



## **Staff Reports for January 2016**

## Reception and Communication Services Division

### Incoming Calls

	Sep-15	Oct-15	Nov-15	Dec-15	Jan-16	Feb-16	Mar-16	Apr-16	May-16	Jun-16	Jul-16	Aug-16	FYTD Total 2016
Local Lines	16,624	15,445	15,557	16,835	21,161								85,622
<b>TALCB LL</b>	<b>947</b>	<b>916</b>	<b>1,033</b>	<b>1,079</b>	<b>1,337</b>								<b>5,312</b>
<b>Total Calls</b>	<b>17,571</b>	<b>16,361</b>	<b>16,590</b>	<b>17,914</b>	<b>22,498</b>								<b>90,934</b>

### Walk Ins

	Sep-15	Oct-15	Nov-15	Dec-15	Jan-16	Feb-16	Mar-16	Apr-16	May-16	Jun-16	Jul-16	Aug-16	FYTD Total 2016
Licensing	131	108	145	154	176								714
Education	26	22	24	25	41								138
Inspector	3	17	10	10	11								51
Enforcement	6	3	4	10	10								33
<b>TALCB Lic</b>	<b>3</b>	<b>6</b>	<b>1</b>	<b>1</b>	<b>6</b>								<b>17</b>
<b>TALCB Enf</b>	<b>3</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>1</b>								<b>10</b>
<b>Total</b>	<b>172</b>	<b>159</b>	<b>186</b>	<b>201</b>	<b>245</b>								<b>963</b>

### Emails

	Sep-15	Oct-15	Nov-15	Dec-15	Jan-16	Feb-16	Mar-16	Apr-16	May-16	Jun-16	Jul-16	Aug-16	FYTD Total 2016
Licensing	5,023	4,113	4,058	5,227	6,091								24,512
Education	1,066	938	785	1,065	1,272								5,126
Inspector	84	50	39	38	17								228
Enforcement	117	108	125	128	135								613
<b>TALCB Lic</b>	<b>289</b>	<b>286</b>	<b>280</b>	<b>341</b>	<b>400</b>								<b>1,596</b>
<b>TALCB Enf</b>	<b>16</b>	<b>15</b>	<b>49</b>	<b>17</b>	<b>7</b>								<b>104</b>
<b>Total</b>	<b>6,595</b>	<b>5,510</b>	<b>5,336</b>	<b>6,816</b>	<b>7,922</b>								<b>32,179</b>

## Customer Service Surveys

FY2016	Surveys Received	Responded by Email	Responded by Phone	Anonymous (No Contact Info)
September	14	10	1	3
October	17	9	1	7
November	15	7	3	5
December	21	9	3	9
January	46	14	11	21
February				
March				
April				
May				
June				
July				
August				
Grand Total	113	49	19	45

