure	650	11	117	560	158
Cases Filed in SBC	1	1	2	1	0
Average Pendency at Filing	533	240	313	395	0
Median Pendency at Filing	533	240	313	395	0
Cases Remaining in OCTC at Year End	3	9	11	6	7
Average Pendency at Year End	89	229	409	781	931
Median Pendency at Year End	85	228	407	741	1,074
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	1	1	2	0	2
Total Cases Closed by SBC	1	1	2	0	2
Average Pendency at Closure	1,233	914	576	0	845
Median Pendency at Closure	1,233	914	576	0	845
Cases Remaining in SBC at Year End	1	1	1	2	0



Table SR-4. Reportable Actions, Reported by Others	FY2018	FY2019	FY2020	FY2021	FY2022
Average Pendency at Year End	677	508	474	639	0
Median Pendency at Year End	677	508	474	639	0

Claim or action for damages for fraud, misrepresentation, etc. (§ 6086.8, subd. (b))

Reports Received	274	243	287	214	225
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	274	230	277	237	214
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	0	0	1
Total Cases Closed by OCTC	274	230	277	237	215
Average Pendency at Closure	4	7	46	17	26
Median Pendency at Closure	3	4	57	14	22
Cases Filed in SBC	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	0	13	23	0	10
Average Pendency at Year End	0	6	22	0	15
Median Pendency at Year End	0	6	19	0	17
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by SBC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0

Overdraft of attorney trust accounts (§ 6091.1)

Reports Received	2,103	1,898	1,562	959	1,266
Cases Reopened	3	1	0	2	61
Cases Closed by OCTC with No Action	1,873	1,617	1,506	913	988
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	127	138	108	93	78
Total Cases Closed by OCTC	2,000	1,755	1,614	1,006	1,066
Average Pendency at Closure	66	73	77	84	67
Median Pendency at Closure	30	43	51	31	48
Cases Filed in SBC	68	132	58	51	21
Average Pendency at Filing	421	361	375	589	823
Median Pendency at Filing	355	330	339	646	928
Cases Remaining in OCTC at Year End	401	413	303	207	447
Average Pendency at Year End	200	187	280	306	240
Median Pendency at Year End	82	67	179	152	134

Table SR-4. Reportable Actions, Reported by Others	FY2018	FY2019	FY2020	FY2021	FY2022
Cases Closed by SBC with No Action	5	20	23	31	2
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	51	55	70	53	71
Total Cases Closed by SBC	56	75	93	84	73
Average Pendency at Closure	682	1,051	675	966	1,548
Median Pendency at Closure	722	620	736	817	1,208
Cases Remaining in SBC at Year End	91	148	113	80	28
Average Pendency at Year End	1,142	784	1,092	1,305	935
Median Pendency at Year End	691	606	858	768	923

Filing of misdemeanor or felony charges (§ 6101, subd. (b))

Reports Received	130	95	81	90	60
Cases Reopened	4	3	0	0	0
Cases Closed by OCTC with No Action	100	65	34	24	40
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	4	1	0
Total Cases Closed by OCTC	100	65	38	25	40
Average Pendency at Closure	331	345	586	565	792
Median Pendency at Closure	178	234	274	517	787
Cases Filed in SBC	57	41	20	14	18
Average Pendency at Filing	475	380	404	379	436
Median Pendency at Filing	293	273	322	315	213
Cases Remaining in OCTC at Year End	121	110	133	184	186
Average Pendency at Year End	502	595	595	629	781
Median Pendency at Year End	255	305	347	472	575
Cases Closed by SBC with No Action	17	19	9	2	8
Cases Closed by SBC with Nondisciplinary Action	1	0	0	0	1
Cases Closed with Discipline Imposed	43	32	30	22	8
Total Cases Closed by SBC	61	51	39	24	17
Average Pendency at Closure	914	1,084	911	1,179	1,130
Median Pendency at Closure	688	775	846	1,080	864
Cases Remaining in SBC at Year End	81	74	55	45	46
Average Pendency at Year End	1,115	1,050	1,350	1,535	1,608
Median Pendency at Year End	800	833	1,050	1,041	1,303

Criminal Conviction (§ 6101, subd. (c))

Reports Received	34	15	19	10	8
Cases Reopened	2	0	0	0	0
Cases Closed by OCTC with No Action	10	19	12	5	3
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	2	0	0
Total Cases Closed by OCTC	10	19	14	5	3
Average Pendency at Closure	528	176	213	403	836
Median Pendency at Closure	100	108	102	458	869

Table SR-4. Reportable Actions, Reported by Others	FY2018	FY2019	FY2020	FY2021	FY2022
Cases Filed in SBC	13	4	3	1	7
Average Pendency at Filing	113	198	184	22	176
Median Pendency at Filing	102	168	139	22	87
Cases Remaining in OCTC at Year End	20	12	14	18	16
Average Pendency at Year End	222	487	509	626	909
Median Pendency at Year End	228	533	296	340	651
Cases Closed by SBC with No Action	7	12	0	0	2
Cases Closed by SBC with Nondisciplinary Action	1	0	0	0	1
Cases Closed with Discipline Imposed	16	6	4	1	3
Total Cases Closed by SBC	24	18	4	1	6
Average Pendency at Closure	675	2,728	774	1,806	933
Median Pendency at Closure	843	2,692	783	1,806	1,008
Cases Remaining in SBC at Year End	30	16	15	15	16
Average Pendency at Year End	1,846	987	1,260	1,508	1,499
Median Pendency at Year End	1,173	699	986	1,318	1,616
Elder or dependent adult financial service complaints. (§ 6175.6) <sup>20</sup>					
Reports Received	0	0	0	0	0
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	0	0	0	0	0
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Nondisciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Filed in SBC	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Nondisciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by SBC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0

<sup>20</sup> See table SR-13 for more background information on this type of reportable action.

## Speed of Complaint Handling

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

Table SR-5. Speed of Complaint Handling	FY2018	FY2019	FY2020	FY2021	FY2022
<b>Summary: All Case Types<sup>21</sup></b>					
Pendency at Closure by OCTC with No Action <sup>22</sup>					
Average	117	137	122	114	123
Median	44	58	60	38	36
Pendency at Closure by OCTC with Referral					
Average	124	123	96	109	83
Median	58	71	48	28	19
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	127	163	157	204	170
Median	53	106	76	90	63
Pendency at Closure by OCTC					
Average	118	140	125	123	127
Median	45	59	61	40	37
Pendency at Filing in SBC					
Average	466	477	517	610	658
Median	401	414	476	577	591
Pendency at Year End in OCTC					
Average	280	219	302	332	267
Median	128	115	187	159	128
Pendency at Closure by SBC with No Action					
Average	1,512	1,878	1,460	888	1,173
Median	849	1,818	1,172	728	748
Pendency at Closure by SBC with Nondisciplinary Action					
Average	1,214	0	0	793	1,016
Median	1,214	0	0	782	976
Pendency at Closure by SBC with Disciplinary Action					
Average	659	819	832	984	1,109
Median	640	698	756	920	935
Pendency at Closure by SBC					
Average	819	1,106	976	965	1,113
Median	657	781	796	877	913
Pendency at Year end in SBC					
Average	1,106	944	990	1,043	999
Median	814	744	813	834	883

<sup>21</sup> The case types in table SR-5 are the same as in tables SR-1B and SR-2. See footnote two.

<sup>22</sup> Rows for closure with no action, referral, nondisciplinary action, and disciplinary action were added to all sections of this table to align with table SR-2.

Table SR-5. Speed of Complaint Handling	FY2018	FY2019	FY2020	FY2021	FY2022
<b>Complaints</b>					
Pendency at Closure by OCTC with No Action					
Average	127	148	127	118	129
Median	52	63	67	40	35
Pendency at Closure by OCTC with Referral					
Average	124	124	96	109	83
Median	58	72	48	28	19
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	129	164	158	190	161
Median	49	112	79	68	57
Pendency at Closure by OCTC					
Average	127	149	129	124	131
Median	52	65	67	41	35
Pendency at Filing in SBC					
Average	486	504	584	631	651
Median	424	456	543	589	591
Pendency at Year End in OCTC					
Average	284	215	298	327	264
Median	128	111	180	154	128
Pendency at Closure by SBC with No Action					
Average	1,672	1,942	1,802	1,011	1,462
Median	1,183	1,954	2,203	978	879
Pendency at Closure by SBC with Nondisciplinary Action					
Average	0	0	0	716	968
Median	0	0	0	749	836
Pendency at Closure by SBC with Disciplinary Action					
Average	667	895	942	1,034	1,039
Median	653	783	863	984	938
Pendency at Closure by SBC					
Average	888	1,177	1,150	1,025	1,068
Median	668	917	935	975	936
Pendency at Year end in SBC					
Average	1,157	1,032	1,018	1,019	1,016
Median	850	848	879	875	941
<b>State Bar Initiated Inquiries</b>					
Pendency at Closure by OCTC with No Action					
Average	135	215	220	167	176
Median	43	113	125	29	49
Pendency at Closure by OCTC with Referral					
Average	0	28	114	0	0
Median	0	28	114	0	0
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	202	235	243	181	293

Table SR-5. Speed of Complaint Handling	FY2018	FY2019	FY2020	FY2021	FY2022
Median	183	184	186	90	225
Pendency at Closure by OCTC					
Average	143	217	222	171	190
Median	56	129	131	81	56
Pendency at Filing in SBC					
Average	558	503	583	615	770
Median	410	520	581	329	623
Pendency at Year End in OCTC					
Average	300	337	410	447	361
Median	156	248	272	286	206
Pendency at Closure by SBC with No Action					
Average	1,447	2,334	1,332	0	1,593
Median	969	2,049	1,225	0	564
Pendency at Closure by SBC with Nondisciplinary Action					
Average	1,611	0	0	0	1,483
Median	1,611	0	0	0	1,483
Pendency at Closure by SBC with Disciplinary Action					
Average	821	980	881	1,010	1,278
Median	737	767	738	847	925
Pendency at Closure by SBC					
Average	1,011	1,349	987	1,010	1,319
Median	764	879	957	847	925
Pendency at Year end in SBC					
Average	1,406	1,152	1,266	1,385	1,282
Median	1,123	1,055	881	1,143	910
<b>Probation Referrals<sup>23</sup></b>					
Pendency at Closure by OCTC with No Action					
Average	391	560	350	325	349
Median	238	322	284	256	154
Pendency at Closure by OCTC with Referral					
Average	238	0	0	0	0
Median	238	0	0	0	0
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	0	34	0	83	55
Median	0	34	0	83	46
Pendency at Closure by OCTC					
Average	385	527	350	304	297
Median	238	300	284	237	117
Pendency at Filing in SBC					
Average	192	240	221	314	284
Median	190	202	168	284	240

<sup>23</sup> The order of 'Probation Referrals' in table SR-5 has been changed to match that in table SR-2.

Table SR-5. Speed of Complaint Handling	FY2018	FY2019	FY2020	FY2021	FY2022
Pendency at Year End in OCTC					
Average	385	199	276	285	266
Median	198	93	181	64	127
Pendency at Closure by SBC with No Action					
Average	739	1,370	608	899	487
Median	373	1,190	687	579	427
Pendency at Closure by SBC with Nondisciplinary Action					
Average	0	0	0	0	474
Median	0	0	0	0	474
Pendency at Closure by SBC with Disciplinary Action					
Average	517	511	585	657	630
Median	470	424	514	571	602
Pendency at Closure by SBC					
Average	536	809	588	693	587
Median	468	479	521	574	539
Pendency at Year end in SBC					
Average	731	535	545	568	610
Median	372	335	396	503	371
<b>Reportable Actions, Reported by Self</b>					
Pendency at Closure by OCTC with No Action					
Average	119	116	130	165	177
Median	37	35	51	49	57
Pendency at Closure by OCTC with Referral					
Average	0	0	0	0	0
Median	0	0	0	0	0
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	179	176	193	291	215
Median	60	140	134	214	98
Pendency at Closure by OCTC					
Average	123	123	136	193	184
Median	45	45	52	78	61
Pendency at Filing in SBC					
Average	563	512	437	747	629
Median	490	489	373	850	477
Pendency at Year End in OCTC					
Average	285	340	365	328	276
Median	152	161	257	229	111
Pendency at Closure by SBC with No Action					
Average	397	2,732	1,304	808	0
Median	397	2,732	1,302	808	0
Pendency at Closure by SBC with Nondisciplinary Action					
Average	0	0	0	1,179	1,378
Median	0	0	0	1,179	1,378

Table SR-5. Speed of Complaint Handling	FY2018	FY2019	FY2020	FY2021	FY2022
Pendency at Closure by SBC with Disciplinary Action					
Average	754	828	601	1,180	984
Median	705	709	583	1,181	906
Pendency at Closure by SBC					
Average	737	964	793	1,161	1,007
Median	703	749	679	1,178	943
Pendency at Year end in SBC					
Average	922	985	1,032	1,098	1,136
Median	776	1,042	986	876	888
<b>Reportable Actions, Reported by Others</b>					
Pendency at Closure by OCTC with No Action					
Average	62	66	73	62	59
Median	27	37	51	28	42
Pendency at Closure by OCTC with Referral					
Average	0	0	0	0	0
Median	0	0	0	0	0
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	90	133	132	338	224
Median	53	57	58	253	119
Pendency at Closure by OCTC					
Average	64	71	77	90	72
Median	28	41	52	29	44
Pendency at Filing in SBC					
Average	463	435	456	659	829
Median	391	388	401	688	818
Pendency at Year End in OCTC					
Average	221	206	290	346	263
Median	102	112	187	184	134
Pendency at Closure by SBC with No Action					
Average	673	2,121	747	737	1,637
Median	720	1,902	755	714	1,382
Pendency at Closure by SBC with Nondisciplinary Action					
Average	816	0	0	0	0
Median	816	0	0	0	0
Pendency at Closure by SBC with Disciplinary Action					
Average	688	711	659	1,091	1,512
Median	698	658	613	1,059	1,109
Pendency at Closure by SBC					
Average	688	1,032	678	969	1,516
Median	706	672	728	828	1,127
Pendency at Year End in SBC					
Average	1,137	834	1,111	1,341	1,216
Median	774	607	873	905	1,116



## Formal Disciplinary Filings and Outcomes<sup>24</sup>

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

Table SR-6A. Formal Filings	FY2018	FY2019	FY2020	FY2021	FY2022
<b>Notices of Disciplinary Charges</b>					
Number of Filings	410	491	366	420	342
Average Pendency at Filing	390	424	450	514	502
Median Pendency at Filing	341	369	404	492	392
Number of Attorneys <sup>25</sup>	217	241	190	220	156
<b>Stipulations to Facts and Discipline</b>					
Number of Filings	100	112	92	99	80
Average Pendency at Filing	400	386	513	660	560
Median Pendency at Filing	381	339	462	714	563
Number of Attorneys	72	75	60	83	64
<b>Criminal Conviction Transmittals<sup>26</sup></b>					
Number of Filings	NA	46	197	168	134
Number of Attorneys	NA	45	183	153	111

Table SR-6B. Formal Disciplinary Outcomes	FY2018	FY2019	FY2020	FY2021	FY2022
<b>Disbarments</b>					
Number of Cases	305	244	209	135	184
Average Pendency	767	933	1,017	898	1,132
Median Pendency	675	783	873	800	945
Number of Attorneys Disbarred	169	119	118	83	84
<b>Probation with Actual Suspension</b>					
Number of Cases	226	230	252	188	224
Average Pendency	724	842	858	1,086	1,223
Median Pendency	654	702	786	1,044	1,077
Number of Attorneys Suspended	125	129	120	95	89
<b>Probation with Stayed Suspension</b>					

<sup>24</sup> Cases are filed in SBC via a Notice of Disciplinary Charges (NDC), Stipulations to Facts and Discipline, and Transmittal of Criminal Convictions. This table counts each case only once: cases in which an NDC is filed or information about a criminal conviction is transmitted that are later resolved by stipulation are only counted based on the initial filing in SBC. This table includes all formal disciplinary filings, including criminal conviction matters and reportable actions not included in other sections of this report.

<sup>25</sup> Number of attorneys counts added to each section of SR-6A, to match the layout of table SR-6B.

<sup>26</sup> Pendency time for Criminal Conviction Transmittals is not applicable because it is dependent on the cases reaching finality in the criminal court, which is outside of the State Bar's control. Conviction transmittal tracking data was only available in early 2019, so data in earlier years will not be available or complete.

Table SR-6B. Formal Disciplinary Outcomes	FY2018	FY2019	FY2020	FY2021	FY2022
Number of Cases	48	45	41	53	32
Average Pendency	854	680	746	967	876
Median Pendency	726	548	638	908	867
Number of Attorneys Suspended	26	28	32	41	23
<b>Public Reprovals</b>					
Number of Cases	25	22	31	42	56
Average Pendency	674	566	492	699	882
Median Pendency	546	534	403	655	906
Number of Attorneys Publicly Reproved	22	22	31	35	43
<b>Private Reprovals</b>					
Number of Cases	21	13	23	52	27
Average Pendency	866	596	669	842	893
Median Pendency	496	561	704	711	934
Number of Attorneys Privately Reproved	19	12	16	43	23

## Other Matters and Specified Definitions

**Section 6086.15, subdivision (a)(7)** The number, average pending times, and types of other matters, including petitions to terminate practice pursuant to section 6180 or 6190, interim suspensions and license restrictions pursuant to section 6007, motions to enforce a binding arbitration award, judgment, or agreement pursuant to subdivision (d) of section 6203, motions to revoke probation, letters of warning, private reprovos, admonitions, and agreements in lieu of discipline.<sup>27</sup>

Table SR-7A. Other Matters	FY2018	FY2019	FY2020	FY2021	FY2022
<b>Petitions to Terminate Practice pursuant to section 6180 or section 6190</b>					
Petitions Filed	7	12	3	4	11
Average Pendency at Filing	1,093	211	82	185	166
Median Pendency at Filing	70	67	4	174	106
Cases with Petitions Granted	3	7	6	0	7
Cases with Petitions Denied	0	0	0	0	0
Total Cases Disposed by Superior Court	11	2	5	2	5
Average Pendency at Disposition	1,673	1,928	1,736	799	1,529
Median Pendency at Disposition	1,323	1,928	1,100	799	1,449
<b>Interim Suspensions and Restrictions pursuant to section 6007</b>					
Cases Opened	16	16	18	18	21
Cases Reopened	0	0	0	0	0
Cases Closed Without Filing	0	0	1	1	0
Average Pendency at Closure	0	0	45	48	0
Median Pendency at Closure	0	0	45	48	0
Cases Filed	16	15	19	16	20
Average Pendency at Filing	2	62	40	9	12
Median Pendency at Filing	0	0	6	2	1
Cases Remaining in OCTC At Year End	1	2	0	1	4
Average Pendency at Year End	509	75	0	139	146
Median Pendency at Year End	509	75	0	139	38
Cases with Petitions Granted	13	15	12	11	9
Cases with Petitions Denied	0	1	2	0	5
Total Cases Disposed by SBC	16	16	14	14	23
Average Pendency at Disposition	94	168	102	109	218
Median Pendency at Disposition	91	89	81	75	142
Cases Remaining in SBC at Year End	5	4	9	11	7
Average Pendency at Year End	173	30	145	292	217
Median Pendency at Year End	86	27	42	98	80
<b>Motions to Enforce Fee Arbitration Award</b>					
Cases Opened	2	1	3	3	4

<sup>27</sup> The full text of sections 6180, 6190, 6007, and 6203 can be found by clicking the embedded link found in each relevant heading.

Table SR-7A. Other Matters	FY2018	FY2019	FY2020	FY2021	FY2022
Cases with Petitions Granted	2	0	2	2	3
Cases with Petitions Denied	1	1	0	0	1
Total Cases Disposed by SBC	3	1	3	1	5
Average Pendency at Disposition	82	71	72	82	68
Median Pendency at Disposition	71	71	77	82	55
Cases Remaining in SBC at Year End	0	0	0	2	1
Average Pendency at Year End	0	0	0	55	14
Median Pendency at Year End	0	0	0	55	14
<b>Motions to Revoke Probation</b>					
Cases Opened	5	7	1	3	2
Cases with Petitions Granted	8	5	0	4	1
Cases with Petitions Denied	0	0	1	0	0
Total Cases Disposed by SBC	7	6	1	5	1
Average Pendency at Disposition	173	166	274	292	163
Median Pendency at Disposition	175	159	274	237	163
Cases Remaining in SBC at Year End	1	2	2	0	1
Average Pendency at Year End	151	205	293	0	3
Median Pendency at Year End	151	205	293	0	3
Table SR-7B. Specified Dispositions	FY2018	FY2019	FY2020	FY2021	FY2022
<b>Admonitions</b>					
Cases	5	0	1	3	4
Average Pendency at Disposition	1,173	0	687	905	1,243
Median Pendency at Disposition	1,092	0	687	857	1,312
Attorneys Admonished	4	0	1	3	3
<b>Agreements In Lieu of Discipline</b>					
Cases	12	5	15	4	5
Average Pendency at Disposition	643	398	553	889	784
Median Pendency at Disposition	710	428	485	994	694
Attorneys Entering into Agreements	10	5	12	4	5
<b>Warning Letters</b>					
Cases	600	632	535	704	596
Average Pendency at Disposition	239	263	299	354	299
Median Pendency at Disposition	199	214	231	280	207
Attorneys Receiving Warning Letters	554	570	500	617	537
<b>Directional Letters</b>					
Cases	608	468	691	577	545
Average Pendency at Disposition	26	42	49	45	39
Median Pendency at Disposition	21	35	32	20	17
Attorneys Receiving Directional Letter	575	445	618	508	465
<b>Resource Letters</b>					

Table SR-7B. Specified Dispositions	FY2018	FY2019	FY2020	FY2021	FY2022
Cases	210	197	266	258	202
Average Pendency at Disposition	125	149	202	203	193
Median Pendency at Disposition	63	114	178	123	121
Attorneys Receiving Resource Letters	191	182	234	249	193
<b>Private Reprovals</b>					
Cases	21	13	23	52	27
Average Pendency at Disposition	866	596	669	842	893
Median Pendency at Disposition	496	561	704	711	934
Attorneys Privately Reproved	19	12	16	43	23

## Unauthorized Practice of Law by Former Attorneys<sup>28</sup>

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

Table SR-8. UPL by Former Attorneys	FY2018	FY2019	FY2020	FY2021	FY2022
Cases Opened	47	52	39	23	23
Cases Closed Without Filing	28	46	52	33	21
Average Pendency at Closure	196	252	267	213	154
Median Pendency at Closure	204	266	273	214	161
Cases Filed in Superior Court	0	2	0	0	0
Average Pendency at Filing	0	326	0	0	0
Median Pendency at Filing	0	326	0	0	0
Cases Remaining in OCTC At Year End	30	35	22	12	15
Average Pendency at Year End	125	180	133	127	194
Median Pendency at Year End	99	207	126	130	121
Cases with Petitions Granted	0	0	2	0	0
Average Pendency at Petitions Granted	0	0	374	0	0
Median Pendency at Petitions Granted	0	0	374	0	0
Cases with Petitions Denied <sup>29</sup>	0	0	0	0	0
Average Pendency at Petitions Denied	0	0	0	0	0
Median Pendency at Petitions Denied	0	0	0	0	0
Total Cases Disposed by Superior Court	1	0	0	0	0
Average Pendency at Disposition	2,084	0	0	0	0
Median Pendency at Disposition	2,084	0	0	0	0
Referrals to Law Enforcement	40	43	24	29	15
Cease and Desist Letters Sent	12	11	22	9	12

<sup>28</sup> This table does not include attorneys who are disciplined for practicing law during a time that their license is suspended.

<sup>29</sup> The pendency numbers for petitions denied are now fully expanded.

## Unauthorized Practice of Law by Nonattorneys

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

Table SR-9. UPL by Nonattorneys	FY2018	FY2019	FY2020	FY2021	FY2022
Cases Opened	749	845	761	680	660
Cases Closed Without Filing	573	749	940	677	589
Average Pendency at Closure	114	166	180	134	134
Median Pendency at Closure	94	139	173	126	111
Cases Filed in Superior Court <sup>30</sup>	10	13	10	7	9
Average Pendency at Filing	130	245	324	421	296
Median Pendency at Filing	100	242	334	414	265
Cases Remaining in OCTC at Year End	357	450	266	270	337
Average Pendency at Year End	126	141	143	138	156
Median Pendency at Year End	117	129	131	85	90
Cases with Petitions Granted	5	7	16	6	7
Average Pendency at Petitions Granted	117	267	468	349	292
Median Pendency at Petitions Granted	99	256	502	418	307
Cases with Petitions Denied <sup>31</sup>	0	0	0	0	0
Average Pendency at Petitions Denied	0	0	0	0	0
Median Pendency at Petitions Denied	0	0	0	0	0
Total Cases Disposed by Superior Court	0	1	7	0	3
Average Pendency at Disposition	0	552	848	0	1,422
Median Pendency at Disposition	0	552	710	0	1,395
<a href="#">Civil Remedies pursuant to section 6126.7</a>	0	0	0	2	0
Referrals to Law Enforcement	415	420	322	326	276
Cease and Desist Letters Sent	116	126	178	197	183

<sup>30</sup> Petition to Terminate filed in superior court, pursuant to section 6126.3, to assume the practice of a person holding themselves out as entitled to practice law without being an active licensee of the State Bar.

<sup>31</sup> The pendency numbers for petitions denied are now fully expanded.

## Disposition of Felony Convictions & Conviction Transmittals

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

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

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

Table SR-10A. Disposition of Felony Convictions	FY2018	FY2019	FY2020	FY2021	FY2022
<b>Felony Convictions</b>	42	38	23	18	20
Cases Filed in SBC	35	35	20	14	15
Average Days from Conviction to Filing in Court <sup>32</sup>	437	239	187	167	103
Median Days from Conviction to Filing in Court	199	127	119	124	95
Cases Disposed in SBC	30	34	29	22	23
Average Days from Filing to Disposition in Court	798	858	881	1,274	792
Median Days from Filing to Disposition in Court	411	488	535	838	546
<b>SBC Dispositions</b>					
Disbarment	23	24	24	11	13
Dismissal	0	2	1	2	2
Probation with Actual Suspension	4	8	3	8	3
Probation with Stayed Suspension	1	0	0	0	0
Public Reproval	0	0	1	0	2
Private Reproval	0	0	0	0	0
Termination Due to Resignation	0	0	0	1	0
Termination Due to Death	2	0	0	0	3

Table SR-10B. Conviction Transmittals <sup>33</sup>	FY2018	FY2019	FY2020	FY2021	FY2022
Conviction Transmittals	NA	46	197	168	134
Number Meeting 30-Day Requirement	NA	NA	NA	NA	83
Percentage Meeting 30-Day Requirement	NA	NA	NA	NA	62%

<sup>32</sup> Both attorneys and courts are required to report felony convictions, but superior courts may not timely report convictions to the State Bar. Any resultant delays in discovery of felony convictions may lead to the extended pendency between conviction and filing in court.

<sup>33</sup> Conviction transmittal data includes both misdemeanor and felony convictions. Transmittal filing data became available from early 2019, and transmittal time data became available from the latter half of 2021. Percentages meeting and not meeting time standards are calculated based only on cases for which transmittal time is available.



Table SR-10B. Conviction Transmittals <sup>33</sup>	FY2018	FY2019	FY2020	FY2021	FY2022
Number Not Meeting 30-Day Requirement	NA	NA	NA	NA	51
Percentage Not Meeting 30-Day Requirement	NA	NA	NA	NA	38%
Number with No Transmittal Time Data	NA	46	197	168	0
Percentage with No Transmittal Time Data	NA	1	100%	100%	0%

## Construction-Related Accessibility Demand Letters

**Civil Code Section 55.32(f)(1)** Notwithstanding Section 10231.5 of the Government Code, on or before April 30, 2019, and annually as part of the Annual Discipline Report, no later than April 30 thereafter, the State Bar shall report to the Legislature and the Chairs of the Senate and Assembly Judiciary Committees, both of the following with respect to demand letters received by the State Bar: (A) The number of investigations opened to date on a suspected violation of subdivision (b) or (c) of Section 55.31. (B) Whether any disciplinary action resulted from the investigation, and the results of that disciplinary action.<sup>34</sup>

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

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

Civil Code section 55.32 contains several requirements and restrictions concerning demand letters and demands for money in construction-related accessibility claims. As of January 1, 2019, the requirement to provide a copy of a demand letter to the State Bar was repealed. The legislative history of this section makes clear that the State Bar retains prosecutorial discretion to determine what, if any, disciplinary action should be taken in a particular case. As the September 1, 2012, Senate Judiciary Committee analysis notes, at pages 22–23:

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

---

<sup>34</sup> The Annual Discipline Report is no longer due by April 30, but rather by October 31 of each year.

