



Staff Reports for August 2017

Reception and Communication Services Division

Incoming Calls

	Sep-16	Oct-16	Nov-16	Dec-16	Jan-17	Feb-17	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17	FYTD Total 2017
Local Lines	16,980	17,327	21,546	18,783	49,326	60,438	75,220	38,525	34,322	25,931	25,471	20,780	404,649
TALCB LL	1,036	1,103	1,103	1,210	1,914	2,784	3,033	1,673	1,337	1,725	5,768	5,133	27,819
Total Calls	18,016	18,430	22,649	19,993	51,240	63,222	78,253	40,198	35,659	27,656	31,239	25,913	432,468

Walk Ins

	Sep-16	Oct-16	Nov-16	Dec-16	Jan-17	Feb-17	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17	FYTD Total 2017
Licensing	100	127	121	120	116	234	267	236	222	199	202	224	2,168
Education	34	39	50	37	46	53	54	24	32	27	21	30	447
Inspector	16	17	12	12	70	28	23	5	16	17	13	20	249
Enforcement	10	11	18	7	7	18	29	22	28	22	17	21	210
TALCB Lic	5	7	14	3	18	10	16	13	10	8	2	5	111
TALCB Enf	2	2	13	0	0	1	0	3	5	3	0	3	32
Total	167	203	228	179	257	344	389	303	313	276	255	303	3,217

Emails

	Sep-16	Oct-16	Nov-16	Dec-16	Jan-17	Feb-17	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17	FYTD Total 2017
Licensing	5,757	5,746	5,437	4,971	8,011	10,187	10,978	8,799	8,260	7,866	7,337	9,403	92,752
Education	1,228	1,462	2,076	2,240	2,526	1,743	2,229	2,113	2,521	3,045	2,046	2,425	25,654
Inspector	189	414	382	256	511	332	609	688	597	547	373	659	5,557
Enforcement	105	120	94	69	87	178	123	214	212	212	247	274	1,935
TALCB Lic	61	204	295	297	415	295	404	467	535	579	402	546	4,500
TALCB Enf	22	30	33	15	19	14	6	17	19	31	23	21	250
Total	7,362	7,976	8,317	7,848	11,569	12,749	14,349	12,298	12,144	12,280	10,428	13,328	130,648

C1 Report
FY2017

**Customer Service Surveys
FY 2017**

Month	# Received		Total	Comments With Contact Information	Top Three (3) Comments	# Resolved	# Unresolved
	TREC	TALCB					
Sept	21	3	24	N/A	Customer Service/Hold time/Website	24	
Oct	23	1	24	N/A	Customer Service/Hold time/Requesting online assistance.	24	
Nov	26	2	28	N/A	Online Issues/Hold Time/Application Processes	28	
Dec	37	1	38	N/A	Website/Hold Time/Customer Service	37	1
Jan	64	5	69	N/A	Website/Hold Time/Customer Service	67	2
Feb	69	8	77	N/A	Website/Application Processes/Customer Service	76	1
March	111	10	121	49	Website/Hold Time/Email Response & Processing of Documents	49	
April	77	5	82	30	Application Processing/Hold Time/Website	30	
May	45	2	47	21	Website/Application Processing/Customer Service	21	
June	43	6	49	21	Customer Service/Website/Hold Time	21	
July	63	2	65	40	Hold Time/Website/Email Response Time	40	
Aug	68	1	69	32	Hold Time/Email Response/Website	32	
Grand Total	647	46	693	193		449	4