C2 Report

**TEXAS APPRAISER LICENSING AND CERTIFICATION BOARD**  
**ACTIVE CERTIFICATIONS AND LICENSES**

FISCAL YEAR	END OF MONTH	GENERAL	RESIDENTIAL	LICENSE	PROVISIONAL	TOTAL G.R.L. & P	G.R.L. & P CHANGE	TRAINEE	TRAINEE CHANGE	TOTAL	TOTAL CHANGE
FY-2013	Sep12	2,382	2,388	512	9	5,291	10	534	19	5,825	29
	Oct12	2,385	2,389	509	8	5,291	0	531	-3	5,822	-3
	Nov12	2,386	2,387	509	7	5,289	-2	534	3	5,823	1
	Dec12	2,390	2,381	501	6	5,278	-11	550	16	5,828	5
	Jan13	2,377	2,380	502	6	5,265	-13	576	26	5,841	13
	Feb13	2,379	2,377	499	4	5,259	-6	591	15	5,850	9
	Mar13	2,382	2,374	490	3	5,249	-10	607	16	5,856	6
	Apr13	2,378	2,373	484	2	5,237	-12	634	27	5,871	15
	May13	2,369	2,371	482	2	5,224	-13	657	23	5,881	10
	Jun13	2,368	2,369	480	2	5,219	-5	682	25	5,901	20
	Jul13	2,359	2,367	477	2	5,205	-14	702	20	5,907	6
	Aug13	2,367	2,371	470	2	5,210	5	724	22	5,934	27
FY-2014	Sep13	2,368	2,375	467	1	5,211	1	741	17	5,952	18
	Oct13	2,367	2,381	467	1	5,216	5	767	26	5,983	31
	Nov13	2,371	2,381	467	1	5,220	4	781	14	6,001	18
	Dec13	2,374	2,380	466	1	5,221	1	792	11	6,013	12
	Jan14	2,363	2,382	461	1	5,207	-14	786	-6	5,993	-20
	Feb14	2,365	2,379	457	N/A	5,201	-6	780	-6	5,981	-12
	Mar14	2,368	2,385	453	N/A	5,206	5	788	8	5,994	13
	Apr14	2,373	2,393	454	N/A	5,220	14	783	-5	6,003	9
	May14	2,375	2,399	457	N/A	5,231	11	779	-4	6,010	7
	Jun14	2,378	2,401	451	N/A	5,230	-1	777	-2	6,007	-3
	Jul14	2,377	2,403	454	N/A	5,234	4	766	-11	6,000	-7
	Aug14	2,386	2,405	453	N/A	5,244	10	760	-6	6,004	4
FY-2015	Sep14	2,393	2,407	451	N/A	5,251	7	767	7	6,018	14
	Oct14	2,402	2,418	448	N/A	5,268	17	766	-1	6,034	16
	Nov14	2,407	2,415	440	N/A	5,262	-6	749	-17	6,011	-23
	Dec14	2,409	2,431	442	N/A	5,282	20	756	7	6,038	27
	Jan15	2,405	2,437	446	N/A	5,288	6	767	11	6,055	17
	Feb15	2,417	2,437	442	N/A	5,296	8	760	-7	6,056	1
	Mar15	2,423	2,445	444	N/A	5,312	16	761	1	6,073	17
	Apr15	2,408	2,451	442	N/A	5,301	-11	763	2	6,064	-9
	May15	2,404	2,444	436	N/A	5,284	-17	761	-2	6,045	-19
	Jun15	2,413	2,436	432	N/A	5,281	-3	773	12	6,054	9
	Jul15	2,409	2,424	432	N/A	5,265	-16	774	1	6,039	-15
	Aug15	2,408	2,415	434	N/A	5,257	-8	779	5	6,036	-3
FY-2016	Sep15	2,406	2,417	428	N/A	5,251	-6	786	7	6,037	1
	Oct15	2,414	2,418	431	N/A	5,263	12	791	5	6,054	17
	Nov15	2,417	2,420	430	N/A	5,267	4	793	2	6,060	6
	Dec15	2,419	2,425	430	N/A	5,274	7	795	2	6,069	9
	Jan16	2,420	2,422	428	N/A	5,270	-4	794	-1	6,064	-5

(January 2016: Temporary Out of State Appraisers = 1,051; Inactive Appraisers = 145)