### **Demand Letter Received, Investigations Opened, and Disciplinary Action<sup>35</sup>**

From July 1, 2021, through June 30, 2022, the State Bar received ten copies of demand letters. These letters were carefully reviewed, and none of them contained an indication of a possible violation of the prohibition against a demand for money or a specific statement of monetary liability.

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

Table SR-11. Demand Letters	FY2018	FY2019	FY2020	FY2021	FY2022
Number of Letters Received	327	40	13	7	10
Investigations of Suspected Violations of Civil Code Section 55.31 or 55.32	12	4	2	0	0

---

<sup>35</sup> As of January 1, 2019, Civil Code section 55.32 no longer requires an attorney who provides a demand letter as defined by Civil Code 55.3 to provide a copy of that demand letter to the State Bar of California's Office of Professional Competence. However, Civil Code section 55.3(b)(1)(A) continues to require attorneys to provide notices that tell recipients of demand letters that they can send copies to the Office of Professional Competence. In addition, some attorneys voluntarily copy the State Bar, and Civil Code section 55.32(f)(1) continues to require the State Bar to report on disciplinary matters involving prohibited demands for money or specific statements of monetary liability. For these reasons, even though plaintiff attorneys were not required to copy the State Bar in 2019, the Office of Professional Competence still received copies that were reviewed and processed. Table SR-11 includes the number of demand letters received by the Office of Professional Competence in 2019.

## Insurance Fraud

**Insurance Code Section 1872.95** (a) Within existing resources, the Medical Board of California, the Board of Chiropractic Examiners, and the State Bar shall each designate employees to investigate and report on possible fraudulent activities relating to workers' compensation, motor vehicle insurance, or disability insurance by licensees of the board or the bar. Those employees shall actively cooperate with the Fraud Division in the investigation of those activities. (b) The Medical Board of California and the Board of Chiropractic Examiners shall each report annually, on or before March 1, to the committees of the Senate and Assembly having jurisdiction over insurance on their activities established pursuant to subdivision (a) for the previous year. The State Bar shall include this report in its Annual Discipline Report on or before April 30.<sup>36</sup> That report shall specify, at a minimum, the number of cases investigated, the number of cases forwarded to the Fraud Division or other law enforcement agencies, the outcome of all cases listed in the report, and any other relevant information concerning those cases or general activities conducted under subdivision (a) for the previous year. The report shall include information regarding activities conducted in connection with cases of suspected automobile insurance fraud.

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

Table SR-12. Insurance Fraud	FY2018	FY2019	FY2020	FY2021	FY2022
<b>Workers' Compensation</b>					
Investigations Initiated	2	1	13	0	0
Suspended Pending Disbarment	12	12	0	0	0
Suspended Pending Criminal Proceedings	0	0	0	0	0
Closed by OCTC with No Action	1	2	11	1	0
Pending in Investigation at Year End	12	11	1	0	0
Referrals to Fraud Division	0	0	0	0	0
Referrals to Law Enforcement	0	0	0	0	0
<b>Motor Vehicle</b>					
Investigations Initiated	2	0	0	0	0
Closed by OCTC with No Action	2	1	0	0	0
Referrals to Fraud Division	0	0	0	0	0
Referrals to Law Enforcement	0	0	0	0	0
<b>Disability</b>					
Investigations Initiated	0	0	0	0	0

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

## Provision of Financial Services by Lawyers

**Business and Professions Code Section 6177** The State Bar by April 30 of each year shall include in its Annual Discipline Report information on the number of complaints filed against California attorneys alleging a violation of this article. The report shall also include the type of charges made in each complaint, the number of resulting investigations initiated, and the number and nature of any disciplinary actions taken by the State Bar for violations of this article.<sup>37</sup>

In 1999, the Legislature enacted Article 10.5 of the State Bar Act regulating the sale of financial products, including long-term care insurance and life insurance, by lawyers to clients who are elders or dependent adults (Bus. & Prof. Code, §§ 6175-6176; added by Senate Bill number 72 (Stats. 1999, Ch. 454)). These sales must be fair and reasonable to the clients, and lawyers must make specific written disclosures.<sup>38</sup>

The State Bar received no complaints alleging violations of Article 10.5 for the period 2015 through June 30, 2022. Since 2001, the State Bar has received 20 complaints alleging violations of the financial products statutes. Table SR-13 provides a summary of the resolution of those complaints.

---

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

---

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

\*2 attorneys

\*\*1 attorney

---

<sup>37</sup> The Annual Discipline Report is no longer due by April 30, but rather by October 31 of each year.

<sup>38</sup> The full text of section 6175.3, which governs the provision of legal services by lawyers to elder and dependent adults, can be found by clicking the embedded link found in the table heading.

## Condition of the Client Security Fund

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

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

In Fiscal Year 2021-2022, the CSF reimbursed \$5.93 million on 261 applications against 107 individual attorneys. After a decrease in the number of new applications filed in Fiscal Year 2020-2021, presumably due to the effects of COVID-19, the CSF received 636 new applications in Fiscal Year 2021–2022, a 23 percent increase over the 518 new applications received in Fiscal Year 2020–2021.

For more than a decade, the CSF has been working through the effects of a sharp increase in filings that began in 2009 as a result of loan modification fraud schemes perpetrated by some California attorneys. From a challenging all-time high of 7,800 open cases, the CSF has been able to work through its inventory, ending Fiscal Year 2021–2022 with approximately 1,095 open applications. Despite the 23 percent increase in new applications in Fiscal Year 2021–2022, the 1,095 open cases at the end of Fiscal Year 2021-2022 represents an overall decline of almost 25 percent from the approximately 1,452 applications open at the end of Fiscal Year 2020–2021.

The CSF is financed by an annual assessment added to attorney licensing fees, which is used exclusively for purposes of paying reimbursements and administering the CSF. After a one-time increase of \$40 per active licensee that resulted in an \$80 per active attorney assessment in Calendar Year 2020, the annual active attorney assessment reverted in Calendar Years 2021 and 2022 back to \$40 and \$10 per inactive licensee, bringing the CSF's Calendar Year 2022 revenue to approximately \$8 million.

The CSF has the authority to reimburse victims who have lost money or property due to theft, or an act equivalent to theft, committed by a lawyer acting in a professional capacity. As detailed in the CSF rules, the CSF can reimburse funds received and wrongfully retained by a California lawyer. The maximum reimbursable amount is \$100,000. The CSF Commission, appointed by the State Bar Board of Trustees, administers the CSF and directs policy and decision-making on applications for reimbursement according to the CSF rules.

Table SR-14. FY2022 Client Security Fund Payments

<b>Attorney<sup>39</sup></b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
1	1	\$7,500.00
2	1	\$1,000.00
3	3	\$7,585.00
4	1	\$1,956.00
5	1	\$3,500.00
6	6	\$154,632.67
7	1	\$2,500.00
8	2	\$22,666.68
9	1	\$2,000.00
10	2	\$32,995.00
11	1	\$41,550.00
12	1	\$5,000.00
13	1	\$3,800.00
14	1	\$5,740.00
15	1	\$1,500.00
16	1	\$100,000.00
17	1	\$2,000.00
18	1	\$10,000.00
19	2	\$70,247.42
20	1	\$5,075.00
21	1	\$18,111.21
22	1	\$4,000.00
23	1	\$100,000.00
24	3	\$17,407.64
25	1	\$10,000.00
26	1	\$13,666.67
27	22	\$1,589,287.60
28	1	\$7,000.00
29	3	\$43,058.55
30	1	\$3,095.00
31	4	\$2,750.00
32	12	\$41,399.87
33	29	\$903,389.60
34	2	\$6,000.00
35	1	\$6,000.00
36	1	\$3,000.00
37	1	\$750.00
38	1	\$17,326.75
39	1	\$20,000.00

<sup>39</sup> Attorney names are not provided, as CSF rules require confidentiality under certain circumstances.

Table SR-14. FY2022 Client Security Fund Payments

<b>Attorney<sup>39</sup></b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
40	1	\$8,000.00
41	1	\$300,000.00
42	1	\$15,000.00
43	1	\$5,000.00
44	1	\$74,000.00
45	2	\$105,000.00
46	1	\$43,400.00
47	2	\$110,074.93
48	1	\$45,349.32
49	2	\$2,333.00
50	3	\$46,625.00
51	1	\$100,000.00
52	1	\$10,000.00
53	2	\$33,900.00
54	1	\$2,000.00
55	2	\$8,875.00
56	2	\$50,000.00
57	1	\$70,061.64
58	1	\$3,500.00
59	1	\$3,440.00
60	1	\$60,000.00
61	2	\$185,000.00
62	9	\$26,551.93
63	13	\$100,100.00
64	1	\$100,000.00
65	1	\$3,750.00
66	1	\$5,000.00
67	9	\$45,109.00
68	1	\$2,500.00
69	4	\$92,978.89
70	1	\$18,500.00
71	1	\$10,000.00
72	1	\$11,400.00
73	1	\$37,315.32
74	1	\$3,500.00
75	6	\$19,700.00
76	1	\$1,750.00
77	1	\$1,500.00
78	1	\$800.00
79	1	\$6,500.00
80	1	\$26,666.67



Table SR-14. FY2022 Client Security Fund Payments

<b>Attorney<sup>39</sup></b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
81	3	\$68,997.14
82	1	\$10,310.29
83	8	\$15,860.00
84	1	\$10,000.00
85	2	\$107,235.32
86	1	\$2,193.33
87	1	\$933.33
88	1	\$4,000.00
89	5	\$237,178.86
90	3	\$24,350.00
91	1	\$3,500.00
92	1	\$109,179.15
93	1	\$5,000.00
94	2	\$19,760.00
95	1	\$2,144.00
96	2	\$52,000.00
97	10	\$112,344.90
98	1	\$2,500.00
99	2	\$4,150.00
100	1	\$12,500.00
101	1	\$1,900.00
102	1	\$500.00
103	1	\$1,475.00
104	3	\$25,712.52
105	2	\$6,235.00
106	1	\$1,500.00
107	1	\$6,200.91
<b>TOTAL</b>	<b>261</b>	<b>\$5,930,331.11</b>

Table SR-14. FY2021 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
1	1	\$20,000.00
2	1	\$71,833.69
3	2	\$6,240.00
4	1	\$10,000.00
5	2	\$9,504.95
6	3	\$13,777.69
7	1	\$300.00
8	1	\$5,950.00
9	4	\$42,333.34
10	1	\$1,500.00
11	2	\$3,000.00
12	1	\$5,000.00
13	3	\$10,750.00
14	1	\$2,500.00
15	2	\$12,000.00
16	1	\$10,000.00
17	4	\$10,322.50
18	2	\$25,000.00
19	9	\$28,700.00
20	3	\$8,300.00
21	2	\$129,566.91
22	2	\$105,000.00
23	1	\$6,000.00
24	1	\$10,400.00
25	1	\$3,500.00
26	1	\$6,000.00
27	1	\$5,000.00
28	1	\$3,200.00
29	1	\$14,350.00
30	1	\$4,207.99
31	1	\$13,420.00
32	2	\$3,300.00
33	1	\$3,000.00
34	1	\$1,000.00
35	8	\$70,700.00
36	1	\$20,000.00
37	1	\$10,000.00
38	1	\$4,000.00
39	1	\$1,020.00
40	2	\$105,000.00
41	1	\$87,629.60
42	1	\$8,750.00
43	8	\$85,706.88

Table SR-14. FY2021 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
44	5	\$30,034.75
45	1	\$8,400.00
46	1	\$8,500.00
47	4	\$99,390.61
48	1	\$10,000.00
49	1	\$4,192.50
50	1	\$6,790.00
51	1	\$4,000.00
52	1	\$3,795.00
53	1	\$26,810.00
54	1	\$5,000.00
55	7	\$156,954.75
56	2	\$105,000.00
57	1	\$10,000.00
58	1	\$2,500.00
59	1	\$10,000.00
60	2	\$6,525.00
61	1	\$3,000.00
62	1	\$3,700.00
63	1	\$13,500.00
64	4	\$15,900.00
65	11	\$62,150.00
66	1	\$5,000.00
67	30	\$115,037.55
68	1	\$5,113.00
69	1	\$18,000.00
70	1	\$10,000.00
71	14	\$438,414.18
72	1	\$1,920.00
73	2	\$7,000.00
74	2	\$7,500.00
75	4	\$9,495.00
76	1	\$100,000.00
77	2	\$18,200.00
78	1	\$14,721.00
79	6	\$53,840.00
80	1	\$18,950.00
81	3	\$200,500.00
82	1	\$14,700.00
83	1	\$1,850.00
84	1	\$87,500.00
85	4	\$45,500.00
86	1	\$3,226.13
87	1	\$10,000.00

Table SR-14. FY2021 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
88	1	\$2,000.00
89	3	\$15,200.00
90	1	\$18,423.43
91	1	\$3,500.00
92	1	\$3,750.00
93	1	\$1,500.00
94	1	\$6,500.00
95	3	\$115,401.96
96	1	\$15,450.00
97	1	\$2,180.00
98	2	\$25,166.00
99	1	\$100,000.00
100	2	\$97,658.17
101	1	\$4,000.00
102	1	\$2,500.00
103	1	\$12,000.00
104	1	\$1,685.00
105	1	\$2,500.00
106	1	\$100,000.00
107	1	\$50,000.00
108	2	\$76,000.00
109	2	\$12,000.00
110	1	\$2,900.00
111	1	\$1,739.56
112	3	\$88,744.00
113	1	\$10,000.00
114	14	\$304,614.68
115	2	\$68,232.88
116	2	\$100,000.00
117	1	\$7,000.00
118	3	\$10,210.00
119	1	\$1,200.00
120	1	\$1,740.00
121	1	\$29,000.00
122	1	\$1,500.00
123	1	\$6,010.00
124	7	\$673,497.02
125	1	\$105,000.00
126	1	\$1,500.00
127	4	\$287,850.00
128	1	\$3,500.00
129	1	\$100,000.00
130	1	\$3,000.00
131	1	\$2,420.00

Table SR-14. FY2021 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
132	1	\$2,000.00
133	1	\$2,400.00
134	2	\$57,800.00
135	1	\$2,400.00
136	8	\$245,675.84
137	1	\$73,014.71
138	3	\$9,000.00
139	15	\$114,275.00
140	2	\$6,413.53
141	4	\$15,675.00
142	1	\$7,500.00
143	3	\$26,267.00
144	2	\$4,375.00
145	2	\$9,509.00
146	2	\$178,847.62
147	3	\$3,464.00
148	1	\$5,025.00
149	1	\$8,721.67
150	2	\$3,090.00
151	1	\$6,435.00
152	28	\$142,966.54
153	2	\$7,000.00
154	1	\$2,000.00
155	4	\$23,300.00
156	1	\$2,500.00
157	1	\$950.00
158	1	\$7,749.95
159	1	\$25,000.00
160	1	\$16,666.67
161	1	\$1,500.00
162	2	\$15,800.00
163	1	\$1,500.00
164	3	\$29,735.46
165	1	\$500.00
166	1	\$86,494.58
167	3	\$4,750.00
168	20	\$37,815.00
169	1	\$10,000.00
170	1	\$8,000.00
171	2	\$4,231.50
172	13	\$74,142.74
173	1	\$15,000.00
174	1	\$6,000.00
175	3	\$53,750.00

Table SR-14. FY2021 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
176	1	\$3,325.00
177	2	\$82,325.00
178	1	\$2,000.00
179	1	\$30,000.00
180	1	\$11,000.00
181	1	\$14,327.70
182	1	\$5,000.00
183	1	\$2,435.00
184	1	\$3,480.00
185	2	\$13,736.81
186	1	\$10,000.00
187	2	\$16,010.33
188	1	\$2,000.00
189	2	\$5,000.00
190	2	\$95,652.68
191	1	\$1,500.00
192	31	\$258,050.00
193	5	\$18,300.00
194	1	\$4,500.00
195	1	\$3,500.00
196	1	\$3,000.00
197	2	\$17,354.49
198	1	\$8,082.76
199	3	\$3,080.00
200	1	\$1,500.00
201	1	\$900.00
202	5	\$16,350.00
203	7	\$88,364.94
204	1	\$100,000.00
205	1	\$17,260.49
206	4	\$8,000.00
207	1	\$2,500.00
208	3	\$84,079.03
209	1	\$1,800.00
210	2	\$1,250.00
211	1	\$72,400.00
212	1	\$14,975.00
213	1	\$860.00
214	1	\$1,200.00
215	1	\$7,500.00
216	1	\$25,000.00
217	9	\$131,273.00
218	1	\$1,000.00
219	1	\$15,000.00

Table SR-14. FY2021 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
220	1	\$30,000.00
221	1	\$5,000.00
222	1	\$4,500.00
223	2	\$5,200.00
224	1	\$21,366.03
225	1	\$7,500.00
226	1	\$2,025.00
227	2	\$178,547.80
<b>TOTAL</b>	<b>566</b>	<b>\$8,075,697.59</b>

Table SR-14. FY2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
1	1	\$4,509.00
2	1	\$2,350.20
3	1	\$3,000.00
4	7	\$120,144.94
5	1	\$325.00
6	1	\$2,494.00
7	1	\$1,500.00
8	2	\$11,087.50
9	5	\$22,400.00
10	2	\$23,210.00
11	1	\$3,000.00
12	1	\$1,500.00
13	3	\$8,650.00
14	1	\$116,000.00
15	1	\$100,000.00
16	1	\$6,505.00
17	1	\$12,600.00
18	1	\$2,040.66
19	1	\$2,500.00
20	1	\$3,000.00
21	1	\$3,500.00
22	2	\$2,200.00
23	1	\$5,100.00
24	7	\$24,960.00
25	38	\$255,948.00
26	1	\$2,500.00
27	1	\$6,200.00
28	2	\$17,600.00
29	24	\$57,196.03
30	1	\$6,035.00
31	1	\$6,500.00
32	1	\$1,000.00
33	1	\$100,000.00
34	1	\$20,700.00
35	1	\$5,000.00
36	1	\$12,500.00
37	45	\$294,543.66
38	1	\$15,166.20
39	5	\$80,613.05
40	13	\$32,263.01
41	1	\$900.00
42	1	\$5,563.00
43	1	\$11,000.00



Table SR-14. FY2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
44	3	\$23,500.00
45	3	\$63,460.35
46	1	\$600.00
47	3	\$7,000.00
48	1	\$6,000.00
49	9	\$165,070.04
50	2	\$8,556.00
51	1	\$1,995.00
52	1	\$2,412.00
53	6	\$65,455.00
54	6	\$42,579.55
55	1	\$4,000.00
56	1	\$4,762.00
57	3	\$9,000.00
58	1	\$7,000.00
59	1	\$20,000.00
60	1	\$4,000.00
61	5	\$147,818.96
62	1	\$6,000.00
63	37	\$144,684.63
64	14	\$36,000.00
65	1	\$5,000.00
66	1	\$7,400.00
67	1	\$7,000.00
68	4	\$7,500.00
69	1	\$12,500.00
70	1	\$4,333.00
71	1	\$16,000.00
72	1	\$3,500.00
73	2	\$1,885.00
74	1	\$10,000.00
75	1	\$2,700.00
76	1	\$200,000.00
77	1	\$2,500.00
78	1	\$4,500.00
79	1	\$1,366.67
80	1	\$3,600.00
81	1	\$16,000.00
82	2	\$3,500.00
83	5	\$115,867.88
84	1	\$12,020.00
85	10	\$44,235.00
86	1	\$20,960.00
87	4	\$35,227.01

Table SR-14. FY2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
88	2	\$25,360.00
89	3	\$10,886.58
90	1	\$16,500.00
91	75	\$2,491,442.90
92	12	\$575,505.00
93	1	\$9,333.28
94	1	\$12,134.90
95	1	\$64,000.00
96	6	\$21,655.00
97	1	\$2,000.00
98	2	\$18,000.00
99	1	\$2,650.00
100	1	\$9,475.00
101	1	\$75,502.00
102	3	\$8,561.00
103	1	\$30,000.00
104	12	\$53,700.00
105	3	\$11,200.00
106	1	\$41,125.00
107	1	\$4,000.00
108	1	\$5,000.00
109	1	\$900.00
110	3	\$4,386.00
111	1	\$1,500.00
112	1	\$2,500.00
113	5	\$46,955.46
114	1	\$3,500.00
115	1	\$10,000.00
116	1	\$2,834.00
117	1	\$3,495.00
118	1	\$15,166.20
119	2	\$5,781.00
120	1	\$7,500.00
121	1	\$2,000.00
122	1	\$10,000.00
123	1	\$1,100.00
124	1	\$8,500.00
125	1	\$6,200.00
126	1	\$5,901.42
127	1	\$100,000.00
128	1	\$1,700.00
129	1	\$10,000.00
130	1	\$2,500.00
131	8	\$24,977.86

Table SR-14. FY2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
132	2	\$2,400.00
133	1	\$12,000.00
134	1	\$8,970.00
135	9	\$74,908.00
136	1	\$2,895.00
137	1	\$2,995.00
138	1	\$16,850.00
139	1	\$18,712.67
140	1	\$1,396.00
141	1	\$3,500.00
142	1	\$4,259.75
143	1	\$36,632.00
144	4	\$47,866.67
145	1	\$2,935.00
146	1	\$5,200.00
147	1	\$21,007.14
148	1	\$214.61
149	1	\$2,500.00
150	1	\$10,800.00
151	3	\$73,500.06
152	1	\$510.00
153	5	\$24,450.00
154	1	\$13,430.00
155	1	\$100,000.00
156	1	\$4,300.00
157	2	\$90,000.00
158	1	\$100,000.00
159	1	\$500.00
160	1	\$700.00
161	1	\$1,700.00
162	1	\$3,000.00
163	1	\$1,000.00
164	2	\$49,774.00
165	1	\$14,500.00
166	3	\$12,500.00
167	2	\$4,027.20
168	3	\$8,750.00
169	2	\$12,445.00
170	1	\$56,936.00
171	1	\$4,000.00
172	28	\$264,989.48
173	1	\$1,000.00
174	2	\$4,149.00
175	1	\$4,000.00

Table SR-14. FY2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
176	1	\$5,000.00
177	2	\$10,000.00
178	1	\$3,000.00
179	42	\$567,792.22
180	1	\$10,000.00
181	1	\$2,500.00
182	1	\$4,400.00
183	3	\$6,920.00
184	1	\$1,106.00
185	1	\$10,000.00
186	1	\$6,944.77
<b>TOTAL</b>	<b>650</b>	<b>\$8,240,585.51</b>

Table SR-14. FY2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
1	1	\$18,450.00
2	1	\$8,625.00
3	1	\$600.00
4	1	\$4,040.00
5	20	\$82,310.79
6	1	\$22,750.00
7	1	\$3,495.00
8	1	\$1,920.00
9	1	\$5,000.00
10	1	\$3,245.00
11	1	\$5,000.00
12	9	\$148,594.17
13	2	\$12,550.00
14	6	\$25,000.00
15	3	\$41,500.00
16	1	\$85,000.00
17	1	\$2,500.00
18	48	\$201,904.99
19	1	\$30,000.00
20	2	\$13,100.00
21	3	\$56,000.00
22	1	\$5,000.00
23	1	\$2,800.00
24	1	\$39,613.34
25	20	\$68,900.00
26	1	\$5,000.00
27	4	\$20,700.00
28	2	\$2,185.00
29	2	\$5,000.00
30	1	\$41,180.00
31	2	\$25,600.00
32	1	\$1,045.00
33	1	\$3,200.00
34	1	\$6,000.00
35	2	\$44,980.99
36	1	\$5,660.00
37	1	\$5,000.00
38	1	\$183,500.00
39	1	\$75,951.00
40	1	\$900.00
41	3	\$10,000.00
42	12	\$78,120.00
43	1	\$1,995.00

Table SR-14. FY2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
44	9	\$52,317.32
45	3	\$54,025.00
46	122	\$274,440.59
47	1	\$3,975.00
48	1	\$46,930.00
49	1	\$3,000.00
50	22	\$161,818.96
51	2	\$14,500.00
52	7	\$82,500.00
53	2	\$10,000.00
54	9	\$26,400.90
55	1	\$2,685.00
56	1	\$625.00
57	1	\$7,000.00
58	1	\$2,995.00
59	3	\$72,150.00
60	1	\$10,000.00
61	1	\$66,666.66
62	1	\$4,221.18
63	1	\$3,300.00
64	1	\$10,000.00
65	1	\$2,500.00
66	3	\$77,269.83
67	1	\$40,080.00
68	21	\$71,460.50
69	1	\$9,301.00
70	1	\$5,400.00
71	1	\$1,500.00
72	2	\$110,000.00
73	2	\$9,175.00
74	1	\$200,000.00
75	1	\$50,000.00
76	1	\$2,000.00
77	1	\$4,500.00
78	2	\$34,048.00
79	6	\$17,480.00
80	1	\$30,000.00
81	2	\$50,018.15
82	1	\$1,200.00
83	2	\$47,329.00
84	1	\$3,000.00
85	1	\$17,922.70
86	4	\$86,286.00
87	1	\$500.00

Table SR-14. FY2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
88	1	\$4,250.00
89	1	\$3,250.00
90	3	\$101,243.93
91	1	\$3,333.34
92	1	\$7,195.00
93	1	\$1,000.00
94	1	\$68,854.42
95	1	\$1,500.00
96	2	\$21,668.00
97	1	\$6,000.00
98	1	\$4,000.00
99	1	\$1,500.00
100	2	\$15,947.31
101	1	\$2,000.00
102	1	\$24,500.00
103	1	\$16,000.00
104	1	\$1,000.00
105	2	\$38,000.00
106	3	\$146,763.32
107	1	\$2,000.00
108	3	\$2,845.00
109	1	\$3,300.00
110	3	\$11,050.00
111	2	\$15,835.00
112	1	\$60,000.00
113	1	\$32,500.00
114	4	\$18,757.00
115	12	\$547,394.01
116	1	\$24,000.00
117	1	\$3,000.00
118	1	\$3,000.00
119	1	\$15,000.00
120	5	\$14,500.00
121	1	\$1,500.00
122	39	\$244,335.00
123	2	\$17,900.00
124	1	\$2,000.00
125	5	\$12,922.50
126	1	\$2,000.00
127	1	\$9,666.34
128	1	\$3,393.02
129	1	\$3,500.00
130	1	\$12,000.00
131	2	\$9,076.50

Table SR-14. FY2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
132	2	\$12,749.81
133	1	\$60,000.00
134	1	\$100,000.00
135	4	\$33,323.32
136	1	\$2,000.00
137	3	\$10,000.00
138	14	\$76,935.00
139	2	\$7,991.50
140	2	\$157,307.00
141	6	\$20,335.00
142	1	\$3,000.00
143	11	\$301,864.43
144	4	\$80,813.00
145	1	\$300.00
146	6	\$21,000.00
147	2	\$3,100.00
148	2	\$2,000.00
149	6	\$20,356.00
150	1	\$1,585.00
151	1	\$1,800.00
152	1	\$15,568.00
153	1	\$40,834.36
154	3	\$4,500.00
155	1	\$4,250.00
156	1	\$15,000.00
157	1	\$2,774.00
158	4	\$66,666.68
159	1	\$15,000.00
160	16	\$56,313.47
161	1	\$100,000.00
162	2	\$62,651.55
163	1	\$100,000.00
164	2	\$4,300.00
165	2	\$2,500.00
166	1	\$1,750.00
167	1	\$1,200.00
168	4	\$8,000.00
169	8	\$20,440.54
170	1	\$37,403.94
171	1	\$8,370.00
172	1	\$3,400.00
173	1	\$15,000.00
174	1	\$950.00
175	4	\$15,995.00