TEXAS APPRAISER LICENSING AND CERTIFICATION BOARD
ACTIVE CERTIFICATIONS AND LICENSES

FISCAL YEAR	END OF MONTH	GENERAL	RESIDENTIAL	LICENSE	TOTAL G.R.L.	G.R.L. CHANGE	TRAINEE	TRAINEE CHANGE	TOTAL	TOTAL CHANGE
2013	Aug13	2,367	2,371	470	5,208		724		5,932	
2014	Aug14	2,386	2,405	453	5,244	36	760	36	6,004	72
2015	Sep14	2,393	2,407	451	5,251	7	767	7	6,018	14
	Oct14	2,402	2,418	448	5,268	17	766	-1	6,034	16
	Nov14	2,407	2,415	440	5,262	-6	749	-17	6,011	-23
	Dec14	2,409	2,431	442	5,282	20	756	7	6,038	27
	Jan15	2,405	2,437	446	5,288	6	767	11	6,055	17
	Feb15	2,417	2,437	442	5,296	8	760	-7	6,056	1
	Mar15	2,423	2,445	444	5,312	16	761	1	6,073	17
	Apr15	2,408	2,451	442	5,301	-11	763	2	6,064	-9
	May15	2,404	2,444	436	5,284	-17	761	-2	6,045	-19
	Jun15	2,413	2,436	432	5,281	-3	773	12	6,054	9
	Jul15	2,409	2,424	432	5,265	-16	774	1	6,039	-15
	Aug15	2,408	2,415	434	5,257	-8	779	5	6,036	-3
2016	Sep15	2,406	2,417	428	5,251	-6	786	7	6,037	1
	Oct15	2,414	2,418	431	5,263	12	791	5	6,054	17
	Nov15	2,417	2,420	430	5,267	4	793	2	6,060	6
	Dec15	2,419	2,425	430	5,274	7	795	2	6,069	9
	Jan16	2,420	2,422	428	5,270	-4	794	-1	6,064	-5
	Feb16	2,418	2,418	427	5,263	-7	783	-11	6,046	-18
	Mar16	2,423	2,417	427	5,267	4	784	1	6,051	5
	Apr16	2,431	2,415	429	5,275	8	774	-10	6,049	-2
	May16	2,425	2,415	417	5,257	-18	773	-1	6,030	-19
	Jun16	2,425	2,422	416	5,263	6	784	11	6,047	17
	Jul16	2,425	2,423	417	5,265	2	774	-10	6,039	-8
	Aug16	2,426	2,425	416	5,267	2	789	15	6,056	17
2017	Sep16	2,429	2,423	412	5,264	-3	784	-5	6,048	-8
	Oct16	2,431	2,419	414	5,264	0	787	3	6,051	3
	Nov16	2,428	2,418	408	5,254	-10	777	-10	6,031	-20
	Dec16	2,436	2,422	411	5,269	15	782	5	6,051	20
	Jan17	2,431	2,416	410	5,257	-12	789	7	6,046	-5
	Feb17	2,434	2,412	423	5,269	12	792	3	6,061	15
	Mar17	2,440	2,424	425	5,289	20	807	15	6,096	35
	Apr17	2,428	2,426	421	5,275	-14	817	10	6,092	-4
	May17	2,425	2,418	422	5,265	-10	822	5	6,087	-5
	Jun17	2,410	2,412	421	5,243	-22	827	5	6,070	-17
	Jul17	2,404	2,404	422	5,230	-13	852	25	6,082	12
	Aug17	2,398	2,407	423	5,228	-2	868	16	6,096	14

(August 2017: Out-of-State Temporary Registrations = 1,411; Inactive Appraisers = 173)

TEXAS APPRAISER LICENSING AND CERTIFICATION BOARD
APPRAISAL MANAGEMENT COMPANY REGISTRATIONS
August 2017

FISCAL YEAR	MONTH	Paper Apps Received	Online Apps Received	Total Apps Received	Total AMC Registrations Issued	Total AMC Renewals Issued
2012 - Total						
		130	46	176	169	0
2013 - Total						
		6	11	17	23	0
2014 - Total						
		3	9	12	13	138
2015 - Total						
		11	5	16	15	17
2016	Sep15	1	0	1	0	1
	Oct15	0	0	0	2	2
	Nov15	2	0	2	1	0
	Dec15	1	0	1	0	0
	Jan16	2	0	2	2	1
	Feb16	0	0	0	1	2
	Mar16	0	0	0	1	7
	Apr16	1	1	2	1	10
	May16	0	1	1	1	21
	Jun16	1	0	1	2	36
	Jul16	0	0	0	0	34
	Aug16	0	0	0	0	14
2016 - Total		8	2	10	11	128
2017	Sep16	2	0	2	2	1
	Oct 16	0	1	1	0	3
	Nov 16	0	0	0	1	2
	Dec 16	0	1	1	1	3
	Jan 17	2	0	2	0	0
	Feb 17	0	1	1	2	1
	Mar 17	0	0	0	0	0
	Apr 17	1	0	1	0	3
	May 17	1	2	3	1	0
	Jun 17	1	2	3	2	4
	Jul 17	2	0	2	6	1
	Aug 17	0	0	0	0	3
CUMULATIVE TOTALS		167	80	247	246	304
Registrations Surrendered as of August 2017				21		
Registrations Revoked as of August 2017				3		
Registrations Expired > 6 months as of August 2017				43		
TOTAL AMC REGISTRATIONS - August 2017					172	