**APPRAISAL MANAGEMENT COMPANY REGISTRATIONS**  
January 2016

	Month	Paper Apps. Received	Online Apps. Received	Total Apps. Received	Total AMC Registrations Issued	Total AMC Renewals Issued
<b>FY-2012</b>	Mar-12	18	4	22	0	
	Apr-12	16	5	21	0	
	May-12	25	16	41	44	
	Jun-12	53	14	67	65	
	Jul-12	13	6	19	53	
	Aug-12	5	1	6	7	
<b>FY- 2013</b>	Sep-12	0	1	1	3	
	Oct-12	0	3	3	5	
	Nov-12	2	1	3	2	
	Dec-12	1	2	3	4	
	Jan-13	0	0	0	2	
	Feb-13	1	0	1	0	
	Mar-13	0	0	0	0	
	Apr-13	1	1	2	0	
	May-13	0	0	0	1	
	Jun-13	0	1	1	4	
	Jul-13	0	1	1	1	
	Aug-13	1	1	2	1	
<b>FY- 2014</b>	Sep-13	0	3	3	2	
	Oct-13	0	1	1	2	
	Nov-13	0	0	0	0	
	Dec-13	0	1	1	0	0
	Jan-14	0	0	0	1	1
	Feb-14	0	0	0	0	5
	Mar-14	0	2	2	2	9
	Apr-14	1	0	1	2	18
	May-14	1	1	2	0	28
	Jun-14	1	1	2	4	38
	Jul-14	0	0	0	0	24
	Aug-14	0	0	0	0	15
<b>FY- 2015</b>	Sep-14	1	1	2	1	4
	Oct-14	0	0	0	1	2
	Nov-14	1	1	2	2	2
	Dec-14	3	1	4	1	0
	Jan-15	3	0	3	1	1
	Feb-15	0	0	0	5	1
	Mar-15	1	0	1	0	0
	Apr-15	0	1	1	0	1
	May-15	0	0	0	1	0
	Jun-15	0	0	0	1	0
	Jul-15	1	0	1	1	6
	Aug-15	1	1	2	1	0
<b>FY-2016</b>	Sep-15	1	0	1	0	1
	Oct-15	0	0	0	2	2
	Nov-15	2	0	2	1	0
	Dec-15	1	0	1	0	0
	Jan-16	2	0	2	2	1
<b>TOTALS</b>		<b>156</b>	<b>71</b>	<b>227</b>	<b>225</b>	<b>159</b>

Registrations Surrendered as of January 2016 -13  
Registrations Revoked as of January 2016 -3  
Registrations Expired > 6 months as of January 2016 -26

**TOTAL AMC REGISTRATIONS**

**183**

# Education & Licensing Services Division - TALCB

## Fiscal Year Comparison

Fiscal Year - 2016

JANUARY

	This YTD 09/15 - 01/16	Last YTD 09/14 - 01/15	Count	Change Percent
<b>Original Applications Received</b>				
Certified General Applications	44	67	-23	-34.33%
Certified Residential Applications	40	88	-48	-54.55%
Licensed Residential Applications	27	36	-9	-25.00%
Appraiser Trainee Applications	132	106	26	24.53%
Non-Residential Temporary Applications	108	104	4	3.85%
<b>Total Original Applications</b>	<b>351</b>	<b>401</b>	<b>-50</b>	<b>-12.47%</b>
<b>Licenses Issued from Original Applications</b>				
Certified General Licenses	60	65	-5	-7.69%
Certified Residential Licenses	74	82	-8	-9.76%
Licensed Residential Licenses	29	32	-3	-9.38%
Appraiser Trainee Licenses	110	92	18	19.57%
Non-Residential Temporary Licenses	108	100	8	8.00%
<b>Total Licenses from Original Applications</b>	<b>381</b>	<b>371</b>	<b>10</b>	<b>2.70%</b>
<b>Licenses Issued from Renewal Applications</b>				
Certified General Renewals	492	479	13	2.71%
Certified Residential Renewals	588	443	145	32.73%
Licensed Residential Renewals	95	118	-23	-19.49%
Appraiser Trainee Renewals	123	208	-85	-40.87%
<b>Total Renewal Licenses Issued</b>	<b>1,298</b>	<b>1,248</b>	<b>50</b>	<b>4.01%</b>
<b>Licenses Issued from Reinstatement Applications</b>				
Certified General Reinstatements	2	10	-8	-80.00%
Certified Residential Reinstatements	2	4	-2	-50.00%
Licensed Residential Reinstatements	2	2	0	0.00%
Appraiser Trainee Reinstatements	6	6	0	0.00%
<b>Total Reinstatement Licenses Issued</b>	<b>12</b>	<b>22</b>	<b>-10</b>	<b>-45.45%</b>