Table SR-14. FY2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
176	1	\$1,000.00
177	1	\$5,000.00
178	1	\$3,825.00
179	29	\$209,755.60
180	1	\$74,900.00
181	1	\$1,977.50
182	1	\$21,000.00
183	1	\$75,855.84
184	6	\$21,210.00
185	2	\$32,050.00
186	1	\$2,700.00
187	1	\$10,000.00
188	1	\$3,500.00
189	1	\$600.00
190	1	\$67,065.75
191	2	\$22,500.00
192	3	\$49,300.00
193	1	\$3,591.52
194	1	\$1,950.00
195	1	\$15,000.00
196	1	\$50,000.00
197	1	\$100,000.00
198	2	\$11,952.63
199	1	\$10,000.00
200	1	\$5,031.00
201	1	\$2,440.00
202	1	\$3,750.00
203	1	\$6,500.00
204	2	\$5,102.00
205	1	\$4,000.00
206	1	\$5,000.00
207	2	\$12,045.00
208	3	\$95,480.00
209	4	\$68,423.98
210	4	\$18,000.00
211	1	\$5,000.00
212	3	\$5,200.00
213	3	\$5,706.00
214	1	\$2,850.00
215	4	\$5,640.00
216	2	\$9,895.00
217	1	\$12,000.00
218	2	\$52,000.00
219	2	\$10,400.00

Table SR-14. FY2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
220	1	\$4,466.00
221	1	\$2,333.33
222	1	\$2,495.00
223	1	\$4,965.55
224	4	\$12,350.00
225	4	\$10,100.00
226	1	\$1,500.00
227	3	\$9,395.00
228	7	\$16,150.00
229	5	\$8,735.00
230	3	\$37,418.41
231	3	\$82,600.00
232	1	\$10,500.00
233	1	\$1,500.00
234	1	\$22,750.00
235	1	\$100,000.00
236	1	\$2,880.00
237	5	\$20,000.00
238	1	\$3,000.00
239	5	\$58,151.00
240	13	\$38,705.00
241	1	\$5,000.00
242	2	\$30,800.00
243	56	\$564,850.27
244	2	\$6,500.00
245	2	\$5,150.00
246	8	\$25,000.00
247	2	\$18,186.04
248	1	\$1,635.00
249	1	\$2,000.00
250	1	\$650.00
251	1	\$2,000.00
252	2	\$6,200.00
253	1	\$6,500.00
254	2	\$950.00
255	1	\$500.00
256	2	\$6,000.00
257	1	\$3,500.00
258	1	\$7,500.00
259	2	\$5,985.00
260	1	\$137,375.16
261	4	\$20,500.00
262	2	\$26,500.00
263	2	\$9,575.00

Table SR-14. FY2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
264	1	\$3,500.00
265	1	\$5,000.00
266	1	\$12,766.50
267	1	\$74,100.00
268	3	\$140,823.00
269	1	\$2,500.00
270	1	\$3,500.00
271	2	\$4,000.00
272	1	\$20,000.00
<b>TOTAL</b>	<b>940</b>	<b>\$8,981,480.44</b>

Table SR-14. FY2018 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
1	3	\$13,170.00
2	1	\$3,265.00
3	1	\$1,000.00
4	1	\$5,000.00
5	2	\$6,000.00
6	1	\$11,333.34
7	1	\$1,000.00
8	1	\$3,600.00
9	2	\$11,990.00
10	1	\$3,500.00
11	1	\$6,500.00
12	1	\$2,529.00
13	3	\$19,098.00
14	5	\$50,000.00
15	1	\$2,500.00
16	1	\$100,000.00
17	2	\$44,175.00
18	1	\$800.00
19	2	\$12,500.00
20	1	\$4,500.00
21	3	\$3,154.00
22	1	\$2,965.00
23	1	\$1,130.74
24	1	\$3,010.19
25	28	\$290,520.00
26	1	\$7,800.00
27	1	\$17,500.00
28	1	\$995.00
29	1	\$500.00
30	1	\$1,000.00
31	1	\$50,000.00
32	1	\$5,000.00
33	1	\$5,000.00
34	1	\$25,450.00
35	2	\$7,430.00
36	1	\$10,000.00
37	7	\$96,056.06
38	3	\$14,164.21
39	118	\$267,015.72
40	3	\$12,949.40
41	1	\$65,000.00
42	1	\$3,500.00
43	1	\$6,200.00

Table SR-14. FY2018 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
44	1	\$1,650.00
45	1	\$16,200.00
46	1	\$56,919.73
47	1	\$100,000.00
48	2	\$3,500.00
49	1	\$2,000.00
50	3	\$27,581.50
51	14	\$30,700.00
52	2	\$156,647.99
53	1	\$8,110.00
54	1	\$3,400.00
55	2	\$1,987.00
56	1	\$2,410.00
57	1	\$10,000.00
58	1	\$100,000.00
59	1	\$1,500.00
60	2	\$8,500.00
61	7	\$119,104.75
62	1	\$750.00
63	1	\$16,690.00
64	1	\$1,400.00
65	8	\$13,040.00
66	1	\$2,890.00
67	1	\$3,500.00
68	2	\$8,600.00
69	1	\$50,000.00
70	9	\$34,985.00
71	1	\$11,274.00
72	1	\$2,231.50
73	1	\$31,000.00
74	1	\$3,800.00
75	3	\$47,843.00
76	4	\$18,090.82
77	1	\$4,600.00
78	1	\$15,000.00
79	4	\$138,056.17
80	1	\$250.00
81	1	\$3,460.00
82	5	\$26,475.65
83	1	\$100,000.00
84	2	\$8,780.00
85	2	\$7,580.18
86	1	\$7,500.00
87	1	\$5,500.00

Table SR-14. FY2018 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
88	1	\$4,250.00
89	1	\$11,000.00
90	2	\$6,116.00
91	9	\$69,802.50
92	3	\$49,390.00
93	3	\$101,800.00
94	12	\$58,839.90
95	2	\$161,000.00
96	1	\$11,280.00
97	1	\$200,000.00
98	1	\$32,333.33
99	110	\$700,536.49
100	2	\$6,295.00
101	21	\$148,187.33
102	1	\$4,000.00
103	2	\$11,200.00
104	3	\$41,206.50
105	2	\$100,000.00
106	6	\$62,058.33
107	1	\$7,000.00
108	63	\$285,358.00
109	1	\$3,900.00
110	8	\$504,100.00
111	1	\$2,600.00
112	1	\$5,691.66
113	3	\$76,247.02
114	2	\$3,000.00
115	1	\$42,000.00
116	1	\$2,500.00
117	3	\$187,264.50
118	2	\$90,300.00
119	2	\$8,100.00
120	1	\$810.90
121	5	\$24,500.00
122	2	\$200,000.00
123	6	\$9,088.00
124	1	\$2,107.00
125	1	\$6,000.00
126	1	\$7,000.00
127	1	\$3,495.00
128	8	\$198,366.60
129	2	\$20,356.07
130	1	\$50,000.00
131	1	\$48,789.54

Table SR-14. FY2018 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
132	1	\$1,550.00
133	1	\$100,000.00
134	3	\$10,300.00
135	1	\$45,000.00
136	2	\$18,500.00
137	1	\$6,400.00
138	1	\$2,765.00
139	1	\$40,000.00
140	1	\$2,000.00
141	15	\$59,530.00
142	2	\$25,500.00
143	1	\$12,000.00
144	1	\$1,500.00
145	27	\$126,056.99
146	7	\$25,600.00
147	1	\$5,000.00
148	4	\$13,988.00
149	1	\$100,000.00
150	1	\$10,395.34
151	15	\$63,669.00
152	1	\$1,900.00
153	1	\$23,000.00
154	6	\$20,600.00
155	1	\$112,000.00
156	1	\$1,747.50
157	11	\$89,273.00
158	2	\$47,335.00
159	13	\$166,091.00
160	1	\$5,000.00
161	1	\$6,350.00
162	1	\$1,540.00
163	1	\$3,000.00
164	2	\$6,916.75
165	1	\$2,500.00
166	1	\$15,000.00
167	2	\$6,890.00
168	1	\$12,000.00
169	1	\$100,000.00
170	1	\$1,900.00
171	1	\$5,000.00
172	1	\$11,003.00
173	1	\$5,300.00
174	1	\$1,800.00
175	1	\$1,500.00

Table SR-14. FY2018 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
176	1	\$6,610.00
177	19	\$63,952.00
178	3	\$36,000.00
179	1	\$8,850.70
180	1	\$2,495.00
181	8	\$22,450.00
182	2	\$2,550.00
183	1	\$653.98
184	4	\$93,331.35
185	1	\$5,000.00
186	5	\$101,298.00
187	1	\$3,000.00
188	1	\$13,000.00
189	1	\$9,800.00
190	1	\$10,000.00
191	9	\$52,133.82
192	1	\$10,000.00
193	1	\$3,646.00
194	6	\$30,715.00
195	2	\$5,500.00
196	6	\$32,065.62
197	1	\$1,435.00
198	1	\$100,000.00
199	1	\$5,274.00
200	5	\$19,534.76
201	9	\$27,930.75
202	4	\$9,150.00
203	2	\$3,000.00
204	3	\$25,178.02
205	1	\$1,000.00
206	1	\$17,994.35
207	1	\$25,000.00
208	6	\$68,450.00
209	1	\$18,000.00
210	2	\$19,372.47
211	1	\$20,000.00
212	1	\$4,000.00
213	1	\$2,995.00
214	2	\$5,000.00
215	7	\$89,877.52
216	1	\$8,000.00
217	1	\$66,668.70
218	7	\$31,700.00
<b>TOTAL</b>	<b>888</b>	<b>\$8,380,190.24</b>



## Cost of the Discipline System

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

Table SR-15 reflects the cost of programs included in the Supreme Court's November 2016 order approving an interim special regulatory assessment, which authorized the State Bar to assess 2017 attorney licensing fees for discipline-related functions.<sup>40</sup>

Table SR-15 Cost of the Discipline System	FY2018	FY2019	FY2020
Chief Trial Counsel	\$43,107,799	\$47,283,614	\$56,816,480
Probation	\$1,366,421	\$1,491,859	\$1,847,959
Mandatory Fee Arbitration	\$401,330	\$78,487	\$68,541
State Bar Court	\$12,201,406	\$12,015,144	\$13,541,255
Professional Competence	\$2,542,800	\$2,647,774	\$2,919,868
Attorney Regulation and Consumer Resources	\$4,709,582	\$5,177,381	\$5,577,749
Communications (70%) <sup>41</sup>	\$642,758	\$521,774	\$699,547
Licensee Billing (73%) <sup>42</sup>	\$442,752	\$380,888	\$385,415
General Counsel (76.3%) <sup>43</sup>	\$2,670,968	\$2,811,561	\$3,120,330
<b>Total</b>	<b>\$68,085,815</b>	<b>\$72,408,483</b>	<b>\$84,977,144</b>

Table SR-15 Cost of the Discipline System (cont.)	FY2021	FY2022
Chief Trial Counsel	\$59,527,958	\$61,171,413
Probation	\$1,821,285	\$1,821,057
Mandatory Fee Arbitration	\$33,436	\$30,822
State Bar Court	\$13,696,960	\$13,908,598
Professional Competence	\$2,861,989	\$3,488,214
Attorney Regulation & Consumer Resources	\$5,644,334	\$6,362,273
Communications (70%)	\$719,692	\$752,488
Licensee Billing (73%)	\$553,706	\$596,229
General Counsel (76.3%)	\$3,324,254	\$3,137,361
<b>Total</b>	<b>\$88,183,612</b>	<b>\$91,268,456</b>

<sup>40</sup> The Court's order included funding for activities of the California Young Lawyers Association (CYLA) related to the discipline system. The CYLA is no longer a part of the State Bar, so those costs are not included in table SR-15.

<sup>41</sup> This percent reflects the portion of Office of Communications resources devoted to its principal roles, which are to help Californians understand how to access the resources of the discipline system and to ensure that attorneys understand their professional ethical obligations.

<sup>42</sup> This percent reflects the portion of Office of Finance resources dedicated to collecting licensing fees and discipline costs.

<sup>43</sup> This percent reflects the portion of Office of General Counsel resources dedicated to supporting the State Bar's discipline programs.

## CALENDAR YEAR

### Inventory and Case Processing

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

Table SR-1A. Inventory <sup>44</sup>	CY2017	CY2018	CY2019	CY2020	CY2021
Pending at Year Start	4,939	5,821	6,626	9,986	9,690
Opened During	16,421	17,330	20,917	18,060	16,276
Closed During	15,539	16,524	17,557	18,356	16,211
Pending at Year End	5,821	6,626	9,986	9,690	9,755

<sup>44</sup> As defined by statute, inventory in this report will include all case types, no exceptions, to reflect the complete turnover of cases in the year.

Table SR-1B. Case	CY2017		CY2018		CY2019		CY2020		CY2021	
	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>
<u>Non-complex cases</u>										
Cases meeting goals	10,701	87	10,972	84	11,078	84	10,534	87	9,775	92
Cases not meeting goals	1,642	13	2,123	16	2,130	16	1,569	13	858	8
Total	12,343	100	13,095	100	13,208	100	12,103	100	10,633	100
<u>Complex cases</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>
Cases meeting goals	1,670	78	1,639	70	2,273	78	3,188	75	2,793	69
Cases not meeting goals	473	22	715	30	627	22	1,055	25	1,240	31
Total	2,143	100	2,354	100	2,900	100	4,243	100	4,033	100
<u>All cases</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>
Cases meeting goals	12,371	85	12,611	82	13,351	83	13,722	84	12,568	86
Cases not meeting goals	2,115	15	2,838	18	2,757	17	2,624	16	2,098	14
Total	14,486	100	15,449	100	16,108	100	16,346	100	14,666	100

<sup>45</sup> Business and Professions Code section 6094.5 (a) identifies the following case processing goals: six months for all cases and 12 months for “complicated” cases. This report uses 180 and 365 days as opposed to six and 12 months to calculate case processing time which allows for more accurate calculations based on the data structure of the State Bar’s case management system. The term “complex” will be used in lieu of “complicated.” Cases are deemed complex if they contain any of the following characteristics: major case designation; requests for bank, court, or other records; multiple charges or parties; or respondent delays in responding. In accordance with Business and Professions Code section 6094.5 (c), the following case types are excluded from table SR-1B: criminal conviction, unauthorized practice of law, interim suspensions, moral character, resignations with charges pending, and reinstatements. For full details see Appendix E. To ensure that all relevant cases are included in this report, the methodology used to identify case types was changed for this report, impacting tables SR-1B, SR-2, and SR-5. See Appendix E for more details about this methodological change and Appendix D for how results reported in tables SR-1B, SR-2, and SR-5 would be under the old method.

## Case Inventory and Disposition<sup>46</sup>

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

Table SR-2. Inquiries and Complaints	CY2017	CY2018	CY2019	CY2020	CY2021
<u>Summary: All Case Types</u>					
Cases Pending in OCTC at Year Start <sup>47</sup>	4,321	5,174	5,840	6,609	5,123
Cases Received	15,248	16,027	16,403	14,288	13,924
Cases Reopened <sup>48</sup>	91	89	474	572	556
Closed by OCTC with No Action	12,069	13,126	14,051	14,119	12,658
Closed by OCTC with Referral	255	222	279	238	237
Closed by OCTC With Non-Disciplinary Action	1,651	1,436	1,315	1,543	1,340
Total Cases Closed by OCTC	13,975	14,784	15,645	15,900	14,235
Filed in State Bar Court	511	665	463	446	431
Cases Pending in OCTC at Year End	5,174	5,840	6,609	5,123	4,937
Cases Pending in SBC at Year Start	994	810	905	740	752
Closed by SBC with No Action <sup>49</sup>	120	127	184	84	46
Closed by SBC With Non-Disciplinary Action	1	1	0	2	12
Closed with Discipline Imposed	574	443	444	348	507
Total Cases Closed by SBC	695	571	628	434	565
Cases Pending in SBC at Year End	810	905	740	752	618
<u>Complaints</u>					
Complaints Pending in OCTC at Year Start	3,603	4,447	4,989	5,549	4,491
Complaints Received	12,348	12,864	13,609	12,304	11,940
Complaints Reopened	82	80	460	561	493
Closed by OCTC with No Action	9,584	10,548	11,861	12,128	11,083
Closed by OCTC with Referral	254	222	276	238	237
Closed by OCTC With Non-Disciplinary Action	1,436	1,222	1,138	1,276	1,159
Total Complaints Closed by OCTC	11,274	11,992	13,275	13,642	12,479
Filed in State Bar Court	312	410	234	281	307
Complaints Pending in OCTC at Year End	4,447	4,989	5,549	4,491	4,138
Complaints Pending in SBC at Year Start	642	531	590	416	452
Closed by SBC with No Action	78	79	118	39	29
Closed by SBC With Non-Disciplinary Action	0	0	0	2	8
Closed with Discipline Imposed	345	272	290	204	306
Total Complaints Closed by SBC	423	351	408	245	343

<sup>46</sup> Table SR-2 reports on the same case types as table SR-1B; see footnote two above for details.

<sup>47</sup> Pending at year start rows for OCTC and State Bar Court (SBC) have been added to all sections of table SR-2.

<sup>48</sup> Counts of reopened cases are higher for 2019 onwards due to operational changes implemented with the new case management system; intake staff have greater autonomy in Odyssey to manage data entry for their caseloads, contributing to more timely and accurate recording of reopened cases.

<sup>49</sup> Reasons for cases closed by SBC with no action include the following: (1) respondent was disbarred in another matter; (2) respondent was ordered inactive pursuant to Business and Professions Code section 6007(b); (3) respondent's death, shortly before or after dismissal; (4) respondent's resignation; (5) dismissal by OCTC; and (6) dismissal by SBC.

Table SR-2. Inquiries and Complaints	CY2017	CY2018	CY2019	CY2020	CY2021
Complaints Pending in SBC at Year End	531	590	416	452	416
<u>State Bar Initiated Inquiries</u>					
Inquiries Pending in OCTC at Year Start	159	192	206	201	161
Inquiries Initiated	354	401	256	268	308
Inquiries Reopened	6	3	8	8	2
Closed by OCTC with No Action	272	314	211	207	247
Closed by OCTC with Referral	0	0	3	0	0
Closed by OCTC With Non-Disciplinary Action	33	38	30	84	27
Total Inquiries Closed by OCTC	305	352	244	291	274
Filed in State Bar Court	22	37	25	25	20
Inquiries Pending in OCTC at Year End	192	206	201	161	177
Inquiries Pending in SBC at Year Start	81	53	55	48	48
Closed by SBC with No Action	10	10	11	1	1
Closed by SBC With Non-Disciplinary Action	0	1	0	0	1
Closed with Discipline Imposed	40	25	21	24	32
Total Inquiries Closed by SBC	50	36	32	25	34
Inquiries Pending in SBC at Year End	53	55	48	48	34
<u>Probation Referrals</u>					
Referrals Pending in OCTC at Year Start	48	61	42	62	27
Referrals Received	116	99	120	67	75
Referrals Reopened	0	1	3	0	0
Closed by OCTC with No Action	19	39	30	28	15
Closed by OCTC with Referral	1	0	0	0	0
Closed by OCTC With Non-Disciplinary Action	1	1	1	1	3
Total Referrals Closed by OCTC	21	40	31	29	18
Filed in State Bar Court	82	79	72	73	40
Referrals Pending in OCTC at Year End	61	42	62	27	44
Referrals Pending in SBC at Year Start	111	109	90	90	100
Closed by SBC with No Action	13	24	19	10	14
Closed by SBC With Non-Disciplinary Action	0	0	0	0	1
Closed with Discipline Imposed	71	74	53	53	54
Total Referrals Closed by SBC	84	98	72	63	69
Referrals Pending in SBC at Year End	109	90	90	100	71
<u>Reportable Actions, Self-Reported</u>					
Actions Pending in OCTC at Year Start	70	61	59	91	95
Actions Reported	158	167	183	146	181
Actions Reopened	2	0	2	0	0
Closed by OCTC with No Action	132	146	125	101	143
Closed by OCTC with Referral	0	0	0	0	0
Closed by OCTC With Non-Disciplinary Action	10	11	16	25	24
Total Actions Closed by OCTC	142	157	141	126	167
Filed in State Bar Court	27	12	12	16	12
Actions Pending in OCTC at Year End	61	59	91	95	97
Actions Pending in SBC at Year Start	21	25	21	20	24

Table SR-2. Inquiries and Complaints	CY2017	CY2018	CY2019	CY2020	CY2021
Closed by SBC with No Action	2	1	3	1	1
Closed by SBC With Non-Disciplinary Action	0	0	0	0	2
Closed with Discipline Imposed	21	15	10	11	20
Total Actions Closed by SBC	23	16	13	12	23
Actions Pending in SBC at Year End	25	21	20	24	13
<u>Reportable Actions, Reported by Others</u>					
Actions Pending in OCTC at Year Start	441	413	544	706	349
Actions Reported	2,272	2,496	2,235	1,503	1,420
Actions Reopened	1	5	1	3	61
Closed by OCTC with No Action	2,062	2,079	1,824	1,655	1,170
Closed by OCTC with Referral	0	0	0	0	0
Closed by OCTC With Non-Disciplinary Action	171	164	130	157	127
Total Actions Closed by OCTC	2,233	2,243	1,954	1,812	1,297
Filed in State Bar Court	68	127	120	51	52
Actions Pending in OCTC at Year End	413	544	706	349	481
Actions Pending in SBC at Year Start	139	92	149	166	128
Closed by SBC with No Action	17	13	33	33	1
Closed by SBC With Non-Disciplinary Action	1	0	0	0	0
Closed with Discipline Imposed	97	57	70	56	95
Total Actions Closed by SBC	115	70	103	89	96
Actions Pending in SBC at Year End	92	149	166	128	84

## Self-Reported Reportable Actions

**Section 6086.15, subdivision (a)(3)** The number, average pending times, and types of matters self-reported by licensees of the State Bar pursuant to subdivision (o) of Section 6068 and subdivision (c) of Section 6086.8.<sup>50,51</sup>

Table SR-3. Reportable Actions, Reported by Self <sup>52</sup>	CY2017	CY2018	CY2019	CY2020	CY2021
<u>Summary: All Reportable Actions, Reported by Self</u>					
Reports Received	210	217	212	152	198
Cases Reopened	0	0	2	0	0
Cases Closed by OCTC with No Action	157	158	136	101	146
Cases Closed by OCTC with Referral	0	0	0	1	0
Cases Closed by OCTC w Non-Disciplinary Action	11	12	23	25	24
Total Cases Closed by OCTC	168	170	159	127	170
Cases Filed in State Bar Court	59	47	32	18	25
Cases Remaining in OCTC at Year End	118	117	111	123	130
Cases Closed by SBC with No Action <sup>53</sup>	9	7	5	5	3
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	2	1
Cases Closed with Discipline Imposed	46	47	31	24	30
Total Cases Closed by State Bar Court	55	54	36	31	34
Cases Remaining in SBC at Year End	103	87	62	53	43
<u>Three or more malpractice lawsuits filed within 12 months (§ 6068, subd. (o)(1))</u>					
Reports Received	2	2	0	5	3
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	1	2	0	2	5
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	0	1	0	0	0
Total Cases Closed by OCTC	1	3	0	2	5
Average Pendency at Closure <sup>54</sup>	13	63	0	48	37
Median Pendency at Closure	13	36	0	48	41
Cases Filed in State Bar Court	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	1	0	0	3	1

<sup>50</sup> The full text of sections 6068 and 6086.8 can be found by clicking the embedded link found in each relevant heading in this table.

<sup>51</sup> The figures in table SR-3 differ from those in table SR-2 for this category because table SR-3 includes reports of criminal conviction matters, which are excluded from table SR-2.

<sup>52</sup> This table only includes actions brought to the attention of the State Bar through attorneys' self-reporting. It does not include actions taken by the State Bar based on violations of the duties of an attorney set out in these sections that came to the attention of the State Bar through other means, e.g., prosecutorial misconduct cases that came to the attention of the State Bar through news reports or appellate court cases.

<sup>53</sup> Reasons for cases closed by SBC with no action include the following: (1) respondent was disbarred in another matter; (2) respondent was ordered inactive pursuant to Business and Professions Code section 6007(b); (3) respondent's death, shortly before or after dismissal; (4) respondent's resignation; (5) dismissal by OCTC; and (6) dismissal by SBC.

<sup>54</sup> Pendency is reported in days.

