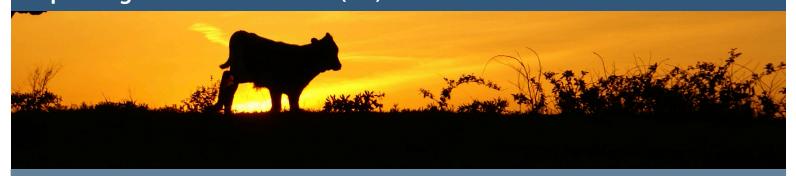
Compliance & Enforcement/Appeals SummaryReporting Period: Fiscal Year (FY) 2017



COMPLIANCE	& FNFORCEMENT:	AVEBALL	
TOWNER DANKE			

	Q1 (Oct 2016 - Dec 2016)	Q2 (Jan 2017 - Mar 2017)	Q3 (Apr 2017 - Jun 2017)
Incoming Complaints	64	121	67
Completed Complaint Reviews and Investigations	21	48	196
APPEALS: OVERALL SUMMARY ¹ (Refer to <u>NC</u>	P 4011: Adverse Action Appeal	<u>Process</u> for more information	on)
Number of Incoming	12	11	12
Appeals by Disposition			
Decisions	1	0	3
Dismissals	0	0	0
Referrals	0	1	0
Closures	4	0	2
SUMMARY OF INITIAL ACTIONS TAKEN			
Cease & Desist Orders	3	3	7
Notices of Warning	4	25	39
Investigation Referrals	3	15	91
SUSPENSIONS AND REVOCATIONS OF CERT	FICATION (NOP and Certifier In	tiated)	
Operation Certification Suspensions	73	52	56

Operation Certification Revocations	2	2	7
Operation Certification Suspensions	/3	52	56

SUMMARY OF DISPOSITIONS (All NOP)

Total # of Settlement Agreements ²	6	9	12
Total # of Consent Decisions	0	0	1
Total Amount Civil Penalties Levied 3	\$45,000	\$38,250	\$56,500

ADMINISTRATIVE PROCEEDING NOTES

General Notes:

- 1. Total reflects appeals closed in FY 2017 regardless of when cases were initiated.
- 2. Not all settlement agreements include civil penalties and not all civil penalties were levied via settlement agreements.
- 3. Total reflects the amount of penalties initially levied. Amounts may change during negotiation of settlements and individual penalty payments may be outstanding.

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