## Examination Activity - Fiscal Year 2015-2016

### YEAR-TO-DATE RESULTS: SEPTEMBER 2015 thru January 2016

	Licensed Residential	Certified Residential	Certified General	Overall Pass Rate	Overall Failure Rate
Examinations Passed	20	21	18	59	
Examinations Failed	17	24	9		50
<b>Examinations Taken</b>	37	45	27	109	109
Examination Pass Rate (%)	54.05%	46.67%	66.67%	54.13%	45.87%

All examination types	
Total first time candidates:	57
Total repeat candidates:	52
Total pass:	59
Total fail:	50
Total examinations taken:	109

## Examination Activity - Fiscal Year 2015-2016

### MONTHLY RESULTS: January 2016

	Licensed Residential	Certified Residential	Certified General	Overall Pass Rate	Overall Failure Rate
Examinations Passed	5	4	3	12	
Examinations Failed	2	3	0		5
<b>Examinations Taken</b>	7	7	3	17	17
Examination Pass Rate (%)	71.43%	57.14%	100.00%	70.59%	29.41%

All examination types	
Total first time candidates:	8
Total repeat candidates:	9
Total pass:	12
Total fail:	5
Total examinations taken:	17

## EXAMINATION ACTIVITY

### FISCAL YEAR-TO-DATE COMPARISON JANUARY

	<u>January 2016</u> <u>Pass Rate</u>	<u>January 2015</u> <u>Pass Rate</u>
Certified General Appraiser	66.6%	65.6%
Certified Residential Appraiser	46.6%	60.4%
Licensed Residential Appraiser	54.0%	42.2%
Overall Appraiser Pass Rate	54.1%	56.5%



## Information Technology Services Division

### Electronic Information Outlet Statistics

January 2016

Website	Current Month	FYTD Total	Prior FYTD Total
Total Pages Viewed	1,173,464	4,677,498	646,719
Total Monthly Unique Visitors	32,606	139,986	46,220

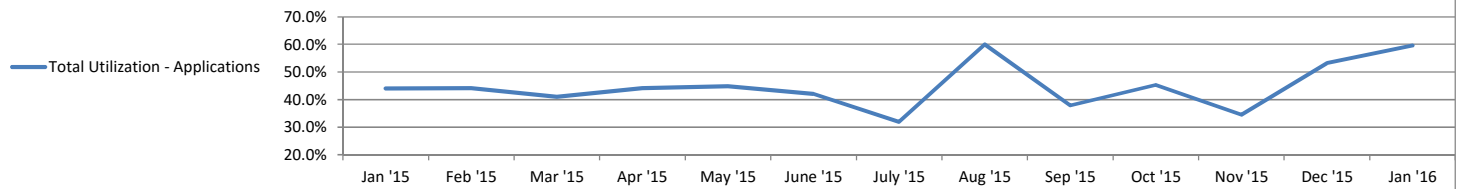
Online Transactions	Total	Online	Online Percent	FYTD Online Percent	Prior FYTD Percent
<b>Applications</b>	<b>47</b>	<b>28</b>	<b>59.6%</b>	<b>47.4%</b>	<b>77.5%</b>
AMC	2	0	0.0%	20.0%	50.0%
Certified General Appraiser	13	6	46.2%	18.0%	14.1%
Certified Residential Appraiser	7	2	28.6%	24.4%	23.1%
State Licensed Appraiser	5	2	40.0%	37.5%	52.9%
Appraiser Trainee	20	18	90.0%	76.3%	59.6%
<b>Renewals</b>	<b>260</b>	<b>234</b>	<b>90.0%</b>	<b>91.3%</b>	<b>87.2%</b>
AMC	1	1	100.0%	100.0%	77.8%
Certified General Appraiser	108	91	84.3%	89.3%	89.7%
Certified Residential Appraiser	130	123	94.6%	93.4%	93.6%
State Licensed Appraiser	10	9	90.0%	88.0%	62.8%
Appraiser Trainee	11	10	90.9%	91.1%	70.9%
<b>AMC Panel Transactions</b>	<b>599</b>	<b>599</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>
Additions	556	556	100.0%	100.0%	100.0%
Removals	43	43	100.0%	100.0%	100.0%