Table SR-3. Reportable Actions, Reported by Self <sup>52</sup>	CY2017	CY2018	CY2019	CY2020	CY2021
Average Pendency at Year End	24	0	0	7	311
Median Pendency at Year End	24	0	0	8	311
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by State Bar Court	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0

Judgment in civil case for fraud, misrepresentation, gross negligence, etc. (§ 6068, subd. (o)(2))

Reports Received	4	2	10	8	4
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	4	2	6	5	5
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	0	1	0	1	0
Total Cases Closed by OCTC	4	3	6	6	5
Average Pendency at Closure	211	120	20	150	229
Median Pendency at Closure	62	169	16	52	192
Cases Filed in State Bar Court	1	0	1	1	1
Average Pendency at Filing	385	0	763	1,148	669
Median Pendency at Filing	385	0	763	1,148	669
Cases Remaining in OCTC at Year End	3	2	5	6	4
Average Pendency at Year End	113	484	353	320	418
Median Pendency at Year End	103	409	223	307	347
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	2	0	0	0	2
Total Cases Closed by State Bar Court	2	0	0	0	2
Average Pendency at Closure	1,329	0	0	0	1,382
Median Pendency at Closure	424	0	0	0	1,382
Cases Remaining in SBC at Year End	0	0	1	2	1
Average Pendency at Year End	0	0	774	1,215	862
Median Pendency at Year End	0	0	774	1,215	862

Judicial sanctions imposed (§ 6068, subd. (o)(3))

Reports Received	113	123	130	110	142
Cases Reopened	0	0	1	0	0
Cases Closed by OCTC with No Action	100	107	89	78	110
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	6	6	14	22	19
Total Cases Closed by OCTC	106	113	103	100	129
Average Pendency at Closure	130	99	123	178	163



Table SR-3. Reportable Actions, Reported by Self <sup>52</sup>	CY2017	CY2018	CY2019	CY2020	CY2021
Median Pendency at Closure	44	29	49	75	56
Cases Filed in State Bar Court	7	6	4	4	6
Average Pendency at Filing	418	590	518	871	905
Median Pendency at Filing	344	533	359	1,018	722
Cases Remaining in OCTC at Year End	35	39	63	69	76
Average Pendency at Year End	288	331	284	292	252
Median Pendency at Year End	174	242	145	164	158
Cases Closed by SBC with No Action	0	0	1	1	0
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	1
Cases Closed with Discipline Imposed	6	4	3	0	10
Total Cases Closed by State Bar Court	6	4	4	1	11
Average Pendency at Closure	861	1,307	1,312	1,302	1,600
Median Pendency at Closure	717	1,115	974	1,302	1,324
Cases Remaining in SBC at Year End	10	12	12	13	8
Average Pendency at Year End	1,071	1,080	1,145	1,316	956
Median Pendency at Year End	1,040	950	1,269	1,086	885
<a href="#"><u>Felony indictment (§ 6068, subd. (o)(4))</u></a>					
Reports Received	27	19	12	3	7
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	9	5	5	1	2
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	9	5	5	1	2
Average Pendency at Closure	836	725	405	1,283	3,050
Median Pendency at Closure	710	399	407	1,283	3,050
Cases Filed in State Bar Court	13	22	10	0	5
Average Pendency at Filing	537	461	225	0	433
Median Pendency at Filing	483	272	191	0	407
Cases Remaining in OCTC at Year End	56	44	18	21	22
Average Pendency at Year End	544	687	718	936	913
Median Pendency at Year End	261	550	399	637	847
Cases Closed by SBC with No Action	2	1	4	2	1
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	1	0
Cases Closed with Discipline Imposed	10	10	11	5	4
Total Cases Closed by State Bar Court	12	11	15	8	5
Average Pendency at Closure	1,081	1,275	848	830	1,694
Median Pendency at Closure	845	946	470	688	1,282
Cases Remaining in SBC at Year End	34	43	20	13	12
Average Pendency at Year End	1,463	1,282	891	1,562	1,400
Median Pendency at Year End	1,117	1,124	687	1,420	1,215
<a href="#"><u>Conviction of felony, or misdemeanor related to practice of law (§ 6068, subd. (o)(5))</u></a>					
Reports Received	32	33	19	3	12
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	20	12	7	0	3

Table SR-3. Reportable Actions, Reported by Self <sup>52</sup>	CY2017	CY2018	CY2019	CY2020	CY2021
Cases Closed by OCTC with Referral	0	0	0	1	0
Cases Closed by OCTC with Non-Disciplinary Action	0	1	7	0	0
Total Cases Closed by OCTC	20	13	14	1	3
Average Pendency at Closure	148	101	116	355	628
Median Pendency at Closure	63	58	84	355	630
Cases Filed in State Bar Court	21	13	11	2	8
Average Pendency at Filing	222	183	151	252	293
Median Pendency at Filing	91	67	130	252	242
Reports Remaining in OCTC at Year End	6	16	4	8	12
Average Pendency at Year End	282	70	182	849	772
Median Pendency at Year End	156	45	183	459	320
Cases Closed by SBC with No Action	5	5	0	2	1
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	1	0
Cases Closed with Discipline Imposed	15	22	11	9	6
Total Cases Closed by State Bar Court	20	27	11	12	7
Average Pendency at Closure	706	1,005	1,144	685	1,227
Median Pendency at Closure	673	641	822	611	945
Cases Remaining in SBC at Year End	44	23	20	16	18
Average Pendency at Year End	883	726	728	1,087	1,082
Median Pendency at Year End	598	662	517	843	1,019
<a href="#"><u>Discipline by professional agency or licensing board (§ 6068, subd. (o)(6))</u></a>					
Reports Received	15	25	29	16	16
Cases Reopened	0	0	1	0	0
Cases Closed by OCTC with No Action	8	18	15	11	13
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	4	1	1	1	3
Total Cases Closed by OCTC	12	19	16	12	16
Average Pendency at Closure	178	238	43	316	307
Median Pendency at Closure	26	60	22	181	63
Cases Filed in State Bar Court	17	6	6	11	5
Average Pendency at Filing	437	331	309	417	314
Median Pendency at Filing	455	208	245	292	187
Cases Remaining in OCTC at Year End	13	13	21	14	9
Average Pendency at Year End	382	330	376	500	509
Median Pendency at Year End	347	291	223	342	381
Cases Closed by SBC with No Action	2	1	0	0	1
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	13	11	6	10	8
Total Cases Closed by State Bar Court	15	12	6	10	9
Average Pendency at Closure	619	704	769	594	767
Median Pendency at Closure	613	681	746	480	566
Cases Remaining in SBC at Year End	15	9	9	9	4
Average Pendency at Year End	603	758	763	883	1,081
Median Pendency at Year End	551	854	566	658	980

Table SR-3. Reportable Actions, Reported by Self <sup>52</sup>	CY2017	CY2018	CY2019	CY2020	CY2021
<u>Reversal of judgment based on misconduct, gross incompetence, etc. (§ 6068, subd. (o)(7))</u>					
Reports Received	17	13	12	6	14
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	15	12	14	3	8
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	1	2	1	1	2
Total Cases Closed by OCTC	16	14	15	4	10
Average Pendency at Closure	137	115	113	27	75
Median Pendency at Closure	91	35	22	22	38
Cases Filed in State Bar Court	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	4	3	0	2	6
Average Pendency at Year End	208	322	0	80	220
Median Pendency at Year End	94	216	0	80	234
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by State Bar Court	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0
<u>Settlement or judgment for civil fraud, misrepresentation, gross negligence, etc. (§ 6086.8, subd. (c))</u>					
Reports Received	0	0	0	1	0
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	0	0	0	1	0
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	0	0	0	1	0
Average Pendency at Closure	0	0	0	55	0
Median Pendency at Closure	0	0	0	55	0
Cases Filed in State Bar Court	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0
Cases Closed by SBC With No Action	0	0	0	0	0
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by State Bar Court	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0

Table SR-3. Reportable Actions, Reported by Self <sup>52</sup>	CY2017	CY2018	CY2019	CY2020	CY2021
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0

## Reportable Actions, Reported by Others

**Section 6086.15, subdivision (a)(4)** The number, average pending times, and types of matters reported by other sources pursuant to Sections 6086.7, 6086.8, 6091.1, subdivision (b) of Section 6101, and Section 6175.6.<sup>55</sup>

Table SR-4. Reportable Actions, Reported by Others	CY2017	CY2018	CY2019	CY2020	CY2021
<u>Summary: All Reportable Actions, Reported by Others</u>					
Reports Received	2,393	2,581	2,270	1,544	1,475
Cases Reopened	1	3	1	3	61
Cases Closed by OCTC with No Action	2,144	2,115	1,845	1,654	1,179
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	173	162	132	153	124
Total Cases Closed by OCTC	2,317	2,277	1,977	1,807	1,303
Cases Filed in State Bar Court	126	156	148	72	65
Cases Remaining in OCTC at Year End	516	667	822	482	658
Cases Closed by SBC with No Action <sup>56</sup>	36	26	42	48	9
Cases Closed by SBC with Non-Disciplinary Action	1	1	0	0	0
Cases Closed with Discipline Imposed	152	97	82	68	104
Total Cases Closed by State Bar Court	189	124	124	116	113
Cases Remaining in SBC at Year End	197	227	229	183	127
<u>Order of Contempt (§ 6086.7, subd. (a) (1))</u>					
Reports Received	1	3	4	2	5
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	2	1	1	1	4
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	1	0	1	0	1
Total Cases Closed by OCTC	3	1	2	1	5
Average Pendency at Closure	358	4	111	171	345
Median Pendency at Closure	225	4	111	171	168
Cases Filed in State Bar Court	0	0	2	1	1
Average Pendency at Filing	0	0	616	380	230
Median Pendency at Filing	0	0	616	380	230
Cases Remaining in OCTC at Year End	1	3	3	3	2
Average Pendency at Year End	115	259	286	403	428
Median Pendency at Year End	115	230	286	290	428
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	1	0	0	0	0

<sup>55</sup> The figures in table SR-4 differ from those in table SR-2 for this category because table SR-4 includes reports of criminal conviction matters, which are excluded from table SR-2.

<sup>56</sup> Reasons for cases closed by SBC with no action include the following: (1) respondent was disbarred in another matter; (2) respondent was ordered inactive pursuant to Business and Professions Code section 6007(b); (3) respondent's death, shortly before or after dismissal; (4) respondent's resignation; (5) dismissal by OCTC; and (6) dismissal by SBC.

Table SR-4. Reportable Actions, Reported by Others	CY2017	CY2018	CY2019	CY2020	CY2021
Total Cases Closed by State Bar Court	1	0	0	0	0
Average Pendency at Closure	758	0	0	0	0
Median Pendency at Closure	758	0	0	0	0
Cases Remaining in SBC at Year End	0	0	2	3	4
Average Pendency at Year End	0	0	720	965	1,119
Median Pendency at Year End	0	0	720	961	1,208
<a href="#"><u>Modification or reversal of judgment based on misconduct, etc. (§ 6086.7, subd. (a)(2))</u></a>					
Reports Received	19	24	14	9	18
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	16	21	18	7	11
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	0	3	4	1	3
Total Cases Closed by OCTC	16	24	22	8	14
Average Pendency at Closure	140	261	171	266	117
Median Pendency at Closure	44	36	26	54	37
Cases Filed in State Bar Court	1	1	0	0	1
Average Pendency at Filing	446	189	0	0	611
Median Pendency at Filing	446	189	0	0	611
Cases Remaining in OCTC at Year End	15	14	6	7	10
Average Pendency at Year End	386	278	745	653	594
Median Pendency at Year End	142	138	597	310	269
Cases Closed by SBC with No Action	1	0	0	0	0
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	1	1	0	0	0
Total Cases Closed by State Bar Court	2	1	0	0	0
Average Pendency at Closure	707	348	0	0	0
Median Pendency at Closure	703	348	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	1
Average Pendency at Year End	0	0	0	0	675
Median Pendency at Year End	0	0	0	0	675
<a href="#"><u>Judicial sanctions imposed (§ 6086.7, subd. (a)(3))</u></a>					
Reports Received	53	84	99	48	74
Cases Reopened	0	1	0	0	0
Cases Closed by OCTC with No Action	45	49	30	31	33
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	7	15	10	34	20
Total Cases Closed by OCTC	52	64	40	65	53
Average Pendency at Closure	144	189	158	326	312
Median Pendency at Closure	90	114	91	230	256
Cases Filed in State Bar Court	13	5	13	16	8
Average Pendency at Filing	430	539	505	602	747
Median Pendency at Filing	423	502	390	372	618
Cases Remaining in OCTC at Year End	30	46	93	60	73

Table SR-4. Reportable Actions, Reported by Others	CY2017	CY2018	CY2019	CY2020	CY2021
Average Pendency at Year End	356	264	242	392	348
Median Pendency at Year End	241	157	134	361	235
Cases Closed by SBC with No Action	2	0	0	1	0
Cases Closed by SBC with Non-Disciplinary Action	1	0	0	0	0
Cases Closed with Discipline Imposed	15	16	7	5	14
Total Cases Closed by State Bar Court	18	16	7	6	14
Average Pendency at Closure	733	878	842	1,119	1,278
Median Pendency at Closure	685	801	800	820	927
Cases Remaining in SBC at Year End	25	14	20	30	24
Average Pendency at Year End	922	1,301	1,241	1,233	1,443
Median Pendency at Year End	810	1,223	1,089	981	1,200

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

Reports Received	0	0	0	0	0
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	0	0	0	0	0
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Filed in State Bar Court	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0
Cases Closed by SBC With No Action	0	0	0	0	0
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by State Bar Court	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0

Prosecutorial misconduct (§ 6086.7, subd. (a)(5))<sup>57</sup>

Reports Received	0	1	0	0	0
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC With No Action	0	0	0	0	0
Cases Closed by OCTC With Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	0	0	0	0	0

<sup>57</sup> Previous reports missed reporting this one case due to a reporting error.

Table SR-4. Reportable Actions, Reported by Others	CY2017	CY2018	CY2019	CY2020	CY2021
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Filed in State Bar Court	0	0	0	0	1
Average Pendency at Filing	0	0	0	0	1,202
Median Pendency at Filing	0	0	0	0	1,202
Cases Remaining in OCTC at Year End	0	1	1	1	0
Average Pendency at Year End	0	145	510	876	0
Median Pendency at Year End	0	145	510	876	0
Cases Closed by SBC With No Action	0	0	0	0	0
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by State Bar Court	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	1
Average Pendency at Year End	0	0	0	0	1,241
Median Pendency at Year End	0	0	0	0	1,241
<a href="#"><u>Judgment in civil case for fraud, misrepresentation, gross negligence, etc. (§ 6086.8, subd. (a))</u></a>					
Reports Received	3	12	7	4	3
Cases Reopened	0	0	0	1	0
Cases Closed by OCTC with No Action	2	7	1	3	1
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	1	0	0	2	4
Total Cases Closed by OCTC	3	7	1	5	5
Average Pendency at Closure	18	373	32	425	414
Median Pendency at Closure	6	13	32	602	465
Cases Filed in State Bar Court	0	2	2	0	1
Average Pendency at Filing	0	386	313	0	395
Median Pendency at Filing	0	240	313	0	395
Cases Remaining in OCTC at Year End	3	6	11	10	7
Average Pendency at Year End	934	113	465	508	769
Median Pendency at Year End	1,153	87	392	521	893
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	1	1	1	1	1
Total Cases Closed by State Bar Court	1	1	1	1	1
Average Pendency at Closure	844	1,233	914	556	953
Median Pendency at Closure	844	1,233	914	556	953
Cases Remaining in SBC at Year End	1	2	3	1	1
Average Pendency at Year End	1,195	594	501	658	623
Median Pendency at Year End	1,195	327	518	658	623
<a href="#"><u>Claim or action for damages for fraud, misrepresentation, etc. (§ 6086.8, subd. (b))</u></a>					
Reports Received	258	258	282	245	204



Table SR-4. Reportable Actions, Reported by Others	CY2017	CY2018	CY2019	CY2020	CY2021
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	257	257	208	313	179
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	257	257	208	313	179
Average Pendency at Closure	3	3	14	43	14
Median Pendency at Closure	2	3	14	55	10
Cases Filed in State Bar Court	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	1	2	76	8	33
Average Pendency at Year End	4	4	25	8	23
Median Pendency at Year End	4	4	29	3	17
Cases Closed by SBC with No Action	0	0	0	0	0
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by State Bar Court	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0
<a href="#"><u>Overdraft of attorney trust accounts (§ 6091.1)</u></a>					
Reports Received	1,918	2,081	1,780	1,159	1,091
Cases Reopened	1	2	0	2	61
Cases Closed by OCTC with No Action	1,723	1,706	1,523	1,276	920
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	164	144	112	115	96
Total Cases Closed by OCTC	1,887	1,850	1,635	1,391	1,016
Average Pendency at Closure	67	58	72	82	70
Median Pendency at Closure	24	33	52	48	36
Cases Filed in State Bar Court	53	117	99	41	39
Average Pendency at Filing	433	360	373	526	606
Median Pendency at Filing	436	342	299	511	646
Cases Remaining in OCTC at Year End	351	467	514	240	345
Average Pendency at Year End	180	161	170	298	243
Median Pendency at Year End	69	90	60	213	142
Cases Closed by SBC with No Action	13	13	32	44	1
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	78	39	52	36	79
Total Cases Closed by State Bar Court	91	52	84	80	80
Average Pendency at Closure	690	672	1,057	779	1,061
Median Pendency at Closure	640	603	755	729	1,055
Cases Remaining in SBC at Year End	66	132	147	100	51

Table SR-4. Reportable Actions, Reported by Others	CY2017	CY2018	CY2019	CY2020	CY2021
Average Pendency at Year End	1,319	972	881	1,135	1,605
Median Pendency at Year End	754	482	687	969	940

Filing of misdemeanor or felony charges (§ 6101, subd. (b))

Reports Received	141	118	84	77	80
Cases Reopened	0	0	1	0	0
Cases Closed by OCTC with No Action	99	74	64	23	31
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	0	0	5	1	0
Total Cases Closed by OCTC	99	74	69	24	31
Average Pendency at Closure	395	315	452	527	824
Median Pendency at Closure	235	178	302	303	631
Cases Filed in State Bar Court	59	31	32	14	14
Average Pendency at Filing	364	285	324	464	560
Median Pendency at Filing	162	186	273	312	468
Cases Remaining in OCTC at Year End	115	128	118	153	188
Average Pendency at Year End	471	516	623	625	673
Median Pendency at Year End	254	278	369	426	464
Cases Closed by SBC with No Action	20	13	10	3	8
Cases Closed by SBC with Non-Disciplinary Action	0	1	0	0	0
Cases Closed with Discipline Imposed	56	40	22	26	10
Total Cases Closed by State Bar Court	76	54	32	29	18
Average Pendency at Closure	983	1,176	926	982	1,084
Median Pendency at Closure	922	846	742	987	847
Cases Remaining in SBC at Year End	105	79	57	49	45
Average Pendency at Year End	1,020	1,059	1,118	1,368	1,720
Median Pendency at Year End	670	833	930	988	1,369

Criminal Conviction (§ 6101, subd. (c))

Reports Received	23	24	18	16	9
Cases Reopened	0	0	1	0	0
Cases Closed by OCTC with No Action	10	22	15	10	2
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	0	0	2	0	0
Total Cases Closed by OCTC	10	22	17	10	2
Average Pendency at Closure	543	298	670	137	639
Median Pendency at Closure	143	107	155	75	639
Cases Filed in State Bar Court	12	9	2	1	7
Average Pendency at Filing	357	270	207	139	174
Median Pendency at Filing	128	158	207	139	87
Cases Remaining in OCTC at Year End	21	14	14	18	18
Average Pendency at Year End	724	962	428	511	769
Median Pendency at Year End	157	412	218	367	498
Cases Closed by SBC with No Action	9	3	8	0	0
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	17	13	3	2	4

Table SR-4. Reportable Actions, Reported by Others	CY2017	CY2018	CY2019	CY2020	CY2021
Total Cases Closed by State Bar Court	26	16	11	2	4
Average Pendency at Closure	716	830	3,218	709	1,244
Median Pendency at Closure	679	885	3,703	709	1,268
Cases Remaining in SBC at Year End	30	23	14	15	18
Average Pendency at Year End	1,588	1,985	1,144	1,444	1,303
Median Pendency at Year End	878	1,132	883	1,170	1,338
<u>Elder or dependent adult financial service complaints. (\$ 6175.6)<sup>58</sup></u>					
Reports Received	0	0	0	0	0
Cases Reopened	0	0	0	0	0
Cases Closed by OCTC with No Action	0	0	0	0	0
Cases Closed by OCTC with Referral	0	0	0	0	0
Cases Closed by OCTC with Non-Disciplinary Action	0	0	0	0	0
Total Cases Closed by OCTC	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Filed in State Bar Court	0	0	0	0	0
Average Pendency at Filing	0	0	0	0	0
Median Pendency at Filing	0	0	0	0	0
Cases Remaining in OCTC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0
Cases Closed by SBC With No Action	0	0	0	0	0
Cases Closed by SBC with Non-Disciplinary Action	0	0	0	0	0
Cases Closed with Discipline Imposed	0	0	0	0	0
Total Cases Closed by State Bar Court	0	0	0	0	0
Average Pendency at Closure	0	0	0	0	0
Median Pendency at Closure	0	0	0	0	0
Cases Remaining in SBC at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0

<sup>58</sup> See table SR-13 for more background information on this type of reportable action .

## Speed of Complaint Handling

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

Table SR-5. Speed of Complaint Handling	CY2017	CY2018	CY2019	CY2020	CY2021
<u>Summary: All Case Types<sup>59</sup></u>					
Pendency at Closure by OCTC with No Action <sup>60</sup>					
Average	109	120	135	115	106
Median	39	50	70	45	34
Pendency at Closure by OCTC with Referral					
Average	89	147	93	103	102
Median	46	93	60	29	21
Pendency at Closure by OCTC with Non-Disciplinary Action					
Average	106	157	154	188	182
Median	41	74	92	83	70
Pendency at Closure by OCTC					
Average	108	124	136	122	113
Median	39	52	71	47	35
Pendency at Filing in SBC					
Average	445	482	504	602	643
Median	403	423	458	558	604
Pendency at Year End in OCTC					
Average	269	234	245	323	326
Median	125	90	133	182	162
Pendency at Closure by SBC with No Action					
Average	1,307	1,614	1,790	918	838
Median	639	1,040	2,101	732	718
Pendency at Closure by SBC with Non-Disciplinary Action					
Average	816	1,611	0	503	977
Median	816	1,611	0	503	976
Pendency at Closure by SBC with Disciplinary Action					
Average	676	745	828	912	1,018
Median	640	663	741	821	906
Pendency at Closure by SBC					
Average	785	939	1,111	912	1,002
Median	640	696	824	803	887
Pendency at Year end in SBC					
Average	1,056	972	900	988	1,095
Median	734	713	730	825	895

### Complaints

Pendency at Closure by OCTC with No Action

<sup>59</sup> The case types used for table SR-5 are the same as tables SR-1B and SR-2. See footnote two.

<sup>60</sup> Rows for closure with no action, referral, nondisciplinary action, and disciplinary action were added to all sections of this table to align with table SR-2.

Table SR-5. Speed of Complaint Handling	CY2017	CY2018	CY2019	CY2020	CY2021
Average	118	131	145	119	108
Median	45	57	82	44	34
Pendency at Closure by OCTC with Referral					
Average	89	147	93	103	102
Median	46	93	60	29	21
Pendency at Closure by OCTC with Non-Disciplinary Action					
Average	106	160	153	179	174
Median	41	81	94	72	62
Pendency at Closure by OCTC					
Average	115	134	144	124	114
Median	45	58	81	45	35
Pendency at Filing in SBC					
Average	469	509	559	630	657
Median	414	457	501	605	599
Pendency at Year End in OCTC					
Average	272	238	250	319	332
Median	125	87	137	176	168
Pendency at Closure by SBC with No Action					
Average	1,553	1,860	1,976	1,143	848
Median	789	1,530	2,300	1,049	757
Pendency at Closure by SBC with Non-Disciplinary Action					
Average	0	0	0	503	910
Median	0	0	0	503	815
Pendency at Closure by SBC with Disciplinary Action					
Average	682	805	888	1,026	1,023
Median	653	719	802	938	937
Pendency at Closure by SBC					
Average	842	1,041	1,205	1,042	1,005
Median	655	763	925	969	917
Pendency at Year end in SBC					
Average	1,094	1,007	955	970	1,076
Median	774	752	852	849	917
<u>State Bar Initiated Inquiries</u>					
Pendency at Closure by OCTC with No Action					
Average	133	171	196	223	162
Median	30	70	125	104	24
Pendency at Closure by OCTC with Referral					
Average	0	0	57	0	0
Median	0	0	28	0	0
Pendency at Closure by OCTC with Non-Disciplinary Action					
Average	175	246	245	160	329
Median	148	231	183	90	252
Pendency at Closure by OCTC					
Average	138	179	200	205	178

Table SR-5. Speed of Complaint Handling	CY2017	CY2018	CY2019	CY2020	CY2021
Median	38	87	134	90	37
Pendency at Filing in SBC					
Average	428	590	564	777	591
Median	349	578	512	635	400
Pendency at Year End in OCTC					
Average	290	275	360	425	387
Median	156	164	217	280	200
Pendency at Closure by SBC with No Action					
Average	1,562	1,824	1,526	1,640	489
Median	1,122	859	1,342	1,640	489
Pendency at Closure by SBC with Non-Disciplinary Action					
Average	0	1,611	0	0	1,483
Median	0	1,611	0	0	1,483
Pendency at Closure by SBC with Disciplinary Action					
Average	744	789	1,096	946	1,207
Median	680	656	979	787	974
Pendency at Closure by SBC					
Average	908	1,100	1,244	974	1,194
Median	692	680	1,019	822	974
Pendency at Year end in SBC					
Average	1,331	1,159	1,114	1,250	1,316
Median	991	899	780	975	986
<u>Probation Referrals<sup>61</sup></u>					
Pendency at Closure by OCTC with No Action					
Average	383	466	458	303	208
Median	218	291	316	256	132
Pendency at Closure by OCTC with Referral					
Average	238	0	0	0	0
Median	238	0	0	0	0
Pendency at Closure by OCTC with Non-Disciplinary Action					
Average	374	12	56	85	74
Median	374	12	56	85	81
Pendency at Closure by OCTC					
Average	376	455	445	296	186
Median	238	289	294	256	119
Pendency at Filing in SBC					
Average	243	237	140	321	278
Median	187	203	111	328	205
Pendency at Year End in OCTC					
Average	337	297	236	352	300
Median	139	88	194	197	157
Pendency at Closure by SBC with No Action					
Average	726	1,354	1,033	532	833

<sup>61</sup> The order of 'Probation Referrals' in table SR-5 has been changed to match that in table SR-2.

Table SR-5. Speed of Complaint Handling	CY2017	CY2018	CY2019	CY2020	CY2021
Median	393	979	774	579	566
Pendency at Closure by SBC with Non-Disciplinary Action					
Average	0	0	0	0	474
Median	0	0	0	0	474
Pendency at Closure by SBC with Disciplinary Action					
Average	530	476	609	606	640
Median	473	435	496	498	608
Pendency at Closure by SBC					
Average	561	691	721	594	677
Median	472	459	523	500	606
Pendency at Year end in SBC					
Average	677	613	478	554	626
Median	353	342	321	438	574
<u>Reportable Actions, Reported by Self</u>					
Pendency at Closure by OCTC with No Action					
Average	130	112	100	165	166
Median	42	35	28	63	48
Pendency at Closure by OCTC with Referral					
Average	0	0	0	0	0
Median	0	0	0	0	0
Pendency at Closure by OCTC with Non-Disciplinary Action					
Average	188	203	171	250	237
Median	59	179	117	106	181
Pendency at Closure by OCTC					
Average	134	119	108	182	176
Median	47	36	34	77	51
Pendency at Filing in SBC					
Average	430	520	578	595	801
Median	412	506	516	392	669
Pendency at Year End in OCTC					
Average	276	335	310	318	279
Median	174	245	169	192	170
Pendency at Closure by SBC with No Action					
Average	352	397	1,780	1,302	808
Median	352	397	1,314	1,302	808
Pendency at Closure by SBC with Non-Disciplinary Action					
Average	0	0	0	0	1,279
Median	0	0	0	0	1,279
Pendency at Closure by SBC with Disciplinary Action					
Average	782	849	765	590	1,310
Median	703	793	691	541	1,228
Pendency at Closure by SBC					
Average	744	821	999	649	1,286
Median	701	751	788	544	1,225

Table SR-5. Speed of Complaint Handling	CY2017	CY2018	CY2019	CY2020	CY2021
Pendency at Year end in SBC					
Average	760	932	946	1,187	987
Median	641	864	933	1,097	900
<u>Reportable Actions, Reported by Others</u>					
Pendency at Closure by OCTC with No Action					
Average	61	55	63	68	61
Median	21	28	50	48	29
Pendency at Closure by OCTC with Referral					
Average	0	0	0	0	0
Median	0	0	0	0	0
Pendency at Closure by OCTC with Non-Disciplinary Action					
Average	86	117	142	263	210
Median	31	56	60	140	138
Pendency at Closure by OCTC					
Average	63	60	68	85	76
Median	22	30	51	49	32
Pendency at Filing in SBC					
Average	439	432	446	621	640
Median	437	388	365	529	631
Pendency at Year End in OCTC					
Average	210	172	173	326	263
Median	82	94	60	295	142
Pendency at Closure by SBC with No Action					
Average	586	550	1,645	734	1,002
Median	580	459	764	714	1,002
Pendency at Closure by SBC with Non-Disciplinary Action					
Average	816	0	0	0	0
Median	816	0	0	0	0
Pendency at Closure by SBC with Disciplinary Action					
Average	711	762	670	834	1,093
Median	658	698	598	796	1,052
Pendency at Closure by SBC					
Average	693	723	982	797	1,092
Median	649	672	743	729	1,027
Pendency at Year end in SBC					
Average	1,210	988	923	1,257	1,509
Median	758	579	693	1,037	958



## Formal Disciplinary Filings and Outcomes<sup>62</sup>

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

Table SR-6A. Formal Filings	CY2017	CY2018	CY2019	CY2020	CY2021
<u>Notices of Disciplinary Charges</u>					
Number of Filings	385	533	354	385	328
Average Pendency at Filing	377	406	412	495	531
Median Pendency at Filing	337	369	339	427	519
Number of Attorneys <sup>63</sup>	213	263	171	213	165
<u>Stipulations to Facts and Discipline</u>					
Number of Filings	106	128	106	76	88
Average Pendency at Filing	402	361	477	616	665
Median Pendency at Filing	344	328	487	588	688
Number of Attorneys	71	92	65	59	76
<u>Criminal Conviction Transmittals<sup>64</sup></u>					
Number of Filings	NA	NA	159	172	150
Number of Attorneys	NA	NA	141	159	128

Table SR-6B. Formal Disciplinary Outcomes	CY2017	CY2018	CY2019	CY2020	CY2021
<u>Disbarments</u>					
Number of Cases	321	229	216	170	183
Average Pendency	775	818	1,027	955	1,000
Median Pendency	691	698	849	845	824
Number of Attorneys Disbarred	158	131	117	97	84
<u>Probation with Actual Suspension</u>					
Number of Cases	NA	NA	228	193	242
Average Pendency	NA	NA	810	936	1,087
Median Pendency	NA	NA	725	844	1,030
Number of Attorneys Suspended	NA	NA	110	83	115
<u>Probation with Stayed Suspension</u>					
Number of Cases	NA	NA	33	39	63
Average Pendency	NA	NA	688	773	957

<sup>62</sup> Cases are filed in SBC via a Notice of Disciplinary Charges (NDC), Stipulations to Facts and Discipline, and Transmittal of Criminal Convictions. This table counts each case only once: cases in which an NDC is filed or information about a criminal conviction is transmitted that are later resolved by stipulation are only counted based on the initial filing in SBC. This table includes all formal disciplinary filings, including criminal conviction matters and reportable actions not included in other sections of this report.