Education & Licensing Services Division - TALCB

Fiscal Year Comparison

AUGUST

	This YTD 09/16 - 08/17	Last YTD 09/15 - 08/16	Count	Change Percent
<i>Original Applications Received</i>				
Certified General Applications	141	121	20	16.53%
Certified Residential Applications	92	111	-19	-17.12%
Licensed Residential Applications	86	64	22	34.38%
Appraiser Trainee Applications	372	307	65	21.17%
Non-Residential Temporary Applications	237	246	-9	-3.66%
Total Original Applications	928	849	79	9.31%
<i>Licenses Issued from Original Applications</i>				
Certified General Licenses	115	140	-25	-17.86%
Certified Residential Licenses	78	146	-68	-46.58%
Licensed Residential Licenses	72	57	15	26.32%
Appraiser Trainee Licenses	323	275	48	17.45%
Non-Residential Temporary Licenses	238	249	-11	-4.42%
Total Licenses from Original Applications	826	867	-41	-4.73%
<i>Licenses Issued from Renewal Applications</i>				
Certified General Renewals	1,288	1,110	178	16.04%
Certified Residential Renewals	1,199	1,251	-52	-4.16%
Licensed Residential Renewals	229	459	-230	-50.11%
Appraiser Trainee Renewals	424	379	45	11.87%
Total Renewal Licenses Issued	3,140	3,199	-59	-1.84%
<i>Licenses Issued from Late Renewal Applications</i>				
Certified General Late Renewals	5	7	-2	-28.57%
Certified Residential Late Renewals	6	9	-3	-33.33%
Licensed Residential Late Renewals	4	2	2	100.00%
Appraiser Trainee Late Renewals	21	15	6	40.00%
Total Late Renewal Licenses Issued	36	33	3	9.09%

Examination Activity - Fiscal Year 2017

YEAR-TO-DATE RESULTS: September 2016 thru August 2017				Overall Pass Rate
	Licensed <u>Residential</u>	Certified <u>Residential</u>	Certified <u>General</u>	
Examinations Passed	43	33	43	119
Examinations Failed	36	18	17	
Examinations Taken	79	51	60	190
Examination Pass Rate (%)	54.43%	64.71%	71.67%	62.63%

All examination types	
Total first time candidates:	124
Total repeat candidates:	66
Total pass:	119
Total fail:	71
Total examinations taken:	190

Examination Activity - Fiscal Year 2017

MONTHLY RESULTS: August 2017				Overall Pass Rate
	Licensed <u>Residential</u>	Certified <u>Residential</u>	Certified <u>General</u>	
Examinations Passed	3	3	3	9
Examinations Failed	3	1	1	
Examinations Taken	6	4	4	14
Examination Pass Rate (%)	50.00%	75.00%	75.00%	64.29%

All examination types	
Total first time candidates:	11
Total repeat candidates:	3
Total pass:	9
Total fail:	5
Total examinations taken:	14

EXAMINATION ACTIVITY

YEAR-TO-DATE COMPARISON AUGUST

	<u>2017</u> <u>Pass Rate</u>	<u>2016</u> <u>Pass Rate</u>
Certified General Appraiser	71.6%	62.1%
Certified Residential Appraiser	64.7%	51.8%
Licensed Residential Appraiser	54.4%	49.3%
Overall Appraiser Pass Rate	62.6%	54.0%