## Information Technology Services Division Electronic Information Outlet Statistics

January 2016

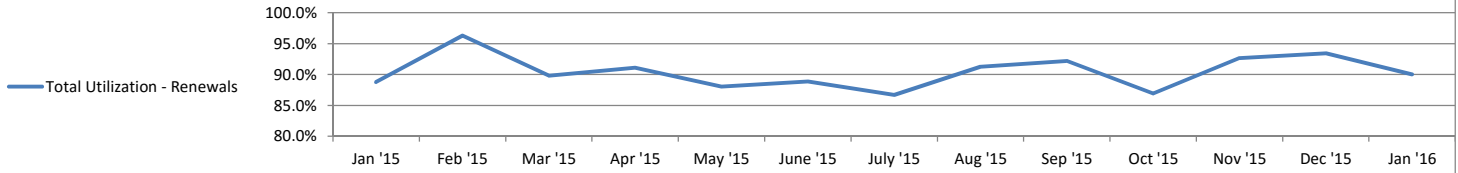
Applications	Jan '15	Feb '15	Mar '15	Apr '15	May '15	June '15	July '15	Aug '15	Sep '15	Oct '15	Nov '15	Dec '15	Jan '16
AMC	100.0%	60.0%	0.0%	0.0%	0.0%	100.0%	100.0%	0.0%	0.0%	50.0%	0.0%	0.0%	0.0%
Certified General Appraiser	11.1%	20.0%	10.0%	0.0%	10.0%	33.3%	6.3%	66.7%	0.0%	8.3%	14.3%	10.0%	46.2%
Certified Residential Appraiser	18.8%	14.3%	16.7%	26.7%	50.0%	0.0%	0.0%	0.0%	11.1%	40.0%	14.3%	25.0%	28.6%
State Licensed Appraiser	66.7%	0.0%	33.3%	33.3%	0.0%	50.0%	50.0%	71.4%		20.0%	0.0%	75.0%	40.0%
Appraiser Trainee	72.2%	80.0%	85.7%	76.9%	88.9%	64.7%	64.7%	64.7%	65.0%	70.8%	66.7%	85.7%	90.0%
<b>Total Utilization - Applications</b>	<b>44.0%</b>	<b>44.2%</b>	<b>41.0%</b>	<b>44.1%</b>	<b>44.8%</b>	<b>42.1%</b>	<b>31.9%</b>	<b>60.0%</b>	<b>37.8%</b>	<b>45.3%</b>	<b>34.5%</b>	<b>53.2%</b>	<b>59.6%</b>