<sup>63</sup> Number of attorneys counts added to each section of SR-6A, to match the layout of table SR-6B.

<sup>64</sup> Pendency time for Criminal Conviction Transmittals is not applicable because it is dependent on the cases reaching finality in the criminal court, which is outside of the State Bar's control. Conviction transmittal tracking data was only available early 2019, so data in earlier years will not be available or complete.

Table SR-6B. Formal Disciplinary Outcomes	CY2017	CY2018	CY2019	CY2020	CY2021
Median Pendency	NA	NA	544	640	896
Number of Attorneys Suspended	NA	NA	27	31	49
<u>Suspensions</u>					
Number of Cases	288	273	NA	NA	NA
Average Pendency	784	817	NA	NA	NA
Median Pendency	666	679	NA	NA	NA
Number of Attorneys Suspended	153	149	NA	NA	NA
<u>Public Reprovals</u>					
Number of Cases	33	25	24	28	55
Average Pendency	480	734	547	552	819
Median Pendency	430	599	471	495	798
Number of Attorneys Publicly Reproved	27	23	24	26	40
<u>Private Reprovals</u>					
Number of Cases	33	17	22	24	49
Average Pendency	742	900	674	584	958
Median Pendency	532	476	704	590	872
Number of Attorneys Privately Reproved	25	15	14	24	38

## Other Matters and Specified Definitions

**Section 6086.15, subdivision (a)(7)** The number, average pending times, and types of other matters, including petitions to terminate practice pursuant to section 6180 or 6190, interim suspensions and license restrictions pursuant to section 6007, motions to enforce a binding arbitration award, judgment, or agreement pursuant to subdivision (d) of section 6203, motions to revoke probation, letters of warning, private reproofs, admonitions, and agreements in lieu of discipline.<sup>65</sup>

Table SR-7A. Other Matters	CY2017	CY2018	CY2019	CY2020	CY2021
<u>Petitions to Terminate Practice pursuant to section 6180 or section 6190</u>					
Petitions Filed	6	5	9	3	3
Average Pendency at Filing	1,071	432	214	43	131
Median Pendency at Filing	70	71	77	31	32
Cases with Petitions Granted	6	5	9	1	3
Cases with Petitions Denied	0	0	0	0	0
Total Cases Disposed by Superior Court	6	5	2	4	4
Average Pendency at Disposition	1,071	432	2,971	839	1,597
Median Pendency at Disposition	70	71	2,971	820	1,515
<u>Interim Suspensions and Restrictions pursuant to section 6007</u>					
Cases Opened	6	10	21	16	20
Cases Re-Opened	0	0	0	0	0
Cases Closed Without Filing	1	0	1	1	0
Average Pendency at Closure	33	0	45	48	0
Median Pendency at Closure	33	0	45	48	0
Cases Filed	5	11	19	16	19
Average Pendency at Filing	18	59	10	20	15
Median Pendency at Filing	7	0	0	1	1
Cases Remaining in OCTC At Year End	1	0	1	0	1
Average Pendency at Year End	328	0	328	0	323
Median Pendency at Year End	328	0	328	0	323
Cases with Petitions Granted	5	6	13	9	5
Cases with Petitions Denied	0	1	3	0	3
Total Cases Disposed by State Bar Court	5	7	16	10	15
Average Pendency at Disposition	72	70	122	104	170
Median Pendency at Disposition	69	71	84	72	127
Cases Remaining in State Bar Court at Year End	0	4	7	13	10
Average Pendency at Year End	0	231	112	174	289
Median Pendency at Year End	0	77	69	171	156
<u>Motions to Enforce Fee Arbitration Award</u>					
Cases Opened	4	1	1	3	3
Cases with Petitions Granted	6	0	1	2	2

<sup>65</sup> The full text of sections 6180, 6190, 6007, and 6203 can be found by clicking the embedded link found in each relevant heading.

Table SR-7A. Other Matters	CY2017	CY2018	CY2019	CY2020	CY2021
Cases with Petitions Denied	1	1	0	0	1
Total Cases Disposed by State Bar Court	7	1	1	3	3
Average Pendency at Disposition	92	71	49	83	76
Median Pendency at Disposition	71	71	49	82	83
Cases Remaining in State Bar Court at Year End	0	0	0	0	0
Average Pendency at Year End	0	0	0	0	0
Median Pendency at Year End	0	0	0	0	0
<u>Motions to Revoke Probation</u>					
Cases Opened	7	7	0	4	1
Cases with Petitions Granted	8	9	1	3	3
Cases with Petitions Denied	0	0	0	0	0
Total Cases Disposed by State Bar Court	8	9	2	2	3
Average Pendency at Disposition	169	166	238	372	239
Median Pendency at Disposition	172	161	238	372	237
Cases Remaining in State Bar Court at Year End	4	2	1	3	1
Average Pendency at Year End	131	45	389	116	23
Median Pendency at Year End	159	24	389	140	23
Table SR-7B. Specified Dispositions	CY2017	CY2018	CY2019	CY2020	CY2021
<u>Admonitions</u>					
Cases	1	3	0	2	5
Average Pendency at Disposition	816	1,265	0	650	1,115
Median Pendency at Disposition	816	1,092	0	650	1,179
Attorneys Admonished	1	2	0	2	4
<u>Agreements In Lieu of Discipline</u>					
Cases	13	5	5	13	5
Average Pendency at Disposition	602	689	406	655	681
Median Pendency at Disposition	502	837	420	499	694
Attorneys Entering into Agreements	11	5	5	10	5
<u>Warning Letters</u>					
Cases	610	673	542	656	631
Average Pendency at Disposition	217	273	270	340	311
Median Pendency at Disposition	184	218	215	266	217
Attorneys Receiving Warning Letters	562	604	476	537	557
<u>Directional Letters</u>					
Cases	732	500	612	623	549
Average Pendency at Disposition	22	30	54	40	44
Median Pendency at Disposition	18	21	42	22	14
Attorneys Receiving Directional Letter	692	483	565	550	477
<u>Resource Letters</u>					
Cases	267	209	204	310	193
Average Pendency at Disposition	112	133	164	199	215
Median Pendency at Disposition	56	78	147	144	130

Table SR-7B. Specified Dispositions	CY2017	CY2018	CY2019	CY2020	CY2021
Attorneys Receiving Resource Letters	234	190	185	281	182
<u>Private Reprovals</u>					
Cases	33	17	22	24	49
Average Pendency at Disposition	742	900	674	584	957
Median Pendency at Disposition	532	476	704	590	872
Attorneys Privately Reproved	25	15	14	24	38

## Unauthorized Practice of Law by Former Attorneys<sup>66</sup>

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

Table SR-8. UPL by Former Attorneys	CY2017	CY2018	CY2019	CY2020	CY2021
Cases Opened	35	61	39	28	26
Cases Closed Without Filing	25	38	53	39	31
Average Pendency at Closure	153	204	288	243	173
Median Pendency at Closure	138	195	308	249	189
Cases Filed in Superior Court	0	0	2	0	0
Average Pendency at Filing	0	0	326	0	0
Median Pendency at Filing	0	0	326	0	0
Cases Remaining in OCTC At Year End	19	43	27	16	11
Average Pendency at Year End	108	147	124	123	141
Median Pendency at Year End	142	133	113	113	126
Cases with Petitions Granted	0	0	2	0	0
Average Pendency at Petitions Granted	0	0	374	0	0
Median Pendency at Petitions Granted	0	0	374	0	0
Cases with Petitions Denied <sup>67</sup>	0	0	0	0	0
Average Pendency at Petitions Denied	0	0	0	0	0
Median Pendency at Petitions Denied	0	0	0	0	0
Total Cases Disposed by Superior Court	1 <sup>68</sup>	0	0	0	0
Average Pendency at Disposition	2,084	0	0	0	0
Median Pendency at Disposition	2,084	0	0	0	0
Referrals to Law Enforcement	3	70	24	23	24
Cease and Desist Letters Sent	12	13	18	17	10

<sup>66</sup> This table does not include attorneys who are disciplined for practicing law during a time that their license is suspended.

<sup>67</sup> The pendency numbers for petitions denied are now fully expanded.

<sup>68</sup> The previous ADR incorrectly showed the petition granted numbers here, this has been corrected.

## Unauthorized Practice of Law by Non-Attorneys

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

Table SR-9. UPL by Non-Attorneys	CY2017	CY2018	CY2019	CY2020	CY2021
Cases Opened	668	734	909	637	637
Cases Closed Without Filing	609	598	882	801	628
Average Pendency at Closure	107	151	182	161	119
Median Pendency at Closure	86	162	161	163	89
Cases Filed in Superior Court <sup>69</sup>	1	16	9	9	9
Average Pendency at Filing	7	189	271	333	320
Median Pendency at Filing	7	222	285	358	338
Cases Remaining in OCTC At Year End	243	364	397	232	237
Average Pendency at Year End	91	142	129	128	189
Median Pendency at Year End	90	118	111	94	127
Cases with Petitions Granted <sup>70</sup>	1	16	9	16	8
Average Pendency at Petitions Granted	7	189	278	458	336
Median Pendency at Petitions Granted	7	222	292	502	344
Cases with Petitions Denied	0	0	0	0	0
Average Pendency at Petitions Denied	0	0	0	0	0
Median Pendency at Petitions Denied	0	0	0	0	0
Total Cases Disposed by Superior Court	0	0	1	7	3
Average Pendency at Disposition	0	0	552	848	1,422
Median Pendency at Disposition	0	0	552	710	1,395
<a href="#">Civil Remedies pursuant to section 6126.7</a>	0	0	0	1	1
Referrals to Law Enforcement	315	492	335	317	340
Cease and Desist Letters Sent	143	122	146	227	162

<sup>69</sup> Petition to Terminate filed in superior court, pursuant to section 6126.3, to assume the practice of a person holding himself or herself out as entitled to practice law without being an active licensee of the State Bar.

<sup>70</sup> The pendency numbers for petitions denied are now fully expanded.

## Disposition of Felony Convictions & Conviction Transmittals

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

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

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

Table SR-10A. Disposition of Felony Convictions	CY2017	CY2018	CY2019	CY2020	CY2021
<u>Felony Convictions</u>	46	38	16	11	20
Cases filed in State Bar Court	37	22	31	18	22
Average days from conviction to filing in Court <sup>71</sup>	312	475	514	963	1,500
Median days from conviction to filing in Court	167	249	119	139	127
Cases disposed in State Bar Court	28	37	35	26	15
Average days from filing to disposition in Court	628	1,010	907	1,065	830
Median days from filing to disposition in Court	481	451	535	441	673
<u>SBC Dispositions</u>					
Disbarment	20	26	30	18	4
Dismissal	0	1	4	3	0
Probation with Actual Suspension	NA	NA	1	5	7
Probation with Stayed Suspension	NA	NA	0	0	0
Suspension	8	10	NA	NA	NA
Public Reprimand	NA	NA	NA	NA	1
Private Reprimand	NA	NA	NA	NA	0
Reprimand	0	0	0	0	NA
Termination Due to Resignation	0	0	0	0	0
Termination Due to Death	0	0	0	0	3

Table SR-10B. Conviction Transmittals <sup>72</sup>	CY2017	CY2018	CY2019	CY2020	CY2021
Conviction Transmittals	NA	NA	159	172	150
Number meeting 30-Day Requirement	NA	NA	NA	NA	3

<sup>71</sup> Both attorneys and courts are required to report felony convictions, but superior courts may not timely report convictions to the State Bar. Any resultant delays in discovery of felony convictions may lead to the extended pendency between conviction and filing in Court.

<sup>72</sup> Conviction transmittal data includes both misdemeanor and felony convictions. Transmittal filing data became available from early 2019, and transmittal time data became available from the latter half of 2021. Percentages meeting and not meeting time standards are calculated based only on cases for which transmittal time is available.



Table SR-10B. Conviction Transmittals <sup>72</sup>	CY2017	CY2018	CY2019	CY2020	CY2021
Percentage meeting 30-Day Requirement	NA	NA	NA	NA	75%
Number not meeting 30-Day Requirement	NA	NA	NA	NA	1
Percentage not meeting 30-Day Requirement	NA	NA	NA	NA	25%
Number with no Transmittal Time Data	NA	NA	159	172	146
Percentage with no Transmittal Time Data	NA	NA	100%	100%	97%

## Construction-Related Accessibility Demand Letters

**Civil Code Section 55.32(f)(1)** Notwithstanding Section 10231.5 of the Government Code, on or before April 30, 2019, and annually as part of the Annual Discipline Report<sup>73</sup>, no later than April 30 thereafter, the State Bar shall report to the Legislature and the Chairs of the Senate and Assembly Judiciary Committees, both of the following with respect to demand letters received by the State Bar: (A) The number of investigations opened to date on a suspected violation of subdivision (b) or (c) of Section 55.31. (B) Whether any disciplinary action resulted from the investigation, and the results of that disciplinary action.

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

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

Civil Code Section 55.32 contains several requirements and restrictions concerning demand letters and demands for money in construction-related accessibility claims. As of January 1, 2019, the requirement to provide a copy of a demand letter to the State Bar was repealed. The legislative history of this section makes clear that the State Bar retains prosecutorial discretion to determine what, if any, disciplinary action should be taken in a particular case. As the September 1, 2012 Senate Judiciary Committee analysis notes, at pages 22-23:

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

---

<sup>73</sup> The Annual Discipline Report is no longer due by April 30, but rather by October 31 of each year.

## Demand Letters Received, Investigations Opened, and Disciplinary Action<sup>74</sup>

From January 1, 2021 through December 31, 2021, the State Bar received six copies of demand letters. These letters were carefully reviewed and none of them contained an indication of a possible violation of the prohibition against a demand for money or a specific statement of monetary liability.

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

Table SR-11. Demand Letters	CY2017	CY2018	CY2019	CY2020	CY2021
Number of Letters Received	585	45	26	5	6
Investigations of Suspected Violations of Civil Code Section 55.31 or 55.32	15	0	1	0	0

---

<sup>74</sup> As of January 1, 2019, Civil Code section 55.32 no longer requires an attorney who provides a demand letter as defined by Civil Code 55.3 to provide a copy of that demand letter to the State Bar of California's Office of Professional Competence. However, Civil Code section 55.3(b)(1)(A) continues to require attorneys to provide notices that tell recipients of demand letters that they can send copies to the Office of Professional Competence. In addition, some attorneys voluntarily copy the State Bar and Civil Code section 55.32(f)(1) continues to require the State Bar to report on disciplinary matters involving prohibited demands for money or specific statements of monetary liability. For these reasons, even though plaintiff attorneys were not required to copy the State Bar in 2019, the Office of Professional Competence still received copies that were reviewed and processed. Table SR-11 includes the number of demand letters received by the Office of Professional Competence in 2019.

## Insurance Fraud

**Insurance Code Section 1872.95** (a) Within existing resources, the Medical Board of California, the Board of Chiropractic Examiners, and the State Bar shall each designate employees to investigate and report on possible fraudulent activities relating to workers' compensation, motor vehicle insurance, or disability insurance by licensees of the board or the bar. Those employees shall actively cooperate with the Fraud Division in the investigation of those activities. (b) The Medical Board of California and the Board of Chiropractic Examiners shall each report annually, on or before March 1, to the committees of the Senate and Assembly having jurisdiction over insurance on their activities established pursuant to subdivision (a) for the previous year. The State Bar shall include this report in its Annual Discipline Report on or before April 30<sup>75</sup>. That report shall specify, at a minimum, the number of cases investigated, the number of cases forwarded to the Fraud Division or other law enforcement agencies, the outcome of all cases listed in the report, and any other relevant information concerning those cases or general activities conducted under subdivision (a) for the previous year. The report shall include information regarding activities conducted in connection with cases of suspected automobile insurance fraud.

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

Table SR-12. Insurance Fraud	CY2017	CY2018	CY2019	CY2020	CY2021
<u>Workers' Compensation</u>					
Investigations Initiated	1	2	12	0	0
Suspended Pending Disbarment	9	9	0	0	0
Suspended Pending Criminal Proceedings	1	1	1	0	0
Closed by OCTC with No Action	1	1	3	11	1
Pending in Investigation at Year End	0	1	12	1	0
Referrals to Fraud Division	0	0	0	0	0
Referrals to Law Enforcement	0	0	0	0	0
<u>Motor Vehicle</u>					
Investigations Initiated	1	1	0	0	0
Closed by OCTC with No Action	1	1	1	0	0
Referrals to Fraud Division	0	0	0	0	0
Referrals to Law Enforcement	0	0	0	0	0
<u>Disability</u>					
Investigations Initiated	0	0	0	0	0

<sup>75</sup> The Annual Discipline Report is no longer due by April 30, but rather by October 31 of each year.

## Provision of Financial Services by Lawyers

**Business and Professions Code Section 6177** The State Bar by April 30<sup>76</sup> of each year shall include in its Annual Discipline Report information on the number of complaints filed against California attorneys alleging a violation of this article. The report shall also include the type of charges made in each complaint, the number of resulting investigations initiated, and the number and nature of any disciplinary actions taken by the State Bar for violations of this article.

In 1999, the Legislature enacted Article 10.5 of the State Bar Act regulating the sale of financial products, including long-term care insurance and life insurance, by lawyers to clients who are elders or dependent adults (Bus. & Prof. Code, §§ 6175-6176; added by Senate Bill number 72 (Stats. 1999, Ch. 454)). These sales must be fair and reasonable to the clients, and lawyers must make specific written disclosures.<sup>77</sup>

The State Bar received no complaints alleging violations of Article 10.5 for the period 2015 through December 31, 2021. Since 2001, the State Bar has received 20 complaints alleging violations of the financial products statutes. Table SR-13 provides a summary of the resolution of those complaints.

---

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

---

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

\*2 attorneys

\*\*1 attorney

---

<sup>76</sup> The Annual Discipline Report is no longer due by April 30, but rather by October 31 of each year.

<sup>77</sup> The full text of Section 6175.3, which governs the provision of legal services by lawyers to elder and dependent adults, can be found by clicking the embedded link found in the table heading.

## Condition of the Client Security Fund

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

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

In 2021, the CSF reimbursed \$5.66 million on 291 applications against 128 individual attorneys. After a decrease in the number of new applications filed in 2020, presumably due to the effects of COVID-19, the CSF received 599 new applications in 2021, a 25% increase over the 477 new applications received in 2020.

For more than a decade, the CSF has been working through the effects of a sharp increase in filings that began in 2009 as a result of loan modification fraud schemes perpetrated by some California attorneys. From a challenging all-time high of 7,800 open cases, the CSF has been able to work through its inventory, ending 2021 with approximately 1,300 open applications. Despite the 25% increase in new applications in 2021, the 1,300 open cases at year end 2021 represents an overall decline of almost 20% from the approximately 1,600 open applications at the end of 2020.

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

The CSF has the authority to reimburse victims who have lost money or property due to theft, or an act equivalent to theft, committed by a lawyer acting in a professional capacity. As detailed in the CSF rules, the CSF can reimburse funds received and wrongfully retained by a California lawyer. The maximum reimbursable amount is \$100,000. The CSF Commission, appointed by the State Bar Board of Trustees, administers the CSF and directs policy and decision-making on applications for reimbursement according to the CSF rules.

Table SR-14. CY2021 Client Security Fund Payments

<b>Attorney<sup>78</sup></b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
1	1	\$10,000.00
2	1	\$1,127.50
3	2	\$1,300.00
4	2	\$4,585.00
5	1	\$1,956.00
6	6	\$154,632.67
7	1	\$2,500.00
8	1	\$10,000.00
9	1	\$3,000.00
10	3	\$45,166.68
11	2	\$7,000.00
12	4	\$10,300.00
13	2	\$33,566.91
14	1	\$100,000.00
15	1	\$41,550.00
16	1	\$6,000.00
17	1	\$5,000.00
18	1	\$5,000.00
19	1	\$3,800.00
20	3	\$46,500.00
21	1	\$5,740.00
22	1	\$10,000.00
23	1	\$5,000.00
24	2	\$42,900.00
25	3	\$17,189.50
26	1	\$5,075.00
27	1	\$18,111.21
28	1	\$4,000.00
29	1	\$6,790.00
30	1	\$100,000.00
31	1	\$66,429.75
32	1	\$5,000.00
33	1	\$10,000.00
34	1	\$13,666.67
35	1	\$2,500.00
36	20	\$1,505,037.60
37	1	\$7,000.00
38	1	\$3,000.00
39	1	\$13,500.00

<sup>78</sup> Attorney names are not provided, as CSF rules require confidentiality under certain circumstances.

Table SR-14. CY2021 Client Security Fund Payments

<b>Attorney<sup>78</sup></b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
40	3	\$12,900.00
41	2	\$37,000.00
42	1	\$5,000.00
43	42	\$156,437.42
44	6	\$335,170.72
45	1	\$98,600.00
46	1	\$3,500.00
47	2	\$7,920.00
48	1	\$100,000.00
49	1	\$10,500.00
50	1	\$3,000.00
51	1	\$750.00
52	1	\$20,000.00
53	2	\$11,226.13
54	1	\$300,000.00
55	1	\$15,000.00
56	1	\$5,000.00
57	1	\$74,000.00
58	1	\$2,500.00
59	2	\$79,500.00
60	1	\$43,400.00
61	1	\$23,045.25
62	1	\$100,000.00
63	1	\$50,000.00
64	1	\$600.00
65	1	\$45,349.32
66	2	\$2,333.00
67	3	\$46,625.00
68	1	\$100,000.00
69	1	\$1,945.00
70	1	\$1,740.00
71	1	\$30,000.00
72	3	\$14,885.00
73	3	\$57,500.00
74	1	\$70,061.64
75	1	\$100,000.00
76	1	\$3,000.00
77	1	\$2,000.00
78	1	\$2,500.00
79	5	\$13,251.93
80	1	\$73,014.71



Table SR-14. CY2021 Client Security Fund Payments

<b>Attorney<sup>78</sup></b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
81	1	\$100,000.00
82	2	\$5,000.00
83	4	\$28,155.00
84	1	\$5,000.00
85	10	\$47,118.00
86	5	\$94,458.89
87	1	\$18,500.00
88	1	\$37,315.32
89	1	\$3,500.00
90	1	\$6,435.00
91	7	\$43,069.05
92	1	\$1,750.00
93	1	\$17,000.00
94	1	\$6,500.00
95	1	\$26,666.67
96	1	\$1,500.00
97	2	\$37,733.34
98	1	\$3,000.00
99	15	\$27,382.00
100	1	\$10,000.00
101	1	\$10,000.00
102	3	\$57,286.74
103	1	\$10,000.00
104	1	\$11,000.00
105	1	\$2,193.33
106	1	\$933.33
107	1	\$5,000.00
108	4	\$220,828.00
109	1	\$10,000.00
110	3	\$24,350.00
111	1	\$9,510.33
112	1	\$2,000.00
113	2	\$110,679.15
114	1	\$3,500.00
115	2	\$12,000.00
116	1	\$2,144.00
117	3	\$53,500.00
118	10	\$111,929.84
119	1	\$500.00
120	1	\$10,000.00
121	1	\$150.00

Table SR-14. CY2021 Client Security Fund Payments

<b>Attorney<sup>78</sup></b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
122	1	\$1,200.00
123	4	\$41,712.52
124	1	\$15,000.00
125	1	\$4,500.00
126	1	\$3,500.00
127	1	\$1,500.00
128	2	\$8,225.91
Total	291	\$5,656,406.03

Table SR-14. CY2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
1	2	\$3,300.00
2	1	\$15,166.20
3	7	\$21,700.00
4	1	\$10,000.00
5	1	\$4,000.00
6	2	\$25,166.00
7	1	\$900.00
8	2	\$82,325.00
9	1	\$5,113.00
10	2	\$40,500.00
11	4	\$8,000.00
12	1	\$17,260.49
13	2	\$7,500.00
14	1	\$2,000.00
15	1	\$12,600.00
16	2	\$4,231.50
17	1	\$3,500.00
18	1	\$71,833.69
19	1	\$3,750.00
20	1	\$10,400.00
21	1	\$5,000.00
22	4	\$35,227.01
23	2	\$1,984.00
24	5	\$21,837.50
25	1	\$1,500.00
26	1	\$700.00
27	1	\$5,000.00
28	4	\$45,500.00
29	3	\$7,322.50
30	1	\$4,762.00
31	2	\$76,000.00
32	2	\$13,736.81
33	1	\$30,000.00
34	1	\$6,500.00
35	1	\$15,166.20
36	1	\$2,500.00
37	4	\$163,460.35
38	4	\$18,358.05
39	6	\$42,579.55
40	1	\$21,366.03
41	3	\$13,281.00
42	1	\$500.00
43	1	\$1,800.00

Table SR-14. CY2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
44	1	\$14,721.00
45	3	\$6,300.00
46	1	\$20,000.00
47	1	\$20,700.00
48	2	\$31,450.00
49	1	\$6,500.00
50	1	\$3,500.00
51	2	\$43,750.00
52	2	\$4,520.00
53	1	\$10,000.00
54	1	\$13,420.00
55	24	\$57,196.03
56	7	\$741,499.02
57	1	\$2,500.00
58	1	\$6,035.00
59	1	\$3,795.00
60	1	\$100,000.00
61	2	\$1,750.00
62	1	\$8,500.00
63	1	\$2,000.00
64	1	\$25,000.00
65	1	\$2,420.00
66	3	\$9,913.53
67	5	\$19,800.00
68	1	\$6,500.00
69	1	\$10,000.00
70	1	\$6,200.00
71	6	\$89,013.05
72	1	\$5,000.00
73	3	\$115,401.96
74	1	\$9,475.00
75	1	\$1,700.00
76	2	\$8,450.00
77	1	\$14,350.00
78	1	\$3,000.00
79	3	\$73,500.06
80	2	\$1,885.00
81	3	\$9,000.00
82	2	\$74,079.03
83	6	\$32,125.00
84	1	\$5,000.00
85	1	\$7,700.00
86	11	\$86,120.00
87	31	\$258,050.00

Table SR-14. CY2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
88	1	\$30,000.00
89	1	\$2,180.00
90	2	\$57,836.00
91	20	\$245,831.22
92	1	\$2,500.00
93	2	\$10,500.00
94	1	\$105,000.00
95	1	\$6,000.00
96	7	\$75,706.88
97	1	\$5,025.00
98	2	\$178,547.80
99	1	\$2,000.00
100	2	\$5,200.00
101	1	\$100,000.00
102	12	\$23,963.00
103	1	\$8,750.00
104	1	\$2,500.00
105	1	\$2,500.00
106	5	\$16,350.00
107	2	\$4,375.00
108	1	\$2,700.00
109	5	\$50,555.00
110	1	\$3,700.00
111	1	\$2,435.00
112	1	\$8,082.76
113	6	\$90,525.00
114	2	\$17,354.49
115	1	\$2,500.00
116	1	\$1,739.56
117	1	\$8,721.67
118	1	\$2,650.00
119	1	\$14,975.00
120	9	\$23,935.00
121	2	\$14,000.00
122	1	\$2,950.00
123	1	\$1,500.00
124	1	\$18,950.00
125	1	\$860.00
126	1	\$600.00
127	1	\$16,850.00
128	1	\$36,632.00
129	4	\$287,850.00
130	1	\$5,000.00
131	18	\$45,495.00

Table SR-14. CY2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
132	1	\$1,000.00
133	1	\$7,500.00
134	18	\$487,633.14
135	4	\$99,390.61
136	4	\$29,101.00
137	1	\$7,500.00
138	1	\$3,500.00
139	1	\$1,106.00
140	1	\$5,950.00
141	2	\$6,240.00
142	1	\$1,000.00
143	1	\$1,000.00
144	1	\$14,700.00
145	1	\$18,000.00
146	3	\$11,200.00
147	1	\$1,000.00
148	26	\$117,097.49
149	1	\$950.00
150	1	\$4,333.00
151	3	\$164,000.00
152	1	\$87,629.60
153	2	\$2,550.00
154	1	\$20,960.00
155	7	\$28,655.00
156	1	\$500.00
157	11	\$54,150.00
158	2	\$8,265.00
159	3	\$200,500.00
160	1	\$30,000.00
161	2	\$68,232.88
162	2	\$22,000.00
163	1	\$4,000.00
164	1	\$100,000.00
165	1	\$7,000.00
166	1	\$10,000.00
167	2	\$22,923.43
168	1	\$4,207.99
169	2	\$57,800.00
170	3	\$4,500.00
171	2	\$15,000.00
172	2	\$7,000.00
173	1	\$7,749.95
174	1	\$2,000.00
175	1	\$3,325.00