Information Technology Services Division

Electronic Information Outlet Statistics

August 2017

Website	Current Month	FYTD Total	Prior FYTD Total
Total Pages Viewed	937,180	9,149,087	12,367,373
Total Monthly Unique Visitors	45,599	391,558	316,782

Online Transactions	Total	Online	Online Percent	FYTD Online Percent	Prior FYTD Percent
Applications	41	26	63.4%	53.8%	46.7%
AMC	0	0		19.0%	27.3%
Certified General Appraiser	5	2	40.0%	23.2%	13.8%
Certified Residential Appraiser	6	2	33.3%	31.4%	20.8%
State Licensed Appraiser	2	1	50.0%	51.1%	51.3%
Appraiser Trainee	28	21	75.0%	73.1%	71.9%
Renewals	149	134	89.9%	92.1%	89.7%
AMC	0	2		110.5%	79.7%
Certified General Appraiser	48	46	95.8%	90.6%	91.3%
Certified Residential Appraiser	72	63	87.5%	94.8%	94.3%
State Licensed Appraiser	17	13	76.5%	82.3%	82.2%
Appraiser Trainee	12	12	100.0%	93.1%	87.5%
AMC Panel Transactions	989	989	100.0%	100.0%	100.0%
Additions	933	933	100.0%	100.0%	100.0%
Removals	56	56	100.0%	100.0%	100.0%

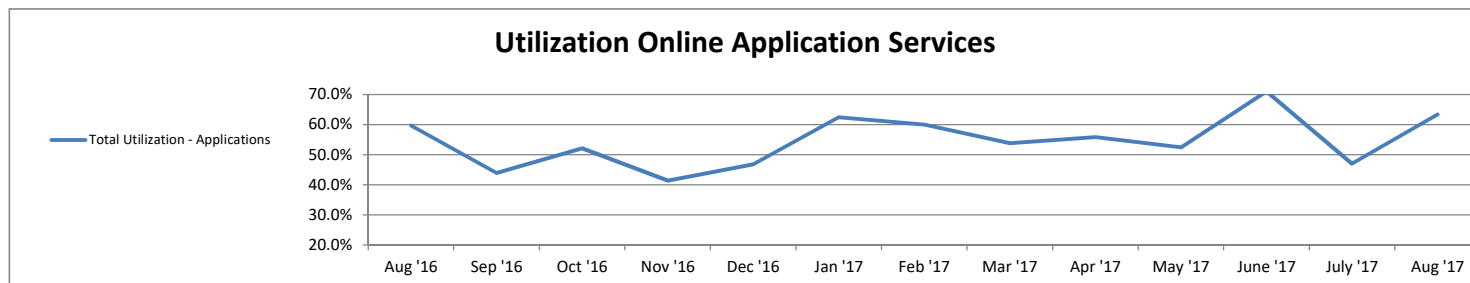
Information Technology Services Division