### Utilization Online Application Services



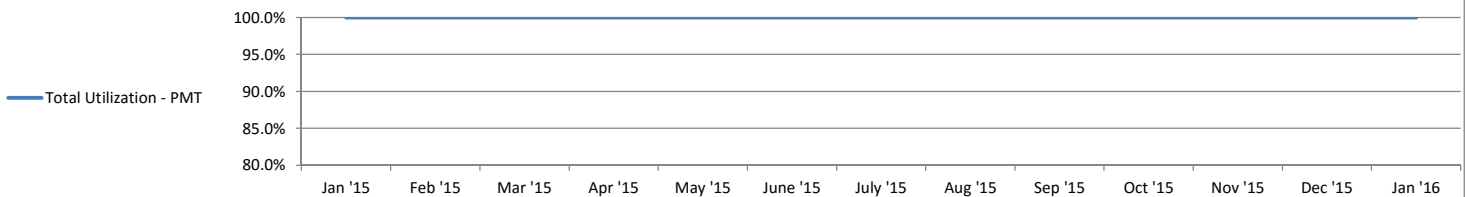
Renewals	Jan '15	Feb '15	Mar '15	Apr '15	May '15	June '15	July '15	Aug '15	Sep '15	Oct '15	Nov '15	Dec '15	Jan '16
AMC	100.0%	100.0%	0.0%	100.0%	0.0%		83.3%	0.0%	100.0%	100.0%		0.0%	100.0%
Certified General Appraiser	91.4%	93.3%	86.9%	89.1%	81.4%	86.7%	87.2%	90.1%	87.9%	87.7%	93.0%	92.4%	84.3%
Certified Residential Appraiser	97.3%	100.0%	96.0%	93.6%	95.6%	91.7%	93.0%	93.2%	95.2%	86.6%	94.3%	94.7%	94.6%
State Licensed Appraiser	50.0%	88.9%	82.6%	83.3%	100.0%	92.3%	83.3%	90.0%	93.8%	75.0%	83.3%	92.0%	90.0%
Appraiser Trainee	84.6%	100.0%	88.9%	100.0%	87.5%	83.3%	84.6%	85.7%	85.7%	93.3%	83.3%	94.1%	90.9%
<b>Total Utilization - Renewals</b>	<b>88.8%</b>	<b>96.3%</b>	<b>89.8%</b>	<b>91.1%</b>	<b>88.0%</b>	<b>88.9%</b>	<b>86.7%</b>	<b>91.3%</b>	<b>92.2%</b>	<b>86.9%</b>	<b>92.7%</b>	<b>93.4%</b>	<b>90.0%</b>

### Utilization Online Renewal Services



PMT	Jan '15	Feb '15	Mar '15	Apr '15	May '15	June '15	July '15	Aug '15	Sep '15	Oct '15	Nov '15	Dec '15	Jan '16
AMC Panel Invitations	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
AMC Panel Removals	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
<b>Total Utilization - PMT</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>

### Utilization Online Panel Management Tool



**Staff & Support Services Division**

**TALCB Budget Status Report**

**January 2016**

7/12 = 58.34%

Expenditure Category	Budget FY2016	Expenditures	Balance	Budget % Remaining	Comments
Salaries & Wages	\$875,842	\$323,701	\$552,141	63.0%	
Employee Benefits	277,440	104,905	172,535	62.2%	
Retiree Insurance	39,600	11,867	27,733	70.0%	
Other Personnel Costs	25,220	6,190	19,030	75.5%	Lump sum budget not yet expended
Professional Fees & Services	77,550	22,707	54,843	70.7%	
Consumables	7,500	1,904	5,596	74.6%	
Utilities	1,740	796	944	54.3%	
Travel	30,000	7,370	22,630	75.4%	
Office Rent	37,625	26,479	11,146	29.6%	Office rent paid for the year. No other exp anticipated
Equipment Rental	14,138	1,443	12,695	89.8%	PC Lease not yet expended
Registration & Membership	16,125	3,144	12,981	80.5%	
Maintenance & Repairs	12,267	12,110	157	1.3%	Versa annual maintenance
Reproduction & Printing	1,600	21	1,579	98.7%	
Contract Services	29,540	1,544	27,996	94.8%	Court reporters, transcripts, subpoenas
Postage	6,350	2,400	3,950	62.2%	
Supplies & Equipment	6,500	810	5,690	87.5%	
Communication Services	8,246	2,648	5,598	67.9%	
Other Operating Expenses	4,342	790	3,552	81.8%	
<b>Subtotal -Operations Expenditures</b>	<b>1,471,625</b>	<b>530,829</b>	<b>940,796</b>	<b>63.9%</b>	
DPS Criminal History Background Checks	3,000	1,058	1,942	64.7%	
Statewide Cost Allocation Plan (SWCAP)	45,000	10,258	34,742	77.2%	2nd qtr pymt due 2/27/16
Contribution to General Revenue	30,000	12,500	17,500	58.3%	% allocated monthly but pmt not due until 8/31/16
<b>Subtotal - Nonoperational Expenditures</b>	<b>78,000</b>	<b>23,816</b>	<b>54,184</b>	<b>69.5%</b>	
<b>Total Expenditures</b>	<b>\$1,549,625</b>	<b>\$554,645</b>	<b>\$994,980</b>	<b>64.2%</b>	