Table SR-14. CY2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
176	1	\$72,400.00
177	1	\$100,000.00
178	16	\$99,834.61
179	1	\$214.61
180	20	\$86,471.85
181	3	\$3,080.00
182	1	\$7,500.00
183	1	\$5,000.00
184	4	\$6,786.00
185	1	\$1,000.00
186	1	\$2,000.00
187	88	\$2,795,457.58
188	2	\$3,300.00
189	1	\$10,000.00
190	1	\$86,494.58
191	1	\$10,000.00
192	1	\$35,000.00
193	1	\$4,259.75
194	1	\$6,505.00
195	3	\$15,200.00
196	1	\$20,000.00
197	2	\$3,090.00
198	1	\$12,500.00
199	1	\$3,200.00
200	3	\$88,744.00
201	1	\$4,509.00
202	10	\$16,856.00
203	5	\$28,450.00
204	11	\$90,708.00
205	1	\$10,000.00
206	1	\$3,500.00
207	1	\$2,000.00
208	1	\$1,500.00
209	2	\$5,051.00
210	1	\$16,666.67
211	1	\$7,500.00
212	1	\$10,000.00
213	4	\$15,675.00
214	1	\$4,192.50
215	1	\$87,500.00
216	2	\$4,027.20
217	43	\$280,148.00
218	2	\$95,652.68
219	1	\$4,000.00

Table SR-14. CY2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
220	1	\$3,000.00
221	3	\$29,735.46
222	2	\$6,500.00
223	1	\$1,685.00
224	4	\$42,333.34
225	1	\$2,900.00
226	1	\$13,000.00
227	2	\$2,200.00
228	1	\$14,327.70
229	1	\$1,200.00
230	1	\$3,500.00
231	6	\$53,840.00
232	1	\$5,000.00
233	1	\$100,000.00
234	19	\$183,049.84
235	1	\$10,000.00
236	1	\$100,000.00
237	1	\$10,000.00
238	1	\$325.00
239	1	\$1,500.00
240	7	\$24,960.00
241	1	\$2,500.00
242	1	\$3,480.00
243	1	\$15,000.00
244	1	\$2,350.20
245	2	\$97,658.17
246	2	\$14,820.21
247	12	\$290,131.30
248	1	\$8,500.00
249	1	\$650.00
250	3	\$180,847.62
251	1	\$26,810.00
252	1	\$3,000.00
253	1	\$2,995.00
254	1	\$25,000.00
255	4	\$15,081.00
256	1	\$100,000.00
257	1	\$1,100.00
258	1	\$8,377.45
259	1	\$1,000.00
260	1	\$4,000.00
261	1	\$2,500.00
262	1	\$1,500.00
263	1	\$1,020.00



Table SR-14. CY2020 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
264	3	\$8,750.00
265	1	\$3,000.00
<b>TOTAL</b>	<b>832</b>	<b>\$11,746,722.35</b>

Table SR-14. CY2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
1	12	\$575,505
2	52	\$559,865
3	30	\$437,234
4	121	\$272,275
5	9	\$250,077
6	34	\$239,642
7	1	\$200,000
8	1	\$200,000
9	26	\$197,875
10	24	\$181,256
11	10	\$174,371
12	5	\$150,924
13	1	\$137,375
14	1	\$116,000
15	1	\$100,000
16	1	\$100,000
17	1	\$100,000
18	1	\$100,000
19	1	\$100,000
20	1	\$100,000
21	7	\$97,167
22	18	\$88,310
23	4	\$86,286
24	1	\$74,100
25	3	\$72,150
26	20	\$69,300
27	4	\$66,667
28	19	\$65,213
29	3	\$63,225
30	2	\$62,652
31	17	\$61,700
32	1	\$56,653
33	3	\$56,000
34	2	\$55,200
35	2	\$51,995
36	2	\$47,329
37	3	\$44,625
38	1	\$41,125
39	1	\$40,834
40	1	\$39,613
41	2	\$38,000
42	3	\$36,000
43	10	\$30,810

Table SR-14. CY2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
44	8	\$30,525
45	1	\$30,000
46	3	\$28,810
47	5	\$26,940
48	8	\$25,345
49	1	\$24,500
50	2	\$23,000
51	7	\$22,028
52	1	\$22,000
53	2	\$21,333
54	1	\$21,100
55	1	\$21,007
56	1	\$21,000
57	2	\$21,000
58	3	\$20,645
59	1	\$18,713
60	3	\$17,475
61	6	\$17,000
62	1	\$16,500
63	1	\$16,000
64	1	\$15,360
65	1	\$15,000
66	1	\$15,000
67	3	\$15,000
68	1	\$15,000
69	1	\$15,000
70	1	\$14,900
71	1	\$14,774
72	1	\$14,500
73	5	\$14,500
74	3	\$14,500
75	1	\$14,435
76	3	\$13,975
77	1	\$13,430
78	2	\$13,167
79	4	\$12,927
80	1	\$12,767
81	1	\$12,500
82	1	\$12,135
83	1	\$12,083
84	1	\$12,020
85	1	\$12,000
86	2	\$11,400
87	1	\$11,260

Table SR-14. CY2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
88	1	\$10,981
89	1	\$10,800
90	2	\$10,400
91	1	\$10,000
92	1	\$10,000
93	2	\$9,895
94	2	\$9,077
95	3	\$8,985
96	1	\$8,970
97	1	\$8,625
98	5	\$8,535
99	1	\$8,500
100	1	\$8,370
101	4	\$8,328
102	4	\$8,000
103	2	\$7,651
104	1	\$7,500
105	2	\$7,500
106	1	\$7,500
107	2	\$7,500
108	2	\$7,445
109	1	\$7,195
110	1	\$6,945
111	3	\$6,800
112	1	\$6,675
113	2	\$6,500
114	1	\$6,500
115	2	\$6,066
116	1	\$6,000
117	2	\$6,000
118	1	\$6,000
119	2	\$6,000
120	4	\$5,640
121	1	\$5,563
122	1	\$5,400
123	1	\$5,100
124	1	\$5,000
125	1	\$5,000
126	1	\$5,000
127	2	\$5,000
128	1	\$5,000
129	1	\$5,000
130	1	\$5,000
131	1	\$5,000

Table SR-14. CY2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
132	1	\$4,950
133	1	\$4,800
134	1	\$4,500
135	3	\$4,500
136	1	\$4,500
137	3	\$4,449
138	1	\$4,300
139	1	\$4,250
140	4	\$4,156
141	1	\$4,040
142	1	\$4,000
143	1	\$3,825
144	1	\$3,600
145	1	\$3,592
146	1	\$3,500
147	1	\$3,500
148	1	\$3,500
149	1	\$3,500
150	1	\$3,495
151	1	\$3,400
152	1	\$3,400
153	1	\$3,300
154	1	\$3,245
155	1	\$3,000
156	1	\$3,000
157	1	\$3,000
158	1	\$3,000
159	1	\$3,000
160	1	\$3,000
161	1	\$2,995
162	1	\$2,935
163	1	\$2,895
164	1	\$2,850
165	1	\$2,800
166	1	\$2,750
167	1	\$2,575
168	1	\$2,500
169	1	\$2,500
170	2	\$2,500
171	1	\$2,500
172	1	\$2,500
173	1	\$2,500
174	1	\$2,494
175	1	\$2,412

Table SR-14. CY2019 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
176	2	\$2,400
177	1	\$2,400
178	1	\$2,300
179	2	\$2,235
180	1	\$2,041
181	1	\$2,000
182	2	\$2,000
183	1	\$2,000
184	1	\$2,000
185	1	\$1,920
186	1	\$1,800
187	1	\$1,635
188	1	\$1,500
189	1	\$1,500
190	1	\$1,500
191	1	\$1,500
192	1	\$1,500
193	1	\$1,450
194	1	\$1,396
195	1	\$1,367
196	1	\$1,200
197	1	\$1,200
198	1	\$1,100
199	1	\$1,045
200	1	\$1,000
201	1	\$950
202	1	\$894
203	1	\$877
204	1	\$600
205	1	\$510
206	1	\$500
<b>TOTAL</b>	<b>718</b>	<b>\$6,921,179</b>

Table SR-14. CY2018 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
1	80	\$579,306
2	9	\$424,465
3	13	\$348,864
4	72	\$335,353
5	2	\$224,000
6	46	\$204,428
7	1	\$183,500
8	3	\$179,157
9	2	\$174,900
10	15	\$167,595
11	12	\$160,341
12	9	\$148,594
13	20	\$148,250
14	3	\$146,763
15	3	\$140,823
16	4	\$138,056
17	19	\$129,731
18	4	\$112,131
19	1	\$112,000
20	2	\$110,000
21	5	\$101,298
22	2	\$100,350
23	1	\$100,000
24	1	\$100,000
25	1	\$100,000
26	1	\$100,000
27	1	\$100,000
28	1	\$100,000
29	2	\$95,300
30	12	\$94,926
31	2	\$90,980
32	2	\$90,300
33	1	\$85,000
34	6	\$81,000
35	3	\$80,066
36	12	\$78,120
37	1	\$75,951
38	1	\$75,856
39	9	\$73,382
40	2	\$72,380
41	8	\$71,500
42	1	\$68,854
43	1	\$66,667

Table SR-14. CY2018 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
44	1	\$65,000
45	3	\$62,904
46	17	\$60,461
47	1	\$60,000
48	12	\$58,137
49	1	\$56,920
50	14	\$54,913
51	2	\$52,000
52	8	\$51,700
53	13	\$46,881
54	1	\$45,000
55	8	\$44,053
56	1	\$43,852
57	1	\$42,000
58	13	\$41,311
59	1	\$41,180
60	1	\$40,080
61	1	\$40,000
62	1	\$37,500
63	3	\$37,418
64	1	\$35,000
65	2	\$34,835
66	1	\$34,000
67	1	\$32,333
68	6	\$32,066
69	2	\$32,050
70	13	\$31,972
71	1	\$31,000
72	3	\$30,128
73	1	\$30,000
74	3	\$29,531
75	5	\$28,500
76	1	\$28,500
77	2	\$26,500
78	3	\$25,468
79	8	\$25,288
80	3	\$25,178
81	2	\$25,000
82	1	\$25,000
83	1	\$23,550
84	1	\$22,750
85	1	\$22,750
86	7	\$22,000
87	2	\$21,715



Table SR-14. CY2018 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
88	6	\$20,990
89	5	\$20,000
90	3	\$19,500
91	2	\$19,372
92	3	\$19,000
93	1	\$18,000
94	4	\$18,000
95	1	\$17,994
96	1	\$17,923
97	1	\$17,588
98	5	\$16,500
99	5	\$16,350
100	2	\$16,333
101	7	\$16,150
102	1	\$16,000
103	2	\$15,947
104	3	\$15,900
105	1	\$15,568
106	1	\$15,000
107	1	\$15,000
108	1	\$15,000
109	5	\$14,905
110	1	\$14,500
111	4	\$13,765
112	3	\$13,550
113	1	\$13,000
114	3	\$12,949
115	5	\$12,923
116	2	\$12,718
117	2	\$12,500
118	2	\$12,373
119	2	\$12,045
120	1	\$12,000
121	1	\$12,000
122	2	\$11,990
123	2	\$11,953
124	2	\$11,900
125	4	\$11,895
126	2	\$11,400
127	1	\$11,274
128	2	\$11,200
129	1	\$11,000
130	4	\$10,750
131	1	\$10,645

Table SR-14. CY2018 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
132	1	\$10,500
133	2	\$10,343
134	1	\$10,000
135	1	\$10,000
136	1	\$10,000
137	3	\$10,000
138	1	\$10,000
139	1	\$10,000
140	1	\$9,800
141	1	\$9,666
142	2	\$9,500
143	3	\$9,395
144	3	\$9,330
145	3	\$8,650
146	3	\$8,650
147	2	\$8,600
148	4	\$8,400
149	2	\$8,300
150	2	\$8,100
151	1	\$8,000
152	2	\$7,992
153	2	\$7,750
154	2	\$7,580
155	1	\$7,500
156	1	\$7,500
157	1	\$7,500
158	1	\$7,500
159	1	\$7,500
160	3	\$7,000
161	1	\$7,000
162	2	\$6,950
163	1	\$6,926
164	2	\$6,917
165	1	\$6,610
166	1	\$6,500
167	1	\$6,500
168	2	\$6,500
169	1	\$6,400
170	1	\$6,400
171	1	\$6,350
172	2	\$6,244
173	2	\$6,116
174	1	\$6,000
175	1	\$6,000

Table SR-14. CY2018 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
176	1	\$6,000
177	2	\$6,000
178	3	\$5,706
179	1	\$5,692
180	1	\$5,660
181	1	\$5,600
182	1	\$5,500
183	2	\$5,500
184	1	\$5,274
185	3	\$5,200
186	1	\$5,138
187	1	\$5,031
188	1	\$5,000
189	2	\$5,000
190	1	\$5,000
191	1	\$5,000
192	1	\$5,000
193	1	\$5,000
194	1	\$5,000
195	1	\$5,000
196	1	\$4,966
197	2	\$4,860
198	3	\$4,650
199	1	\$4,600
200	1	\$4,500
201	1	\$4,466
202	1	\$4,225
203	1	\$4,221
204	1	\$4,000
205	2	\$4,000
206	1	\$4,000
207	1	\$3,975
208	1	\$3,750
209	1	\$3,646
210	1	\$3,600
211	1	\$3,500
212	1	\$3,500
213	1	\$3,393
214	1	\$3,333
215	1	\$3,300
216	1	\$3,250
217	1	\$3,200
218	2	\$3,100
219	2	\$3,000

Table SR-14. CY2018 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
220	1	\$3,000
221	1	\$3,000
222	2	\$3,000
223	1	\$3,000
224	1	\$3,000
225	1	\$2,995
226	1	\$2,965
227	1	\$2,890
228	1	\$2,880
229	1	\$2,774
230	1	\$2,765
231	1	\$2,700
232	1	\$2,700
233	1	\$2,685
234	1	\$2,500
235	1	\$2,500
236	1	\$2,500
237	1	\$2,500
238	1	\$2,500
239	1	\$2,495
240	1	\$2,495
241	1	\$2,410
242	1	\$2,333
243	1	\$2,232
244	1	\$2,166
245	2	\$2,085
246	1	\$2,030
247	1	\$2,000
248	1	\$2,000
249	1	\$2,000
250	1	\$2,000
251	1	\$2,000
252	1	\$2,000
253	1	\$2,000
254	1	\$2,000
255	1	\$2,000
256	1	\$1,995
257	2	\$1,987
258	1	\$1,900
259	1	\$1,900
260	1	\$1,800
261	1	\$1,800
262	1	\$1,748
263	1	\$1,585

Table SR-14. CY2018 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
264	1	\$1,540
265	1	\$1,500
266	1	\$1,500
267	1	\$1,500
268	1	\$1,500
269	1	\$1,500
270	1	\$1,500
271	1	\$1,500
272	1	\$1,200
273	1	\$1,200
274	1	\$1,000
275	1	\$1,000
276	1	\$1,000
277	1	\$995
278	1	\$985
279	1	\$900
280	1	\$667
281	1	\$625
282	1	\$600
283	1	\$500
284	1	\$300
285	1	\$250
<b>TOTAL</b>	<b>877</b>	<b>\$9,150,841</b>

Table SR-14. CY2017 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
1	212	\$981,386
2	7	\$482,250
3	114	\$261,444
4	81	\$220,091
5	21	\$213,500
6	53	\$210,619
7	2	\$200,000
8	3	\$187,265
9	7	\$174,817
10	2	\$161,000
11	2	\$156,648
12	16	\$137,778
13	33	\$128,800
14	9	\$127,118
15	5	\$101,925
16	1	\$100,000
17	1	\$100,000
18	1	\$100,000
19	13	\$76,687
20	9	\$76,273
21	5	\$74,955
22	1	\$66,669
23	1	\$65,000
24	19	\$63,952
25	3	\$63,800
26	5	\$62,050
27	8	\$59,803
28	1	\$58,000
29	13	\$57,425
30	9	\$55,901
31	5	\$55,000
32	1	\$50,000
33	1	\$50,000
34	1	\$50,000
35	1	\$50,000
36	1	\$50,000
37	15	\$49,589
38	17	\$49,418
39	1	\$48,790
40	1	\$47,151
41	2	\$44,175
42	3	\$41,207
43	2	\$38,745

Table SR-14. CY2017 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
44	3	\$36,000
45	8	\$31,345
46	13	\$29,293
47	1	\$29,247
48	5	\$27,455
49	1	\$25,000
50	2	\$24,560
51	11	\$23,700
52	4	\$23,215
53	6	\$23,100
54	1	\$23,000
55	2	\$22,000
56	3	\$21,000
57	2	\$20,356
58	1	\$20,000
59	1	\$20,000
60	2	\$18,668
61	2	\$18,500
62	1	\$17,500
63	4	\$17,000
64	5	\$16,870
65	1	\$16,690
66	1	\$15,588
67	3	\$15,164
68	1	\$15,000
69	5	\$14,111
70	3	\$13,758
71	4	\$12,145
72	1	\$12,000
73	3	\$11,651
74	3	\$11,134
75	7	\$11,010
76	1	\$11,003
77	4	\$10,450
78	1	\$10,000
79	1	\$10,000
80	1	\$8,851
81	3	\$8,850
82	2	\$8,780
83	3	\$8,700
84	1	\$8,650
85	2	\$8,145
86	1	\$8,110
87	1	\$7,800

Table SR-14. CY2017 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
88	5	\$7,750
89	1	\$7,500
90	1	\$7,500
91	1	\$7,000
92	1	\$7,000
93	1	\$6,500
94	1	\$6,200
95	1	\$5,724
96	1	\$5,669
97	1	\$5,500
98	1	\$5,300
99	1	\$5,000
100	1	\$5,000
101	1	\$5,000
102	1	\$4,730
103	2	\$4,700
104	2	\$4,700
105	1	\$4,609
106	1	\$4,500
107	1	\$4,500
108	1	\$4,227
109	1	\$4,000
110	1	\$4,000
111	1	\$3,900
112	1	\$3,500
113	1	\$3,500
114	1	\$3,500
115	1	\$3,460
116	1	\$3,400
117	3	\$3,154
118	1	\$3,000
119	1	\$3,000
120	1	\$3,000
121	1	\$3,000
122	2	\$2,862
123	1	\$2,800
124	1	\$2,600
125	2	\$2,550
126	1	\$2,529
127	1	\$2,500
128	1	\$2,500
129	1	\$2,333
130	1	\$2,107
131	1	\$2,000



Table SR-14. CY2017 Client Security Fund Payments

<b>Attorney</b>	<b>Number of CSF Claims Paid</b>	<b>Total Amount Paid</b>
132	1	\$2,000
133	1	\$2,000
134	1	\$1,738
135	1	\$1,650
136	1	\$1,550
137	1	\$1,500
138	1	\$1,400
139	1	\$1,300
140	1	\$1,300
141	1	\$1,000
142	1	\$811
143	1	\$800
144	1	\$750
145	1	\$654
146	1	\$540
147	1	\$500
<b>TOTAL</b>	<b>909</b>	<b>\$6,401,923</b>

## Cost of the Discipline System

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

Table SR-15 reflects the cost of programs included in the Supreme Court's November 2016 order approving an interim special regulatory assessment, which authorized the State Bar to assess 2017 attorney licensing fees for discipline-related functions.<sup>79</sup>

Table SR-15 Cost of the Discipline System	CY2017	CY2018	CY2019
Chief Trial Counsel	\$45,841,600	\$45,436,400	\$52,023,100
Probation	\$1,129,100	\$1,412,300	\$1,675,400
Mandatory Fee Arbitration	\$836,900	\$184,400	\$80,900
State Bar Court	\$11,913,800	\$12,005,600	\$13,047,400
Professional Competence	\$2,572,800	\$2,508,900	\$3,012,500
Attorney Regulation and Consumer Resources	\$4,543,000	\$4,934,200	\$5,698,900
Communications (70%) <sup>80</sup>	\$804,860	\$542,500	\$617,500
Licensee Billing (73%) <sup>81</sup>	\$1,010,200	\$480,400	\$450,900
General Counsel (76.3%) <sup>82</sup>	\$3,361,625	\$2,720,300	\$2,953,300
<b>TOTAL</b>	<b>\$72,013,885</b>	<b>\$70,225,000</b>	<b>\$79,559,900</b>

Table SR-15 Cost of the Discipline System (cont.)	CY2020	CY2021
Chief Trial Counsel	\$61,027,900	\$59,128,344
Probation	\$1,968,900	\$1,763,181
Mandatory Fee Arbitration	\$12,300	\$44,409
State Bar Court	\$13,684,000	\$13,739,415
Professional Competence	\$2,714,800	\$3,292,881
Attorney Regulation and Consumer Resources	\$5,432,200	\$5,968,266
Communications (70%)	\$698,500	\$683,707
Licensee Billing (73%)	\$375,400	\$631,961
General Counsel (76.3%)	\$3,329,500	\$3,021,842
<b>TOTAL</b>	<b>\$89,243,500</b>	<b>\$88,274,005</b>

<sup>79</sup> The Court's order included funding for activities of the California Young Lawyers Association (CYLA) related to the discipline system. The CYLA is no longer a part of the State Bar, so those costs are not included in table SR-15.

<sup>80</sup> This percent reflects the portion of Office of Communications resources devoted to its principal roles, which are to help Californians understand how to access the resources of the discipline system and to ensure that attorneys understand their professional ethical obligations.

<sup>81</sup> This percent reflects the portion of Office of Finance resources dedicated to collecting licensing fees and discipline costs.

<sup>82</sup> This percent reflects the portion of Office of General Counsel resources dedicated to supporting the State Bar's discipline programs.

## APPENDIX A: GLOSSARY OF ATTORNEY DISCIPLINE REPORT TERMINOLOGY

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

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

### **CASE INITIATION DATE:**

- For complaints: the date on which the written complaint is received in the Intake Unit<sup>83</sup>
- For probation referrals: the date on which the referral is received in OCTC
- For State Bar initiated inquiries: the date on which the inquiry is received in the Intake Unit
- For reportable actions: the date on which the report is received in the Intake Unit
- For motions to enforce fee arbitration: the date on which the Mandatory Fee Arbitration Program files the motion in State Bar Court
- For motions to revoke probation: the date on which the Office of Probation files the motion in State Bar Court
- For petition to terminate practice:\* the date on which the case is opened in the Intake Unit
- For petition to impose interim suspension or license restrictions pursuant to section 6007: the date on which the case is opened in the Intake Unit

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

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

### **COURT CLOSING DATE:**

- For cases filed in State Bar Court, the date the court records as the closing date of the case
- For initial 6180/6190/6126.3 petitions filed in Superior Court resulting in denial or dismissal of OCTC's petition, the date on which OCTC closes the case

---

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

<sup>83</sup> Complaints received after 4:30 p.m. or on non-business days are deemed received on the next business day.

- For initial 6180/6190/6126.3 petitions filed in Superior Court resulting in Superior Court jurisdiction (i.e., granting the petition), the case remains open until OCTC closes the case following the Superior Court granting a petition to terminate Superior Court jurisdiction<sup>84</sup>

#### **DISPOSITIONS (OCTC):**

- Closed with Nondisciplinary Action: Closed with a warning letter, directional letter, resource letter, or agreement in lieu of discipline
- Closed with Referral: Closed upon referral to other processes or agencies, including mandatory fee arbitration, law enforcement,<sup>85</sup> and alternative dispute resolution
- Filed in State Bar Court: Formal filing, including Notice of Disciplinary Charges, Stipulation to Facts and Discipline, transmittal of a criminal conviction case, or petition pursuant to section 6007
- Filed in Superior Court: Petition pursuant to section 6180, section 6190, or section 6126.3 filed in superior court
- Closed with No Action: Closed by OCTC with no further action

#### **DISPOSITIONS (STATE BAR COURT):**

- For complaints, State Bar Inquiries, Probation Referrals, and Reportable Actions:
  - Discipline Imposed: Disbarment, suspension, probation, reproof, revocation of probation, or extension of probation<sup>86</sup>
  - Closed with Nondisciplinary Action: Admonition or the granting of a petition pursuant to section 6007
  - Closed with No Action: Closed by the Court with dismissal, termination, or denial of petition

#### **DISPOSITIONS (SUPERIOR COURT):**

- Petition Granted: Initial petition for assumption of jurisdiction pursuant to section 6180, section 6190, or section 6126.3<sup>87</sup> is granted by a superior court.
- Petition Denied/Dismissed: Closed upon denial or dismissal by the court of an initial petition to assume jurisdiction over a practice pursuant to section 6180, section 6190, or section 6126.3

**INITIAL FILING DATE:** The date on which a case is formally filed in State Bar Court or Superior Court by OCTC, Probation, or the Mandatory Fee Arbitration Program

**MAJOR CASE:** The following criteria are used to designate major cases: (1) A case involving significant publicity, or the likelihood of significant publicity, or involving issues of special interest to the public, the legal profession, or the State Bar -- this includes matters involving allegations of significant harm or potential harm, to clients or others, likely to generate publicity or be of special interest to the public; allegations that a prosecutor has engaged in misconduct in the course of a criminal prosecution, if a court or government office has found such

<sup>84</sup> This may occur many months or years after the initial assumption of jurisdiction petition is granted.

<sup>85</sup> A referral to a law enforcement agency is not, by itself, a reason for closing a case; this disposition captures the number of closed cases that included a referral to a law enforcement agency.

<sup>86</sup> A case is disposed with "Discipline Imposed" only after a final order of the California Supreme Court imposing discipline becomes effective, or when the State Bar Court issues a reproof.

<sup>87</sup> This is treated as the disposition of the case for the purposes of the Annual Discipline Report. However, the case technically remains open until the seized practice is fully resolved, which often takes years.

misconduct to have occurred, whether or not the prosecutorial misconduct resulted in harm; matters that have already generated significant publicity; and matters with the potential to generate significant criticism of the State Bar if there is disagreement with the outcome of the investigation; (2) a case referred to the State Bar by the Supreme Court or the Commission on Judicial Performance; (3) a case involving a complaint submitted by an elected or appointed public official, judge, or well-known public figure; (4) a case involving allegations of misconduct by an elected or appointed public official or well-known public figure – this includes allegations of misconduct of any type by elected or appointed District Attorneys, City Attorneys, County Counsel, Attorneys General, United States Attorneys, or Public Defenders, or high-ranking supervisors or managers within their offices; and allegations that a prosecutor has engaged in misconduct in the course of a criminal prosecution, even in the absence of a finding by a court or government office that such misconduct has occurred; and (5) a case involving investigation of a respondent who has been reinstated to the practice of law following disbarment or resignation with disciplinary charges pending

**MOTION TO ENFORCE RESULT OF FEE ARBITRATION:** A motion filed in State Bar Court by the State Bar's Mandatory Fee Arbitration Program to enforce the outcome of a binding fee arbitration<sup>88</sup>

**MOTION TO REVOKE PROBATION:** A motion filed by Probation in State Bar Court to revoke probation of a licensed attorney under Probation supervision<sup>89</sup>

**PENDENCY IN STATE BAR COURT:** Number of days from the Case Initiation Date to the Court Closing Date<sup>90</sup>

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

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

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

**PETITION TO IMPOSE INTERIM SUSPENSION OR LICENSE RESTRICTIONS:** A petition filed by OCTC in State Bar Court pursuant to section 6007

---

<sup>88</sup> OCTC plays no role in these proceedings.

<sup>89</sup> OCTC plays no role in these proceedings.