Electronic Information Outlet Statistics

August 2017

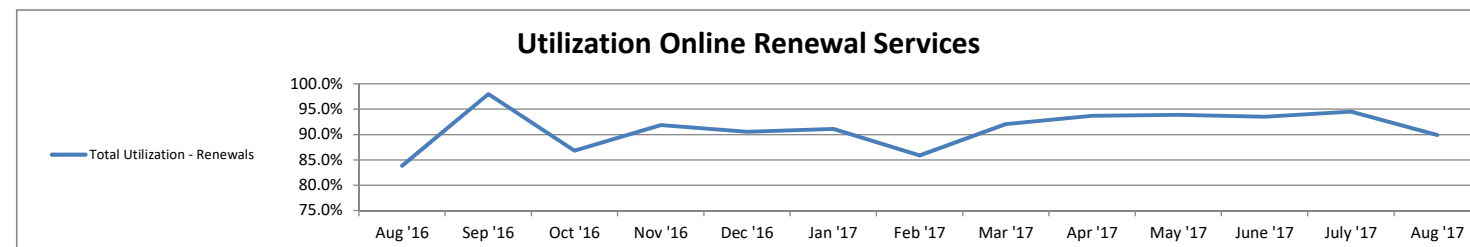
Applications	Aug '16	Sep '16	Oct '16	Nov '16	Dec '16	Jan '17	Feb '17	Mar '17	Apr '17	May '17	June '17	July '17	Aug '17
AMC		50.0%		0.0%	0.0%	0.0%	0.0%			0.0%	0.0%	50.0%	
Certified General Appraiser	10.0%	15.4%	15.4%	20.0%	33.3%	50.0%	40.0%	25.0%	0.0%	14.3%	75.0%	0.0%	40.0%
Certified Residential Appraiser	33.3%	20.0%	40.0%	42.9%	14.3%	100.0%	20.0%	36.4%	33.3%	50.0%	66.7%	10.0%	33.3%
State Licensed Appraiser	100.0%	50.0%	50.0%	50.0%	33.3%	100.0%	66.7%	25.0%	33.3%	0.0%	75.0%	50.0%	50.0%
Appraiser Trainee	77.8%	68.4%	75.0%	53.8%	83.3%	66.7%	77.8%	80.0%	72.4%	72.0%	76.0%	71.4%	75.0%
Total Utilization - Applications	59.6%	43.9%	52.2%	41.4%	46.8%	62.5%	60.0%	53.8%	55.8%	52.5%	71.1%	47.0%	63.4%

Utilization Online Application Services



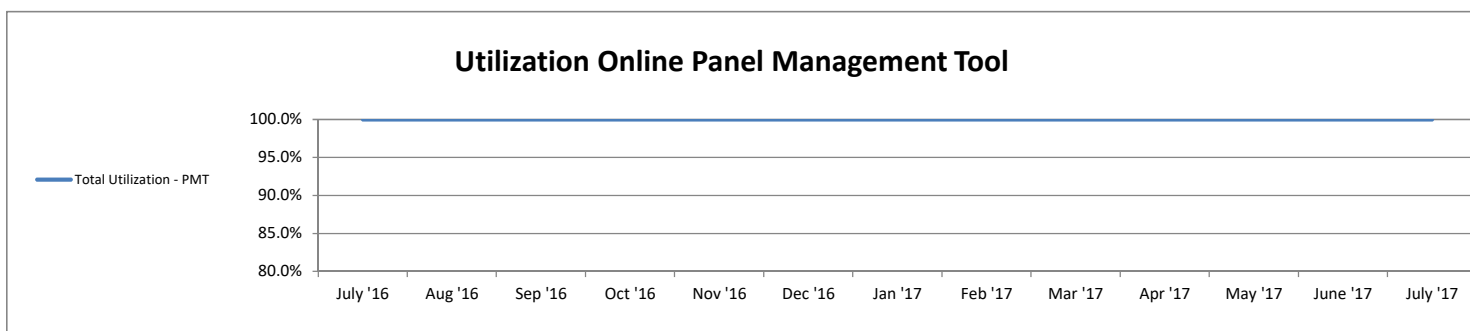
Renewals	Aug '16	Sep '16	Oct '16	Nov '16	Dec '16	Jan '17	Feb '17	Mar '17	Apr '17	May '17	June '17	July '17	Aug '17
AMC	0.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%		100.0%	100.0%	
Certified General Appraiser	92.6%	96.4%	90.9%	89.9%	85.2%	87.0%	84.0%	90.8%	92.5%	93.9%	89.6%	93.0%	95.8%
Certified Residential Appraiser	94.6%	98.8%	91.6%	93.8%	92.9%	100.0%	84.0%	96.8%	94.6%	94.1%	96.9%	97.6%	87.5%
State Licensed Appraiser	75.0%	100.0%	57.1%	95.2%	95.8%	66.7%	66.7%	76.5%	88.9%	75.0%	100.0%	85.7%	76.5%
Appraiser Trainee	81.8%	100.0%	75.0%	90.0%	100.0%	100.0%	86.7%	87.0%	100.0%	100.0%	93.3%	91.7%	100.0%
Total Utilization - Renewals	83.8%	98.0%	86.8%	91.9%	90.6%	91.1%	85.9%	92.0%	93.7%	93.9%	93.5%	94.5%	89.9%