Revenue	FY2016 Projected	Revenue Collected	Revenue Remaining to be Collected	Revenue % Remaining to be Collected	Comments
License Fees	\$1,084,345	\$465,535	\$618,810	57.1%	
AMCs	749,580	80,290	\$669,290	89.3%	Majority of renewals occur in last quarter
Administrative Penalties	45,000	38,400	\$6,600	14.7%	
Other Miscellaneous Revenue	26,280	9,465	\$16,815	64.0%	Exam Admin Fees/NSF fees/Misc/Public Info fees
<b>Total Revenue</b>	<b>\$1,905,205</b>	<b>\$593,690</b>	<b>\$1,311,515</b>	<b>68.8%</b>	

	FY16 Carry Forward	Allocated Amount	Remaining to be Allocated	Carry Forward % Remaining	This is estimated AMC revenues collected in FY16 that will be set aside for FY17 budget.
<b>AMC Revenue Carry Forward from FY15</b>	<b>(\$290,054)</b>	<b>(\$120,855.83)</b>	<b>(\$169,198)</b>	<b>58.3%</b>	<b>Pro-rated thru January</b>

**Staff & Support Services Division**

**TALCB Budget Status Report**

**January 2016**

Revenue Over/(Under) Expenditures & Transfers	\$65,526	(\$81,811)		Includes AMC Carry Forward
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## Staff Services Division

### Tx Appraiser Licensing & Certification Board Operating Account No. 3056 Investments Current Securities

January 2016

Purchase Date	Par Value	Purchase Price	Beginning Market Value	Additions Changes	Ending Market Value	Accrued Interest	Description	Maturity Date
12/24/2015	150,000.00	149,911.72	149,766.00	228.00	149,994.00	122.95	U.S. T-Notes, 0.63%	12/15/2016
12/04/2014	100,000.00	100,484.97	99,992.00	24.00	100,016.00	65.57	U.S. T-Notes, 0.50%	06/15/2016
07/16/2015	100,000.00	100,839.34	100,125.00	66.00	100,191.00	334.13	U.S. T-Notes, 0.88%	09/15/2016
<b>Totals</b>	<b>\$ 350,000.00</b>	<b>\$ 351,236.03</b>	<b>\$ 349,883.00</b>	<b>\$ 318.00</b>	<b>\$ 350,201.00</b>	<b>\$ 522.65</b>		

**Receipts:**

Treasury Note Earnings

**Current Month**

0.00

**FY2016**

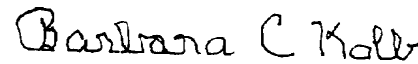
**Cumulative Total**

812.50

Investment Compliance: These investments have been made in compliance with the Board's Investment Policy.



Melissa Huerta, Investment Officer



Barbara Kolb, Alternate Investment Officer

# TALCB Standards & Enforcement Services

## CASE STATUS REPORT as of JAN 31, 2016

### # of Cases Received

Case Classification	FY2014	FY2015	15-Sep	15-Oct	15-Nov	15-Dec	16-Jan	16-Feb	16-Mar	16-Apr	16-May	16-Jun	16-Jul	16-Aug	FYTD
<b>Complaint Category:</b>															
AMCs	12	1	0	0	0	0	2								2
Dodd Frank	16	22	0	0	0	4	0								4
Ethics	5	4	0	0	0	0	0								0
USPAP	114	149	22	12	10	6	10								60
Other	4	11	1	1	0	0	0								2
No Jurisdiction	0	4	2	2	0	0	0								4
	<b>151</b>	<b>191</b>	<b>25</b>	<b>15</b>	<b>10</b>	<b>10</b>	<b>12</b>							<b>SUB:</b>	<b>72</b>
<b>Experience Audits</b>	155	161	19	14	11	6	12								62
<b>RFAs &amp; Covert Complaints</b>	3	13	0	0	2	0	3								5
<b>MCD Inquiries</b>	4	3	0	0	0	1	0								1
	<b>162</b>	<b>177</b>	<b>19</b>	<b>14</b>	<b>13</b>	<b>7</b>	<b>15</b>							<b>SUB:</b>	<b>68</b>
<b>Opened During FY Year   Month</b>	<b>313</b>	<b>368</b>	<b>44</b>	<b>29</b>	<b>23</b>	<b>17</b>	<b>27</b>								<b>140</b>