<sup>90</sup> Includes any appellate review and time taken to receive the final order from the Supreme Court, as well as any time during which proceedings are abated while a respondent is participating in the Alternative Discipline Program, which provides monitored support for attorneys receiving substance abuse or mental health treatment who have stipulated to certain facts, conclusions of law, and the level of discipline to be imposed in State Bar Court, prior to entering the Program.

**PETITION TO TERMINATE PRACTICE:**\* A petition filed by OCTC in Superior Court to close down and assume responsibility for the practice of an attorney, former attorney, or nonattorney pursuant to section 6180, section 6190, or section 6126.3

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

**REPORTABLE ACTION:** A report of an event statutorily mandated to be reported to the State Bar:

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

**STATE BAR INITIATED INQUIRY:** An inquiry into possible misconduct of an attorney initiated by OCTC based on information other than a written complaint, Probation referral, or reportable action

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

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

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

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

As this year we are transitioning from a calendar year to a fiscal year reporting format, both versions are provided in the appendix.

Table B. Complaints Subject to Rule 2201 <sup>91</sup>	CY2017	CY2018	CY2019	CY2020	CY2021
Closed Without Investigation	66	56	74	149	74
Closed After Investigation	68	78	31	85	28
Pending Assignment to SDTC	6	16	0	3	2
Pending in Investigation	47	73	34	47	62
Total	187	223	139	302	166

Table B. Complaints Subject to Rule 2201	FY2018	FY2019	FY2020	FY2021	FY2022
Closed Without Investigation	103	157	84	136	65
Closed After Investigation	24	39	41	76	27
Pending Assignment to SDTC	9	19	2	5	24
Pending in Investigation	36	67	103	55	53
Total	172	282	230	272	169

<sup>91</sup> These cases are included among the complaints reported in the body of the Annual Discipline Report; this data is provided to highlight the number of cases that fall under this rule

<sup>92</sup> For calendar year 2020 in the last ADR, the closed numbers were inadvertently switched, this has been corrected. Also, the pending assignment number was incorrectly calculated, this has been adjusted.

## APPENDIX C: CALIFORNIA'S ATTORNEY DISCIPLINE SYSTEM

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

In California's attorney discipline system, communication and information concerning alleged misconduct of California lawyers is handled by the State Bar's Office of Chief Trial Counsel (OCTC). OCTC investigates those complaints involving allegations of professional misconduct and may initiate and prosecute disciplinary proceedings in State Bar Court. The Hearing Department of the court conducts evidentiary hearings and renders a decision with findings and recommendations of discipline that are reviewable by the court's Review Department. In each case, the court's final decision and accompanying record are then transmitted to the Supreme Court. In cases where the court recommends the suspension or disbarment of a lawyer, the Supreme Court undertakes an independent determination of the discipline to be imposed. Discipline occurs with a final decision and order of the Supreme Court.<sup>93</sup> Following is a more detailed description of the attorney discipline process.

### INQUIRY

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

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

### INVESTIGATION

Investigations are carried out by investigators in OCTC, under the guidance and supervision of OCTC attorneys. Investigators may interview witnesses and respondents, subpoena and analyze bank records, obtain court documents, and otherwise evaluate and analyze the case to

---

<sup>93</sup> Public and private reprovals are also considered formal discipline; issuance of a reproof by the Court does not require Supreme Court action.



determine whether there is clear and convincing evidence of attorney misconduct that would allow OCTC to bring disciplinary proceedings in State Bar Court. After a determination to proceed with disciplinary proceedings, the complaint advances to the prefiling stage.

When multiple complaints are made against the same attorney, OCTC may focus its resources and prosecutorial efforts on those complaints most likely to result in disbarment. In such an event, the investigation of the other complaints may be suspended or “held.” If the Supreme Court orders the attorney's disbarment, prosecution of the suspended cases will no longer be necessary and the remaining complaints will not be investigated further.<sup>94</sup> If the attorney is not disbarred, however, OCTC may reactivate any suspended investigations. If an attorney is the subject of a criminal prosecution or party to civil action for the same misconduct, OCTC may suspend its investigation until the criminal or civil proceedings have concluded.

## **PREFILING**

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

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

## **HEARING AND REVIEW**

---

<sup>94</sup> Complainants in cases dismissed under these circumstances are eligible for reimbursement through the Client Security Fund.

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

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

### **SUPREME COURT**

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

Charts C1 and C2 reproduce the brochure published on the State Bar's website in English and Spanish and provided to members of the public who contact the State Bar.

Chart C1: Client Complaint Flowchart

# Filing a Complaint against an Attorney

If you feel your attorney has engaged in misconduct, please file a complaint with the State Bar. Filing a complaint helps the State Bar stop attorney misconduct and may prevent others from becoming victims of it. You do not have to be a U.S. citizen, and there is no charge to file a complaint.



## FILING

You can file your complaint online or by regular mail. Forms and instructions are available on our website.



## REVIEW

Time required:  
At least three weeks;  
up to 60 days.

A State Bar attorney will review your complaint to determine if it warrants investigation. The State Bar may contact you for additional information.

In limited situations, if your complaint indicates misconduct, the State Bar may direct the attorney to take certain action to resolve the matter without investigation.

NO

If your complaint **DOES NOT** indicate misconduct, the State Bar will close your complaint and send you a letter explaining why the complaint was closed.

You may request a review of this decision by writing to the Complaint Review Unit, which may reopen your complaint if it determines that it was closed inappropriately or that you have new information to support your complaint. The letter notifying you that the complaint was closed will contain instructions for requesting a review. You must submit your request within 90 days of the closing letter's date.

YES



## INVESTIGATION

If your complaint **DOES** indicate misconduct, the State Bar will investigate the allegations. You will be notified about the attorney and investigator assigned to your complaint.

NO

If the investigation **DOES NOT** confirm misconduct, the State Bar will close your complaint and send you a letter explaining why it was closed.

Even if your complaint **DOES NOT** indicate misconduct, the State Bar may write to the attorney to suggest resources to address the conduct that led to a complaint.

YES

See Page 2

Questions? Call our multilingual intake line at 800-843-9053



The State Bar  
of California

## If the Investigation Confirms Misconduct:



### NOTICE & SETTLEMENT PROPOSAL

If the investigation **CONFIRMS misconduct**, the State Bar will either resolve the case with an alternative to discipline or send a notice to the attorney of its intent to file charges in an attempt to settle the case.

YES

If the case is **SETTLED**, the State Bar Court will review the settlement agreement, which describes the discipline to be imposed. If the discipline includes suspension or disbarment, the agreement must be reviewed and approved by the California Supreme Court. If not, the State Bar Court can order the discipline.

NO



### TRIAL & DISCIPLINE

If the case is **NOT SETTLED**, the State Bar will file charges against the attorney in the State Bar Court and make the case public.<sup>(1)</sup>

The State Bar Court will schedule proceedings.

NO

After trial, if the State Bar Court judge determines that the attorney **SHOULD NOT be disciplined**, the State Bar Court will close the case with no discipline imposed.

YES

If the State Bar Court judge determines that the attorney **SHOULD BE suspended or disbarred**, the decision must be reviewed and approved by the California Supreme Court. The State Bar Court can order less severe forms of discipline.<sup>(1)</sup>

Either the attorney or the State Bar can request a review of the State Bar Court decision.

<sup>(1)</sup> All public discipline information is noted on the attorney's online profile and summarized on the State Bar website Discipline section. Documents are posted in the State Bar Court online case dockets.

## PLEASE NOTE

If criminal conduct is suspected, the State Bar may refer complaints to a law enforcement agency for investigation and potential prosecution.

If you have lost money due to a licensed attorney's dishonest conduct, you should also apply for reimbursement from the State Bar's Client Security Fund.

If you have questions about the complaint process, or want to know the status of a complaint you have filed, call the State Bar at 800-843-9053.



The State Bar  
of California

[More information on attorney misconduct](#)

Rev. 8/2/21

Chart C2 Client Complaint Flowchart (Spanish)

# Cómo presentar una queja contra un abogado

Si cree que su abogado incurrió en una mala conducta, sírvase presentar una queja ante el State Bar. Al presentar una queja ante el State Bar, esto ayuda a prevenir faltas a la conducta profesional de parte de los abogados y puede evitar que otros se conviertan en víctimas. No es necesario que sea ciudadano de los EE. UU. y no hay ningún costo para presentar una queja.



## PRESENTACIÓN

Puede presentar su queja en línea o por correo regular. Los formularios y las instrucciones están disponibles en nuestro sitio web.



## REVISIÓN

*Tiempo requerido:  
Al menos tres semanas;  
hasta 60 días.*

Un abogado del State Bar revisará su queja para determinar si amerita una investigación. El State Bar puede comunicarse con usted para obtener información adicional.

En situaciones limitadas, si su queja indica una mala conducta, el State Bar puede ordenar al abogado que tome ciertas medidas para resolver el asunto sin una investigación.

NO

Si su queja **NO** indica una mala conducta, el State Bar cerrará su queja y le enviará una carta explicando por qué se cerró.

Usted puede solicitar por escrito una revisión de esta decisión al Complaint Review Unit, que puede reabrir su queja si decide que fue cerrada de manera inadecuada o si usted tiene nueva información para respaldar su queja. La carta que le informa del cierre de la queja tiene instrucciones para solicitar una revisión. Usted debe presentar su solicitud dentro de los 90 días a partir de la fecha de cierre de su queja.

SÍ



## INVESTIGACIÓN

Si su queja **SÍ** indica una mala conducta, el State Bar investigará las acusaciones. Se le informará del abogado y del investigador asignado a su queja.

NO

Si la investigación **NO** confirma una mala conducta, el State Bar cerrará su queja y le enviará una carta explicando por qué se cerró.

Incluso si su queja **NO** indica una mala conducta, el State Bar puede escribirle al abogado una carta para sugerir recursos para corregir la falta a la conducta que conllevó a la queja.

SÍ

Ver la página 2

¿Preguntas? Llame a nuestra  
línea de atención multilingüe al  
800-843-9053



The State Bar  
of California



## Si la investigación confirma una mala conducta:



### AVISO Y PROPUESTA DE RESOLUCIÓN

Si la investigación **CONFIRMA una mala conducta**, el State Bar resolverá el caso con otros medios en lugar de una sanción disciplinaria o enviará un aviso al abogado de su intención de presentar cargos en un intento de resolver el caso.

SÍ

Si el caso se **RESUELVE**, el tribunal del State Bar, revisará el acuerdo de resolución en donde describe la sanción disciplinaria que se impondrá. Si la sanción disciplinaria incluye la suspensión o inhabilitación, este acuerdo debe ser revisado y aprobado por el Tribunal Supremo de California. Si no es así, el Tribunal del State Bar puede ordenar la sanción disciplinaria.

NO



### JUICIO Y DISCIPLINA

Si el caso **NO ES RESUELTO**, el State Bar presentará cargos contra el abogado en el Tribunal del State Bar y hará público el caso.<sup>(1)</sup>

El Tribunal del State Bar programará los procedimientos.

NO

Después del juicio, si el juez del Tribunal del State Bar determina que el abogado **NO DEBE ser disciplinado**, el Tribunal del State Bar cerrará el caso sin imponer una sanción disciplinaria.

SÍ

Si el juez del Tribunal del State Bar determina que el abogado **DEBE SER suspendido o inhabilitado**, la decisión debe ser revisada y aprobada por el Tribunal Supremo de California. El Tribunal del State Bar puede ordenar formas menos graves de una sanción disciplinaria..<sup>(1)</sup>

El abogado o el State Bar pueden solicitar una revisión de la decisión del Tribunal del State Bar.

<sup>(1)</sup> Toda la información respecto a la publicación de sanciones disciplinarias se anotará en el perfil en línea del abogado y se resume en la sección "Discipline" (Sanciones disciplinarias) del sitio web del State Bar. Los documentos se publican en la lista en línea de casos del Tribunal del State Bar.

## TENGA EN CUENTA

Si se sospecha una conducta delictiva, el State Bar puede remitir las quejas a una agencia de orden público para su investigación y para un posible proceso penal.

Si usted perdió dinero por la conducta deshonest de un abogado con licencia, también debe solicitar el reembolso del Client Security Fund del State Bar.

Si tiene preguntas sobre el proceso de quejas o quiere conocer el estado de un reclamo que usted presentó, llame al State Bar al 800-843-9053.



The State Bar  
of California

Más información sobre la mala conducta de un abogado

Rev. 8/2/21

## APPENDIX D: THREE TABLES BASED ON OLD CASE TYPES

For this year's report there has been a change in the case type definitions for tables SR-1B, SR-2, and SR-5. This appendix shows what the old case type definitions were and what the numbers would look like if those old definitions had been continued to be used. The new definitions can be found in Appendix E, which shows the latest methodology.

The old case type definitions were as follows:

Type	Description
Complaints	Original complaints submitted by a complaining witness.
State Bar Initiated Inquiries	Original complaints initiated by the State Bar.
Probation Referrals	A probation violation, reproof violation, or a 9.20 violation as per Supreme Court order.
Reportable Actions, Self	A self-reported action concerning an insurance claim, sanction order, judgment, reversal of judgment, multiple lawsuits, civil penalties, or discipline by other licensing agency.
Reportable Actions, Other	A reported action from a court, bank, other licensing agency or insurance company, concerning insufficient funds, contempt order, insurance claim, sanction order, judgment, reversal of judgment, prosecutor withholding exculpatory evidence, civil penalties, or discipline by other licensing agency.

The affected tables using the old case type definitions would look as follows:

Table SR-1B. Case Processing	FY2018		FY2019		FY2020		FY2021		FY2022	
<b>Noncomplex cases</b>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>
Cases meeting goals	10,804	85	10,105	83	11,996	85	9,913	89	9,681	92
Cases not meeting goals	1,928	15	2,005	17	2,063	15	1,254	11	852	8
Total	12,732	100	12,110	100	14,059	100	11,167	100	10,533	100
<b>Complex cases</b>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>
Cases meeting goals	1,703	76	1,767	71	3,150	80	2,757	67	2,695	71
Cases not meeting goals	535	24	727	29	787	20	1,328	33	1,077	29
Total	2,238	100	2,494	100	3,937	100	4,085	100	3,772	100
<b>All cases</b>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>
Cases meeting goals	12,507	84	11,872	81	15,146	84	12,670	83	12,376	87
Cases not meeting goals	2,463	16	2,732	19	2,850	16	2,582	17	1,929	13
Total	14,970	100	14,604	100	17,996	100	15,252	100	14,305	100

Table SR-2. Inquiries and Complaints	FY2018	FY2019	FY2020	FY2021	FY2022
<b>Summary: All Case Types</b>					
Cases Pending in OCTC at Year Start	5,183	5,619	7,662	5,784	4,747
Cases Received	15,327	16,428	15,522	13,666	14,383
Cases Reopened	79	220	596	549	490
Closed by OCTC with No Action	12,724	12,479	15,866	13,038	12,348
Closed by OCTC with Referral	262	194	297	237	245
Closed by OCTC with Nondisciplinary Action	1,464	1,330	1,409	1,498	1,299
Total Cases Closed by OCTC	14,450	14,003	17,572	14,773	13,892
Filed in State Bar Court	520	601	424	479	413
Cases Pending in OCTC at Year End	5,619	7,662	5,784	4,747	5,315
Cases Pending in SBC at Year Start	935	796	784	677	686
Closed by SBC with No Action	124	167	122	81	41
Closed by SBC with Nondisciplinary Action	2	0	0	6	8
Closed with Discipline Imposed	533	447	409	383	443
Total Cases Closed by SBC	659	614	531	470	492
Cases Pending in SBC at Year End	796	784	677	686	607
<b>Complaints</b>					
Complaints Pending in OCTC at Year Start	4,464	4,803	6,805	5,028	4,188
Complaints Received	12,175	13,602	13,066	11,867	12,224
Complaints Reopened	73	211	584	543	423
Closed by OCTC with No Action	10,045	10,159	13,654	11,448	10,741
Closed by OCTC with Referral	261	194	296	237	245
Closed by OCTC with Nondisciplinary Action	1,277	1,116	1,246	1,248	1,136
Total Complaints Closed by OCTC	11,583	11,469	15,196	12,933	12,122
Filed in State Bar Court	326	342	231	317	289
Complaints Pending in OCTC at Year End	4,803	6,805	5,028	4,188	4,424
Complaints Pending in SBC at Year Start	604	510	466	378	443
Closed by SBC with No Action	94	104	77	36	20
Closed by SBC with Nondisciplinary Action	0	0	0	5	6
Closed with Discipline Imposed	326	282	242	211	280
Total Complaints Closed by SBC	420	386	319	252	306
Complaints Pending in SBC at Year End	510	466	378	443	426
<b>State Bar Initiated Inquiries</b>					
Inquiries Pending in OCTC at Year Start	166	224	203	174	145
Inquiries Initiated	408	297	230	340	304
Inquiries Reopened	2	3	8	4	5
Closed by OCTC with No Action	293	246	219	262	205
Closed by OCTC with Referral	0	0	1	0	0
Closed by OCTC with Nondisciplinary Action	36	41	20	87	27
Total Inquiries Closed by OCTC	329	287	240	349	232
Filed in State Bar Court	23	33	27	24	22
Inquiries Pending in OCTC at Year End	224	203	174	145	200
Inquiries Pending in SBC at Year Start	72	48	49	42	41
Closed by SBC with No Action	13	9	8	0	4



Table SR-2. Inquiries and Complaints	FY2018	FY2019	FY2020	FY2021	FY2022
Closed by SBC with Nondisciplinary Action	1	0	0	0	1
Closed with Discipline Imposed	33	24	26	25	24
Total Inquiries Closed by SBC	47	33	34	25	29
Inquiries Pending in SBC at Year End	48	49	42	41	34
<b>Probation Referrals</b>					
Referrals Pending in OCTC at Year Start	56	56	77	60	32
Referrals Received	106	122	91	58	78
Referrals Reopened	0	1	3	0	0
Closed by OCTC with No Action	24	30	36	21	14
Closed by OCTC with Referral	1	0	0	0	0
Closed by OCTC with Nondisciplinary Action	0	2	0	2	3
Total Referrals Closed by OCTC	25	32	36	23	17
Filed in State Bar Court	81	70	75	63	55
Referrals Pending in OCTC at Year End	56	77	60	32	38
Referrals Pending in SBC at Year Start	118	108	83	93	77
Closed by SBC with No Action	8	33	11	12	14
Closed by SBC with Nondisciplinary Action	0	0	0	0	1
Closed with Discipline Imposed	83	62	54	67	36
Total Referrals Closed by SBC	91	95	65	79	51
Referrals Pending in SBC at Year End	108	83	93	77	81
<b>Reportable Actions, Self-Reported</b>					
Actions Pending in OCTC at Year Start	79	73	72	90	90
Actions Reported	160	155	169	161	183
Actions Reopened	0	2	0	0	0
Closed by OCTC with No Action	144	130	124	115	139
Closed by OCTC with Referral	0	0	0	0	0
Closed by OCTC with Nondisciplinary Action	11	16	13	33	30
Total Actions Closed by OCTC	155	146	137	148	169
Filed in State Bar Court	11	12	14	13	11
Actions Pending in OCTC at Year End	73	72	90	90	93
Actions Pending in SBC at Year Start	30	20	18	21	14
Closed by SBC with No Action	1	1	3	1	0
Closed by SBC with Nondisciplinary Action	0	0	0	1	0
Closed with Discipline Imposed	20	13	8	18	16
Total Actions Closed by SBC	21	14	11	20	16
Actions Pending in SBC at Year End	20	18	21	14	9
<b>Reportable Actions, Reported by Others</b>					
Actions Pending in OCTC at Year Start	418	463	505	432	292
Actions Reported	2,478	2,252	1,966	1,240	1,594
Actions Reopened	4	3	1	2	62
Closed by OCTC with No Action	2,218	1,914	1,833	1,192	1,249
Closed by OCTC with Referral	0	0	0	0	0
Closed by OCTC with Nondisciplinary Action	140	155	130	128	103
Total Actions Closed by OCTC	2,358	2,069	1,963	1,320	1,352

Table SR-2. Inquiries and Complaints	FY2018	FY2019	FY2020	FY2021	FY2022
Filed in State Bar Court	79	144	77	62	36
Actions Pending in OCTC at Year End	463	505	432	292	560
Actions Pending in SBC at Year Start	111	110	168	143	111
Closed by SBC with No Action	8	20	23	32	3
Closed by SBC with Nondisciplinary Action	1	0	0	0	0
Closed with Discipline Imposed	71	66	79	62	87
Total Actions Closed by SBC	80	86	102	94	90
Actions Pending in SBC at Year End	110	168	143	111	57

Table SR-5. Speed of Complaint Handling	FY2018	FY2019	FY2020	FY2021	FY2022
<b>Summary: All Case Types</b>					
Pendency at Closure by OCTC with No Action					
Average	117	138	123	114	123
Median	44	59	60	38	36
Pendency at Closure by OCTC with Referral					
Average	124	126	96	109	83
Median	58	72	48	28	19
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	127	162	157	204	168
Median	52	105	76	90	61
Pendency at Closure by OCTC					
Average	118	140	125	123	126
Median	45	59	61	39	37
Pendency at Filing in SBC					
Average	468	479	515	617	661
Median	407	415	477	587	591
Pendency at Year End in OCTC					
Average	280	219	303	332	266
Median	128	115	187	156	128
Pendency at Closure by SBC with No Action					
Average	1,512	1,909	1,473	909	1,234
Median	849	1,888	1,194	729	786
Pendency at Closure by SBC with Nondisciplinary Action					
Average	1,214	0	0	793	970
Median	1,214	0	0	782	836
Pendency at Closure by SBC with Disciplinary Action					
Average	661	830	838	993	1,123
Median	642	702	758	932	947
Pendency at Closure by SBC					
Average	821	1,125	984	976	1,129
Median	660	801	796	888	938
Pendency at Year end in SBC					
Average	1,116	948	997	1,063	1,008
Median	820	748	820	858	896

Table SR-5. Speed of Complaint Handling	FY2018	FY2019	FY2020	FY2021	FY2022
<b>Complaints</b>					
Pendency at Closure by OCTC with No Action					
Average	128	148	127	117	128
Median	52	63	67	40	34
Pendency at Closure by OCTC with Referral					
Average	124	126	96	109	83
Median	58	72	48	28	19
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	128	164	158	189	159
Median	48	112	78	66	54
Pendency at Closure by OCTC					
Average	128	150	129	124	130
Median	52	65	67	41	35
Pendency at Filing in SBC					
Average	489	511	590	643	656
Median	428	463	549	598	591
Pendency at Year End in OCTC					
Average	284	215	299	327	262
Median	128	111	180	153	127
Pendency at Closure by SBC with No Action					
Average	1,672	1,994	1,835	1,073	1,643
Median	1,183	2,078	2,206	1,065	1,100
Pendency at Closure by SBC with Nondisciplinary Action					
Average	0	0	0	716	968
Median	0	0	0	749	836
Pendency at Closure by SBC with Disciplinary Action					
Average	669	916	955	1,050	1,057
Median	654	803	870	988	986
Pendency at Closure by SBC					
Average	892	1,208	1,167	1,047	1,093
Median	669	927	951	988	982
Pendency at Year end in SBC					
Average	1,172	1,040	1,031	1,051	1,034
Median	863	853	895	909	961
<b>State Bar Initiated Inquiries</b>					
Pendency at Closure by OCTC with No Action					
Average	135	215	220	167	176
Median	43	113	125	29	49
Pendency at Closure by OCTC with Referral					
Average	0	0	114	0	0
Median	0	0	114	0	0
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	202	235	243	181	293
Median	183	184	186	90	225
Pendency at Closure by OCTC					

Table SR-5. Speed of Complaint Handling	FY2018	FY2019	FY2020	FY2021	FY2022
Average	143	218	222	171	190
Median	56	129	131	81	56
Pendency at Filing in SBC					
Average	558	503	583	615	770
Median	410	520	581	329	623
Pendency at Year End in OCTC					
Average	300	337	410	447	362
Median	156	248	272	286	209
Pendency at Closure by SBC with No Action					
Average	1,447	2,334	1,332	0	1,593
Median	969	2,049	1,225	0	564
Pendency at Closure by SBC with Nondisciplinary Action					
Average	1,611	0	0	0	1,483
Median	1,611	0	0	0	1,483
Pendency at Closure by SBC with Disciplinary Action					
Average	821	980	881	1,040	1,278
Median	737	767	738	876	925
Pendency at Closure by SBC					
Average	1,011	1,349	987	1,040	1,319
Median	764	879	957	876	925
Pendency at Year end in SBC					
Average	1,406	1,152	1,309	1,385	1,282
Median	1,123	1,055	896	1,143	910
<b>Probation Referrals</b>					
Pendency at Closure by OCTC with No Action					
Average	391	560	350	325	349
Median	238	322	284	256	154
Pendency at Closure by OCTC with Referral					
Average	238	0	0	0	0
Median	238	0	0	0	0
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	0	34	0	83	55
Median	0	34	0	83	46
Pendency at Closure by OCTC					
Average	385	527	350	304	297
Median	238	300	284	237	117
Pendency at Filing in SBC					
Average	192	240	221	314	284
Median	190	202	168	284	240
Pendency at Year End in OCTC					
Average	385	199	276	285	271
Median	198	93	181	64	130
Pendency at Closure by SBC with No Action					
Average	739	1,370	608	899	487
Median	373	1,190	687	579	427

Table SR-5. Speed of Complaint Handling	FY2018	FY2019	FY2020	FY2021	FY2022
Pendency at Closure by SBC with Nondisciplinary Action					
Average	0	0	0	0	474
Median	0	0	0	0	474
Pendency at Closure by SBC with Disciplinary Action					
Average	517	511	585	657	630
Median	470	424	514	571	602
Pendency at Closure by SBC					
Average	536	809	588	693	587
Median	468	479	521	574	539
Pendency at Year end in SBC					
Average	731	535	545	568	610
Median	372	335	396	503	371
<b>Reportable Actions, Reported by Self</b>					
Pendency at Closure by OCTC with No Action					
Average	121	116	130	165	171
Median	39	35	51	49	56
Pendency at Closure by OCTC with Referral					
Average	0	0	0	0	0
Median	0	0	0	0	0
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	179	176	193	291	215
Median	60	140	134	214	98
Pendency at Closure by OCTC					
Average	125	123	136	193	179
Median	47	45	52	78	59
Pendency at Filing in SBC					
Average	563	512	410	747	629
Median	490	489	354	850	477
Pendency at Year End in OCTC					
Average	290	336	361	319	276
Median	152	158	255	228	111
Pendency at Closure by SBC with No Action					
Average	397	2,732	1,304	808	0
Median	397	2,732	1,302	808	0
Pendency at Closure by SBC with Nondisciplinary Action					
Average	0	0	0	1,179	0
Median	0	0	0	1,179	0
Pendency at Closure by SBC with Disciplinary Action					
Average	754	828	601	1,180	984
Median	705	709	583	1,181	906
Pendency at Closure by SBC					
Average	737	964	793	1,161	984
Median	703	749	679	1,178	906
Pendency at Year end in SBC					
Average	922	985	1,038	1,084	1,136

Table SR-5. Speed of Complaint Handling	FY2018	FY2019	FY2020	FY2021	FY2022
Median	776	1,042	1,015	824	888
<b>Reportable Actions, Reported by Others</b>					
Pendency at Closure by OCTC with No Action					
Average	61	65	74	62	59
Median	27	37	52	28	42
Pendency at Closure by OCTC with Referral					
Average	0	0	0	0	0
Median	0	0	0	0	0
Pendency at Closure by OCTC with Nondisciplinary Action					
Average	89	127	128	345	226
Median	53	57	59	260	125
Pendency at Closure by OCTC					
Average	63	70	77	89	72
Median	28	41	52	29	44
Pendency at Filing in SBC					
Average	464	433	432	656	837
Median	396	388	395	678	818
Pendency at Year End in OCTC					
Average	215	201	293	347	264
Median	102	104	196	189	135
Pendency at Closure by SBC with No Action					
Average	673	2,121	747	733	1,637
Median	720	1,902	755	714	1,382
Pendency at Closure by SBC with Nondisciplinary Action					
Average	816	0	0	0	0
Median	816	0	0	0	0
Pendency at Closure by SBC with Disciplinary Action					
Average	688	709	661	1,091	1,516
Median	698	654	625	1,059	1,090
Pendency at Closure by SBC					
Average	688	1,037	681	969	1,520
Median	706	664	730	817	1,109
Pendency at Year end in SBC					
Average	1,143	834	1,105	1,332	1,199
Median	792	607	873	862	1,119

## APPENDIX E: REPORT METHODOLOGY

### SUMMARY OF CHANGES

The 2022 ADR methodology changes were primarily driven by the 2021 Senate Bill 211 (SB211), which changed the reporting date and period and added new reporting requirements for case inventory and compliance with case processing goals and goals for transmittals of criminal convictions. Table 1 on page 2 of the report summarizes all SB211-related changes. In addition to the SB211-driven changes, a few minor modifications were made for data quality and consistency. Table 2 on page 4 of the report summarizes all non-SB211-related changes, including the case type definition update, as explained below.