Utilization Online Renewal Services



PMT	Aug '16	Sep '16	Oct '16	Nov '16	Dec '16	Jan '17	Feb '17	Mar '17	Apr '17	May '17	June '17	July '17	Aug '17
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%
Total Utilization - PMT	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%

Utilization Online Panel Management Tool



Staff & Support Services Division

TALCB Budget Status Report

August 2017

0/12 = 0%

Expenditure Category	Budget FY2017	Actual Expenditures	Balance	Budget % Remaining	Comments
Salaries & Wages	\$836,817	\$816,516	\$20,301	2.4%	
Employee Benefits	273,401	257,642	15,759	5.8%	
Retiree Insurance	56,305	37,811	18,494	32.8%	
Other Personnel Costs	33,210	17,387	15,823	47.6%	Excess remaining due to lump sum payments which normally occur at fiscal year end.
Professional Fees & Services	85,750	88,945	(3,195)	-3.7%	
Consumables	6,500	2,730	3,770	58.0%	
Utilities	2,000	1,732	268	13.4%	
Travel	32,000	29,949	2,051	6.4%	
Office Rent	32,625	18,809	13,816	42.3%	
Equipment Rental	14,500	10,265	4,235	29.2%	
Registration & Membership	16,125	10,276	5,849	36.3%	
Maintenance & Repairs	12,267	20,165	(7,898)	-64.4%	Versa annual maintenance paid. Expense exceeded budget.
Reproduction & Printing	1,600	778	822	51.4%	
Contract Services	31,040	4,971	26,069	84.0%	Video streaming expense was budgeted out of Contract Services in error. Expenses are reported under Communication Services.
Postage	6,350	4,081	2,269	35.7%	
Supplies & Equipment	7,000	2,498	4,502	64.3%	
Communication Services	8,546	13,762	(5,216)	-61.0%	Video streaming expense paid from Communication Services budget. This expense was budgeted out of Contract Services in error.
Other Operating Expenses	4,342	2,154	2,188	50.4%	
Subtotal -Operations Expenditures	1,460,378	1,340,472	119,906	8.2%	
DPS Criminal History Background Checks	3,000	1,191	1,809	60.3%	
Statewide Cost Allocation Plan (SWCAP)	45,000	40,478	4,522	10.0%	paid in full as of August FY17
Contribution to General Revenue	30,000	30,000	0	0.0%	paid in full as of August FY17
Subtotal - Nonoperational Expenditures	78,000	71,669	6,331	8.1%	
Total Expenditures	\$1,538,378	\$1,412,141	\$126,237	8.2%	
Revenue	FY2017 Projected	Revenue Collected	Revenue Remaining to be Collected	Revenue % Remaining to be Collected	Comments
License Fees	\$1,086,525	\$1,171,983	\$0	0.0%	increase in application fees and renewals
AMCs	155,208	193,314	\$0	0.0%	15 new AMCs; 19 renewals; add/renewal of panelists higher than projections.
Administrative Penalties	38,400	20,450	\$0	0.0%	
Other Miscellaneous Revenue	20,465	23,499	\$0	0.0%	Exam Admin Fees/NSF fees/Misc/Public Info fees
Total Revenue	\$1,300,598	\$1,409,247	\$0	0.0%	
	FY17 Carry Forward	Allocated Amount	Remaining to be Allocated	Carry Forward % Remaining	
AMC Revenue Carry Forward from FY16	\$290,054	\$290,054.00	\$0	0.0%	Pro-rated thru August
Revenue Over/(Under) Expenditures & Transfers	\$52,274	\$287,160			Includes AMC Carry Forward revenue recognition for FY17

Staff Services Division

Tx Appraiser Licensing & Certification Board Operating Account No. 3056 Investments Holdings Report