### # of Cases Closed

Case Disposition	FY2014	FY2015	15-Sep	15-Oct	15-Nov	15-Dec	16-Jan	16-Feb	16-Mar	16-Apr	16-May	16-Jun	16-Jul	16-Aug	FYTD
Surrendered	4	5	0	0	4	0	0								4
Agreed Final Order / Final Order	44	42	0	0	20	0	1								21
Other Disciplinary Action	3	5	0	0	0	0	0								0
Insufficient Evidence	0	2	0	0	0	0	0								0
Dismissed	110	98	12	10	12	9	9								52
No Jurisdiction	0	5	1	3	2	0	0								6
	<b>161</b>	<b>157</b>	<b>13</b>	<b>13</b>	<b>38</b>	<b>9</b>	<b>10</b>							<b>SUB:</b>	<b>83</b>
<b>Experience Audits</b>	131	171	8	12	10	19	15								64
<b>RFAs</b>	14	10	0	0	0	1	0								1
<b>MCD Inquiries</b>	3	5	0	0	0	0	0								0
	<b>148</b>	<b>186</b>	<b>8</b>	<b>12</b>	<b>10</b>	<b>20</b>	<b>15</b>							<b>SUB:</b>	<b>65</b>
<b>Closed During FY Year   Month</b>	<b>309</b>	<b>343</b>	<b>21</b>	<b>25</b>	<b>48</b>	<b>29</b>	<b>25</b>								<b>148</b>

Total Cases Open as of 1/31/16:

116

## TALCB Standards & Enforcement Services

### AMC CASE STATUS REPORT as of JAN 31, 2016

# of Cases Received															
Case Classification	FY2014	FY2015	15-Sep	15-Oct	15-Nov	15-Dec	16-Jan	16-Feb	16-Mar	16-Apr	16-May	16-Jun	16-Jul	16-Aug	FYTD
Complaint Category:															
AMC Compliance	0	0	0	0	0	0	0								0
Dodd Frank	0	0	0	0	0	0	0								0
Ethics	1	0	0	0	0	0	0								0
USPAP	9	7	0	0	0	0	0								0
Other	1	0	0	0	0	0	2								2
No Jurisdiction	0	1	0	1	0	0	0								1
	11	8	0	1	0	0	2	SUB:							3
RFAs & Covert Complaints	0	0	0	0	0	0	0								0
Opened During FY Year   Month	11	8	0	1	0	0	2								3

# of Cases Closed															
Case Disposition	FY2014	FY2015	15-Sep	15-Oct	15-Nov	15-Dec	16-Jan	16-Feb	16-Mar	16-Apr	16-May	16-Jun	16-Jul	16-Aug	FYTD
Surrendered	0	0	0	0	0	0	0								0
Agreed Final Order	0	0	0	0	0	0	0								0
Other Disciplinary Action	2	0	0	0	0	0	0								0
Insufficient Evidence	0	0	0	0	0	0	0								0
Dismissed	7	6	1	1	1	0	1								4
No Jurisdiction	0	1	0	1	0	0	0								1
	9	7	1	2	1	0	1							SUB:	5
RFAs & Covert Complaints	0	0	0	0	0	0	0								0
Closed During FY Year   Month	9	7	1	2	1	0	1								5

Total Cases Open as of 1/31/16:

2