### CASE TYPE DEFINITIONS

Case type definitions have been broadened to ensure the ADR covers as many cases as possible. All original matter complaints are now included in the report, whereas previous reports only included complaints originating from complaining witnesses. Specifically, two sets of factors within the OCTC case management system are used to determine case type: 1. Case type code; 2. Case origin code. The definition for "Complaints," for example, depends on the case type being coded as "O" and the Origin field containing the code value of "CW" ("Complaining Witness"). Both restrictions were modified to broaden the definition for "Complaints." In addition to "O" case type, two new case type codes are now reported in the "Complaint" case type, including "J" (complaint referrals from other jurisdictions) and "N" (9.20 violation of State Bar Court Order). As for the Origin field this was expanded to include all origins, except for "State Bar Initiated" and "Probation Referral".<sup>95</sup>

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

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

---

<sup>95</sup> Since 2020 when the reporting database for ADR switched from the legacy system to Odyssey, OCTC's new case management system implemented in 2019, the State Bar has been evaluating the report's query logic and the underlying data on an ongoing basis. One of the long-standing issues has to do with the parameters that grouped the cases into five major categories: 1) Complaints; 2) State Bar initiated inquiries; 3) Probation referrals; 4) Reportable Action-Self; and 5) Reportable Action-Other. These five case types are reported in a few key tables related to different metrics, including Tables SR-1B on case processing goals, SR-2 on case inventory and disposition, and SR-5 on case processing time.

## DATA

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

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

## PRIOR YEAR DATA

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

## DATA EXTRACTION

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

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

The datasets are separated into the different functional areas used when entering the data into Odyssey. For instance, there is a case summary dataset showing case number, case type, file date, etc., while another dataset is focused on the various events a case goes through. The common thread between the datasets is an ID number that can be used to link them together. The following describes how each data element of the statutory tables was derived using Stata data files generated from Odyssey data extracts:

### SR-1A. Inventory

Main categories

Type	Description
Pending at beginning	Number of open cases at the start of the reporting



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

*Note: This is a new table that was added per SB211, section 6086.15(a)(1).*

### SR-1B. Case Processing

#### Main Categories

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

*Note: This is a new table that was added per SB211, 6086.15(a)(1) and 6094.5(a)*

#### Subcategories

Type	Description
Cases meeting goals	Number and percent of cases that met case processing goal.
Cases not meeting goals	Number and percent of cases that did not meet case processing goal.
Total	Total number of cases.

## SR-2. Inquiries and Complaints

### Main Categories

Type	Description
Summary: All Case Types	Sum of all case types listed below.
Complaints	Discipline in other jurisdiction <sup>96</sup> , original complaints, and rule 9.20 violations (State Bar Court), except those with specific origins as noted below.
State Bar Initiated Inquiries	Discipline in other jurisdiction and original complaints initiated by the State Bar.
Probation Referrals	Probation violations, reproof violations, rule 9.20 violations (Supreme Court). Also original complaints, and discipline in other jurisdiction, with a probation referral origin.*
Reportable Actions, Self	Self-reported actions concerning contempt orders, insurance claims, sanction orders, judgments, reversal of judgments, multiple lawsuits, civil penalties, discipline by other licensing agency or discipline in other jurisdiction.
Reportable Actions, Other	All other reportable actions including actions reported by courts, banks, other licensing agencies or insurance companies, concerning insufficient funds, contempt orders, insurance claims, sanction orders, judgments, reversals of judgment, prosecutors withholding exculpatory evidence, civil penalties, or discipline by other licensing agency.

### Subcategories

Type	Description
Cases Pending in OCTC at Year Start <sup>97</sup>	Number of open cases at the start of the reporting period in OCTC.
Cases Received	Number of cases that were opened during the reporting period.
Cases Reopened	Number of cases that went from a closed status to an open status.
Closed by OCTC with No Action	Number of OCTC cases that were closed with no referral and/or with no other nondisciplinary action. The cases status is used to determine the type of closure.

<sup>96</sup> Case type definitions have been broadened to include these cases in order to improve data quality and transparency.

<sup>97</sup> Pending case metrics were added to be consistent with Table SR-1A.

Type	Description
Closed by OCTC with Referral	<p>Number of OCTC cases closed with the following type of status:</p> <ul style="list-style-type: none"> <li>• Alternative Dispute Resolution</li> <li>• Fee Arbitration Matter</li> <li>• Family Support Referral</li> <li>• Fee Arbitration Award Referral</li> <li>• Referral</li> </ul>
Closed by OCTC with Nondisciplinary Action	<p>Number of OCTC cases closed with the following type of status:</p> <ul style="list-style-type: none"> <li>• Cease and Desist</li> <li>• Communication</li> <li>• Directional Letter</li> <li>• Return of File Letter Sent</li> <li>• Resource Letter</li> <li>• Warning Letter</li> </ul>
Total Cases Closed by OCTC	Total of the previous three sections.
Filed in State Bar Court	Number of OCTC cases that moved from a prefiling status to a post-filing status.
Cases Pending in OCTC at Year End	Number of OCTC cases open at the end of the year.
Cases Pending in SBC at Year Start	Number of open court cases at the start of the reporting period.
Closed by State Bar Court with No Action	Number of cases closed by the State Bar Court without nondisciplinary or disciplinary action.
Closed by State Bar Court with Nondisciplinary Action	Number of State Bar Court cases closed with "Admonition" status.
Closed with Discipline Imposed	<p>Number of State Bar Court cases closed with the following type of status:</p> <ul style="list-style-type: none"> <li>• Public Reprimand</li> <li>• Private Reprimand</li> <li>• Actual Suspension</li> <li>• Stayed Suspension</li> <li>• Disbarment</li> </ul>
Total Cases Closed by State Bar Court	Total of the previous three sections.
Cases Pending in State Bar Court at Year End	Number of court cases open at the end of the year.

### SR-3. Reportable Actions, Reported by Self

#### Main Categories

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

#### Subcategories

Type	Description
Cases Received	Number of cases that were opened during the reporting period.
Cases Reopened	Number of cases that went from a closed status to a open status.
Closed by OCTC with No Action	Number of all OCTC closed cases that were closed with no referral and/or with no other non-disciplinary action. The case's status is used to determine the type of closure.
Cases Closed by OCTC with Referral	Number of OCTC cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Alternative Dispute Resolution</li> <li>• Fee Arbitration Matter</li> <li>• Family Support Referral</li> <li>• Fee Arbitration Award Referral</li> <li>• Referral</li> </ul>

Type	Description
Cases Closed by OCTC with Nondisciplinary Action	<p>Number of OCTC cases closed with the following type of status:</p> <ul style="list-style-type: none"> <li>• Cease and Desist</li> <li>• Communication</li> <li>• Directional Letter</li> <li>• Return of File Letter Sent</li> <li>• Resource Letter</li> <li>• Warning Letter</li> </ul>
Total Cases Closed by OCTC	Total of the previous three sections.
Average Pendency at Closure	Average age of cases that were closed by OCTC.
Median Pendency at Closure	Median age of cases that were closed by OCTC.
Cases Filed in State Bar Court	Number of OCTC cases that moved from a prefiling status to a post-filing status
Average Pendency at Filing	Average age of cases at time of filing in State Bar Court.
Median Pendency at Filing	Median age of cases at time of filing in State Bar Court.
Cases Remaining in OCTC at Year End	Number of OCTC cases open at the end of the year.
Average Pendency at Year End	Average age of cases that were open in OCTC at year end.
Median Pendency at Year End	Median age of cases that were open in OCTC at year end.
Cases Closed by State Bar Court with No Action	Number of all cases closed by the State Bar Court without non-disciplinary or disciplinary action.
Cases Closed by State Bar Court with Non-disciplinary Action	Number of State Bar Court cases closed with “Admonition” status.
Cases Closed with Discipline Imposed	<p>Number of State Bar Court cases closed with the following type of status:</p> <ul style="list-style-type: none"> <li>• Public Reprimand</li> <li>• Private Reprimand</li> <li>• Actual Suspension</li> <li>• Stayed Suspension</li> <li>• Disbarment</li> </ul>
Total Cases Closed by State Bar Court	Total of the previous three sections.
Average Pendency at Closure	Average age of cases that were closed by State Bar Court.

Type	Description
Median Pendency at Closure	Median age of cases that were closed by State Bar Court.
Cases Remaining in State Bar Court at Year End	Number of State Bar Court cases open at year end.
Average Pendency at Year End	Average age of open cases in State Bar Court at year end.
Median Pendency at Year End	Median age of open cases in State Bar Court at year end.

#### SR-4. Reportable Actions, Reported by Others

##### Main Categories

Type	Description
Summary: All Reportable Actions, Reported by Others	Sum of all cases listed below.
Order of Contempt (6086.7, subd.(a)(1))	Court reported contempt order cases.
Modification or reversal of judgment based on misconduct, etc. (6086.7, subd. (a)(2))	Court reported reversals of judgment cases.
Judicial sanctions imposed (6086.7, subd. (a)(3))	Court reported sanction order cases.
Civil Penalty for providing false information to Indian tribe in adoption case (6086.7, subd. (a)(4))	Court reported civil penalty as applicable
Prosecutorial misconduct (6086.7, subd. (a)(5))	Court reported prosecutor misconduct
Judgment in civil case for fraud, misrepresentation, gross negligence, etc. (6086.8, subd.(a))	Court reported judgment cases.
Claim or action for damages for fraud, misrepresentation, etc. (6086.8, subd. (b))	Insurance company reported insurance claim cases.
Overdraft of attorney trust accounts (6091.1)	Bank reported insufficient funds cases.
Filing of misdemeanor or felony charges (6101, subd. (b))	Prosecuting agency reported conviction matters.
Criminal Conviction (6101, subd. (c))	Court clerk reported conviction matters.

##### Subcategories

Type	Description
Cases Received	Number of cases that were opened.

Type	Description
Cases Reopened	Number of cases that went from a closed status to a open status.
Closed by OCTC with No Action	Number of all OCTC closed cases that were not closed with referral or with nondisciplinary action. Case status is used to determine the type of closure.
Cases Closed by OCTC with Referral	Number of OCTC cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Alternative Dispute Resolution</li> <li>• Fee Arbitration Matter</li> <li>• Family Support Referral</li> <li>• Fee Arbitration Award Referral</li> <li>• Referral</li> </ul>
Cases Closed by OCTC with Non-disciplinary Action	Number of OCTC cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Cease and Desist</li> <li>• Communication</li> <li>• Directional Letter</li> <li>• Return of File Letter Sent</li> <li>• Resource Letter</li> <li>• Warning Letter</li> </ul>
Total Cases Closed by OCTC	Total of the previous three sections.
Average Pendency at Closure	Average age of cases that were closed by OCTC.
Median Pendency at Closure	Median age of cases that were closed by OCTC.
Cases Filed in State Bar Court	Number of OCTC cases that moved from a prefiling status to a post-filing status
Average Pendency at Filing	Average age of cases at time of filing in State Bar Court.
Median Pendency at Filing	Median age of cases at time of filing in State Bar Court.
Cases Remaining in OCTC at Year End	Number of OCTC cases open at the end of the year.
Average Pendency at Year End	Average age of cases that were open in OCTC at year end.
Median Pendency at Year End	Median age of cases that were open in OCTC at year end.
Cases Closed by State Bar Court with No Action	Number of cases closed by the State Bar Court without non-disciplinary or disciplinary action.

Type	Description
Cases Closed by State Bar Court with Non-disciplinary Action	Number of State Bar Court cases closed with “Admonition” status
Cases Closed with Discipline Imposed	Number of State Bar Court cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Public Reapproval</li> <li>• Private Reapproval</li> <li>• Actual Suspension</li> <li>• Stayed Suspension</li> <li>• Disbarment</li> </ul>
Total Cases Closed by State Bar Court	The total of the previous three sections.
Average Pendency at Closure	Average age of cases that were closed by State Bar Court.
Median Pendency at Closure	Median age of cases that were closed by State Bar Court.
Cases Remaining in State Bar Court at Year End	Number of State Bar Court cases open at the end of the year.
Average Pendency at Year End	Average age of cases that were open in State Bar Court at year end.

#### SR-5. Speed of Complaint Handling

##### Main Categories

Type	Description
Summary: All Case Types	Sum of all cases listed below.
Complaints	Discipline in other jurisdiction, <sup>98</sup> original complaints, and rule 9.20 violations (State Bar Court), except those with specific origins as noted below.
State Bar Initiated Inquiries	Original and discipline in other jurisdiction complaints initiated by the State Bar.
Probation Referrals	Probation violations, reapproval violations, rule 9.20 violations (Supreme Court). Also original complaints, and discipline in other jurisdiction, with a probation referral origin.
Reportable Actions, Self	Self-reported actions concerning contempt orders, insurance claims, sanction orders, judgments, reversal of judgments, multiple lawsuits, civil penalties, discipline by

<sup>98</sup> Case type definitions have been broadened to include these cases in order to improve data quality and transparency.



	other licensing agency or discipline in other jurisdiction.
Reportable Actions, Other	All other reportable actions, including actions from courts, banks, other licensing agencies, or insurance companies, concerning insufficient funds, contempt orders, insurance claims, sanction orders, judgments, reversal of judgments, prosecutor withholding exculpatory evidence, civil penalties, or discipline by other licensing agency.

#### Subcategories

Type	Description
Pendency at closure by OCTC with No Action <sup>99</sup> <ul style="list-style-type: none"> <li>Average</li> <li>Median</li> </ul>	Average and median age of cases closed by OCTC that were not closed with referral or with non-disciplinary action.
Pendency at closure by OCTC with Referral <ul style="list-style-type: none"> <li>Average</li> <li>Median</li> </ul>	Average and median age of OCTC cases closed with the following type of status: <ul style="list-style-type: none"> <li>Alternative Dispute Resolution</li> <li>Fee Arbitration Matter</li> <li>Family Support Referral</li> <li>Fee Arbitration Award Referral</li> <li>Referral</li> </ul>
Pendency at closure by OCTC with Non-disciplinary Action <ul style="list-style-type: none"> <li>Average</li> <li>Median</li> </ul>	Average and median age of OCTC cases closed with the following type of status: <ul style="list-style-type: none"> <li>Cease and Desist</li> <li>Communication</li> <li>Directional Letter</li> <li>Return of File Letter Sent</li> <li>Resource Letter</li> <li>Warning Letter</li> </ul>
Pendency at Closure by OCTC <ul style="list-style-type: none"> <li>Average</li> <li>Median</li> </ul>	Average and median age of cases that were closed by OCTC.
Pendency at SBC filing <ul style="list-style-type: none"> <li>Average</li> <li>Median</li> </ul>	Average and median age of cases at time of filing in State Bar Court.
Pendency at Year End in OCTC <ul style="list-style-type: none"> <li>Average</li> <li>Median</li> </ul>	Average and median age of cases that were open in OCTC at year end.

<sup>99</sup> Case aging metrics were added to be consistent with Table SR-2.

Type	Description
Pendency at closure by SBC with No Action* <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average and median age of cases closed by the State Bar Court without non-disciplinary or disciplinary action
Pendency at closure by SBC with nondisciplinary action <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average and median age of State Bar Court cases closed with “Admonition” status
Pendency at closure by SBC with disciplinary action <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average and median age of State Bar Court cases closed with the following type of status: <ul style="list-style-type: none"> <li>• Public Reprimand</li> <li>• Private Reprimand</li> <li>• Actual Suspension</li> <li>• Stayed Suspension</li> <li>• Disbarment</li> </ul>
Pendency at Closure by SBC <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average and median age of cases that were closed by State Bar Court.
Pendency at Year End in SBC <ul style="list-style-type: none"> <li>• Average</li> <li>• Median</li> </ul>	Average age of cases that were open in State Bar Court at year end.

## SR-6A. Formal Filings

### Main Categories

Type	Description
Notices of Disciplinary Charges	An event of “Notice of Disciplinary Charges Filed” entered in a case by OCTC.
Stipulations to Facts and Discipline	A status or event entered by State Bar Court indicating that a stipulation has been filed and approved, does not include cases that already had a notice of disciplinary charges filed. State Bar Court cases are linked back to their original OCTC cases in order to get the full case count.

	<p>Stipulations data are incomplete in OCTC's records. To capture the correct number of stipulations, OCTC filings are matched to State Bar Court filings and stipulations are counted from the State Bar Court filings.</p> <p>If a case has a stipulation and a Notice of Disciplinary Charges or a <b>Criminal Conviction</b> Transmittal, the case is not counted as a stipulation; the case is counted within Notice of Disciplinary Charges or <b>Criminal Conviction</b> Transmittals.</p>
Criminal Conviction Transmittals	A status triggered by a case being filed in State Bar Court. Only criminal conviction matters are included.

#### Subcategories

Type	Description
Number of Filings	Number of cases where a filing occurred.
Average Pendency at Filing	Average age of the cases at time of filing.
Median Pendency at Filing	Median age of the cases at time of filing.
Number of Attorneys <sup>100</sup>	Number of attorneys with respect to filings

### SR-6B. Formal Disciplinary Outcomes

#### Main Categories

Type	Description
Disbarment	An event entered in State Bar Court, that shows a disposition of disbarment, and has accompanying case close event.
Suspension Actual/Probation	An event entered in State Bar Court, that shows a disposition of suspension actual/probation, and has an accompanying case close event.
Suspension Stayed/Probation	An event entered in State Bar Court, that shows a disposition of suspension stayed/probation, and has an accompanying case close event.
Suspension (calendar year only)	A category no longer reported that represented a combination of the previous two sections.
Public Reprimand	An event entered in State Bar Court, that shows a disposition of public reprimand, and has an accompanying case close event.
Private Reprimand	An event entered in State Bar Court, that shows a disposition of private reprimand, and has an accompanying case close event.

<sup>100</sup> Attorney metric was added to be consistent with Table SR-6B.

#### Subcategories

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

#### SR-7A. Other Matters

##### Main Categories

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

#### Subcategories

Type	Description
Cases Opened	Number of cases that were opened.
Cases Reopened	Number of cases that went from a closed status to an open status, or has a reopen status.
Closed by OCTC without Filing	Number of cases that were closed by OCTC.
Average Pendency at Closure	Average age of cases that were closed by OCTC.
Median Pendency at Closure	Median age of cases that were closed by OCTC.

Type	Description
Cases Filed in State Bar Court	Number of OCTC cases that moved from a prefiling status to a post-filing status.
Average Pendency at Filing	Average age of cases at time of filing in State Bar Court.
Median Pendency at Filing	Median age of cases at time of filing in State Bar Court.
Cases Remaining in OCTC at Year End	Number of OCTC cases open at the end of the year.
Average Pendency at Year End	Average age of cases that were open in OCTC at year end.
Median Pendency at Year End	Median age of cases that were open in OCTC at year end.
Petitions Granted	<p>A count of one of the following events depending on the main category:</p> <ul style="list-style-type: none"> <li>• § 6180/6190 <ul style="list-style-type: none"> <li>○ Order issued by Superior Court granting interim order.</li> <li>○ Order issued by Superior Court granting permanent order.</li> </ul> </li> <li>• § 6007 <ul style="list-style-type: none"> <li>○ Closed – Post-filing – Granted.</li> </ul> </li> <li>• Fee Arbitration <ul style="list-style-type: none"> <li>○ Disposition transfer inactive arbitration enforcement.</li> <li>○ Disposition retransfer active arbitration enforcement.</li> </ul> </li> <li>• Probation Revocation <ul style="list-style-type: none"> <li>○ Disposition revoke probation/actual suspension.</li> <li>○ Disposition revoke probation/stayed suspension.</li> </ul> </li> </ul>
Petitions Denied	<p>A count of one of the following events depending on the main category:</p> <ul style="list-style-type: none"> <li>• § 6180/6190 <ul style="list-style-type: none"> <li>○ Order issued by Superior Court denying interim order.</li> <li>○ Order issued by Superior Court denying permanent order.</li> </ul> </li> <li>• § 6007 <ul style="list-style-type: none"> <li>○ Closed – Post-filing – Denied.</li> </ul> </li> <li>• Fee Arbitration <ul style="list-style-type: none"> <li>○ If no event for petition granted is found, then it will be counted as denied.</li> </ul> </li> </ul>

Type	Description
	<ul style="list-style-type: none"> <li>• Probation Revocation <ul style="list-style-type: none"> <li>○ If no event for petition granted is found, then it will be counted as denied</li> </ul> </li> </ul>
Total Cases Disposed by State Bar Court	The total of the petitions granted and denied.
Average Pendency at Disposition	Average age of cases that were closed by State Bar Court.
Median Pendency at Disposition	Median age of cases that were closed by State Bar Court.
Cases Remaining in State Bar Court at Year End	Number of State Bar Court cases open at the end of the year.
Average Pendency at Year End	Average age of cases that were open in State Bar Court at year end.
Median Pendency at Year End	Median age of cases that were open in State Bar Court at year end.

### SR-7B. Specified Dispositions

#### Main Categories

Type	Description
Admonitions	An event entered that shows a disposition of admonition.
Agreements in Lieu of Discipline	A status entered by OCTC, that shows an agreement in lieu of discipline.
Warning Letters	An event entered in OCTC, that shows a disposition of a warning letter sent.
Directional Letters <sup>101</sup>	An event entered in OCTC, that shows a disposition of a directional letter sent.
Resource Letters <sup>102</sup>	An event entered in OCTC, that shows a disposition of a resource letter sent.
Private Reprovals	An event entered in State Bar Court, that shows a disposition of private reproof, and has an accompanying case close event.

#### Subcategories

Type	Description
Number of Cases	Number of cases where the disposition occurred.
Average Pendency	Average age of the cases at time the disposition occurred.

<sup>101</sup> Directional letters were added to ensure all disposition cases were included for data quality and transparency.

<sup>102</sup> Resource letters were added to ensure all disposition cases were included for data quality and transparency.

Median Pendency	Median age of the cases at time the disposition occurred.
Number of Attorneys	Number of attorneys that received the disposition.

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

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

##### **Main Categories**

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

##### **Subcategories**

<b>Type</b>	<b>Description</b>
Cases Opened	Number of cases that were opened.
Cases Closed without Filing	Number of cases that were closed by OCTC.
Average Pendency at Closure	Average age of cases that were closed by OCTC.
Median Pendency at Closure	Median age of cases that were closed by OCTC.
Cases Filed in Superior Court	Number of cases that moved from a prefiling to status to a post-filing status.
Average Pendency at Filing	Average age of cases at time of filing in Superior Court.
Median Pendency at Filing	Median age of cases at time of filing in Superior Court.
Cases Remaining in OCTC at Year End	Number of OCTC cases open at the end of the year.
Average Pendency at Year End	Average age of cases that were open in OCTC at year end.
Median Pendency at Year End	Median age of cases that were open in OCTC at year end.
Petitions Granted	A case with the either one of the following events: <ul style="list-style-type: none"> <li>• Order Issued by Superior Court Granting Interim Order</li> <li>• Order Issued by Superior Court Granting Permanent Order</li> </ul>
Average Pendency at Petition Granted	Average age of cases at time petition was granted.
Median Pendency at Petition Granted	Median age of cases at time petition was granted.

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

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

##### Main Category

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

##### Subcategories

Type	Description
Felony Convictions	The count of felony convictions.
Cases Filed in State Bar Court	The count of cases that were submitted by OCTC to State Bar Court.
Average Days from Conviction to Filing in Court	Calculation of the average age of cases that were submitted by OCTC to State Bar Court.
Median Days from Conviction to Filing in Court	Calculation of the median age of cases that were submitted by OCTC to State Bar Court.
Cases Disposed in State Bar Court	The count of cases that were disposed by State Bar Court.
Average Days from Filing to Disposition in Court	Calculation of the average age of cases at time of disposition in State Bar Court.
Median Days from Filing to Disposition in Court	Calculation of the median age of cases at time of disposition in State Bar Court.



Type	Description
SBC Dispositions	
Disbarment	An event entered in State Bar Court, that shows a disposition of disbarment, and has accompanying case close event.
Dismissal	An event entered in State Bar Court, that shows a disposition of dismissal, and has an accompanying case close event.
Suspension Actual/Probation	An event entered in State Bar Court, that shows a disposition of suspension actual/probation, and has an accompanying case close event.
Suspension Stayed/Probation	An event entered in State Bar Court, that shows a disposition of suspension stayed/probation, and has an accompanying case close event.
Suspension	A category no longer reported that represented a combination of the previous two sections.
Public Repeval	An event entered in State Bar Court, that shows a disposition of public reprobation, and has an accompanying case close event.
Private Repeval	An event entered in State Bar Court, that shows a disposition of private reprobation, and has an accompanying case close event.
Termination Due to Resignation	An event entered in State Bar Court, that shows a disposition of termination due to resignation, and has an accompanying case close event.
Termination Due to Death	An event entered in State Bar Court, that shows a disposition of termination due to death, and has an accompanying case close event.

#### SR-10B. Conviction Transmittals

##### Main Category

Type	Method
Conviction Transmittals	Cases that are Felony or Misdemeanor that are transmitted to State Bar Court.

##### Subcategories

Type	Description
Conviction transmittals	Count of transmittals sent during the period.
Number meeting 30-day transmittal	Number of transmittals that were sent within 30 days of receipt.
% meeting 30-day transmittal	Percentage of transmittals that were sent within 30 days of receipt.

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

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

**This is a new table added per SB211, sections 6086.15(a)(12) and 6094.5(d).**

#### SR-11. Demand Letters Received

##### Main Categories

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

#### SR-12. Insurance Fraud

##### Main Categories

Type	Description
Workers' Compensation	Number of suspected Workers' Compensation fraud cases.
Motor Vehicle	Number of suspected automobile insurance fraud cases.
Disability	Number of suspected disability insurance fraud cases.

##### Subcategories

Type	Description
Investigations Initiated	Number of cases investigated.
Suspended Pending Disbarment	Number of cases that resulted in suspension, pending disbarment.
Suspended Pending Criminal Proceedings	Number of cases that resulted in suspension, pending

Type	Description
	criminal proceedings.
Closed by OCTC with No Action	Number of OCTC closed cases that were closed with no referral and/or with no other non-disciplinary action.
Pending in Investigation at Year End	Number of cases pending in investigation at year end.
Referrals to Fraud Division	Number of cases referred to the Fraud Division.
Referrals to Law Enforcement	Number of cases referred to other law enforcement agencies.

### SR-13. Financial Services Complaints

#### Main Categories

Type	Description
	No data reported as no complaints have been received since 2015

### SR-14. Client Security Fund

#### Main Categories

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

### SR-15. Cost of the Discipline System

#### Main Categories

Type	Description
Chief Trial Counsel	Total cost incurred by the Chief Trial Counsel.
Probation	Total cost incurred by Probation.
Mandatory Fee Arbitration	Total Mandatory Fee Arbitration program cost.
State Bar Court	Total cost incurred by the State Bar Court.
Professional Competence	Total Professional Competence program cost.
Attorney Regulation and Consumer Resources	Total cost for Attorney Regulation and Consumer Resources.

Type	Description
Communications (70%)	Total cost of Office of Communications resources devoted to help Californians understand how to access the resources of the discipline system and to ensure that attorneys understand their professional ethical obligations.
Licensee Billing (73%)	Total cost of collecting licensing fees and discipline costs incurred by Office of Finance.
General Counsel (76.3%)	Total cost of Office of General Counsel resources dedicated to supporting The State Bar's discipline programs.