August 2017

Purchase Date	Par Value	Purchase Price	Beginning Market Value	Additions Changes	Ending Market Value	Accrued Interest	Description	Maturity Date
09/15/2016	149,000.00	149,470.44	148,977.65	(20.86)	148,998.51	688.32	U.S. T-Notes, 1.000%	09/15/2017
01/24/2017	199,000.00	199,974.39	198,665.68	(163.18)	198,828.86	919.29	U.S. T-Notes, 1.000%	03/15/2018
01/24/2017	199,400.00	199,967.32	199,266.40	(75.77)	199,342.17	424.95	U.S. T-Notes, 1.000%	12/15/2017
06/20/2017	250,000.00	249,725.92	249,600.00	(195.00)	249,795.00	599.39	U.S. T-Notes, 1.130%	06/15/2018
Totals	\$ 797,400.00	\$ 799,138.07	\$ 796,509.73	\$ (454.81)	\$ 796,964.54	\$ 2,631.95		

Monthly Activity

Beginning Balance	Current Month	Cumulative Totals
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Beginning Cash Available Balance

\$ 658,972.81

Current Month Receipts

\$ 306,336.91

Current Month Disbursements

\$ (164,404.96)

Total Cash

\$ 800,904.76

Investment Ending Market Value

796,964.54

Total Account Balance

1,597,869.30

Reserved for Long-Term Facilities Master Plan

(740,000.00)

Reserved for Education Development

(115,081.85)

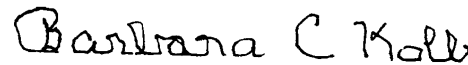
Ending Balance Available for Operations

\$ 742,787.45

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



Priscilla Pipho, Investment Officer



Barbara Kolb, Alternate Investment Officer

TALCB Standards & Enforcement Services

CASE STATUS REPORT as of AUGUST 30, 2017

of Cases Received

Case Classification	FY2015	FY2016	16-Sep	16-Oct	16-Nov	16-Dec	17-Jan	17-Feb	17-Mar	17-Apr	17-May	17-Jun	17-Jul	17-Aug	FYTD
Complaint Category:															
AMCs	1	12	0	0	0	0	0	0	0	0	0	0	0	0	0
Dodd Frank	22	18	0	5	2	0	0	1	0	1	1	0	0	0	10
Ethics	4	4	0	1	0	1	1	0	0	0	0	2	1	1	7
USPAP	139	131	7	8	7	5	7	15	13	5	8	9	8	13	105
Other	21	37	1	2	5	7	0	0	24	0	0	1	1	1	42
No Jurisdiction	4	9	0	1	0	0	2	1	2	0	3	0	0	0	9
	191	211	8	17	14	13	10	17	39	6	12	12	10	15	SUB: 173
Experience Audits	161	146	13	13	7	11	12	6	16	8	12	11	14	16	139
RFAs & Covert Complaints	13	5	1	0	0	0	0	0	0	0	0	0	0	0	1
MCD Inquiries	3	8	1	0	1	0	0	2	1	2	0	0	2	0	9
	177	158	15	13	8	11	12	8	17	10	12	11	16	16	SUB: 149
Opened During FY Year Month	368	356	23	30	22	24	22	25	56	16	24	23	26	31	322

of Cases Closed

Case Disposition	FY2015	FY2016	16-Sep	16-Oct	16-Nov	16-Dec	17-Jan	17-Feb	17-Mar	17-Apr	17-May	17-Jun	17-Jul	17-Aug	FYTD
Surrendered	5	0	0	0	0	0	0	3	0	0	0	0	0	0	3
Agreed Final Order / Final Order	42	11	0	0	10	0	0	10	0	0	14	0	0	7	41
Other Disciplinary Action	5	1	0	0	1	0	0	0	0	0	0	0	0	0	1
Insufficient Evidence	2	5	0	0	0	0	0	0	0	0	0	0	1	2	3
Dismissed	98	73	6	3	13	12	7	12	6	4	9	5	13	9	99
No Jurisdiction	5	7	0	0	0	2	2	1	2	0	2	3	0	0	12
	157	97	6	3	24	14	9	26	8	4	25	8	14	18	SUB: 159
Experience Audits	171	140	13	14	12	14	5	13	6	3	7	11	6	8	112
RFAs	10	4	0	0	0	0	0	0	0	7	0	1	1	0	9
MCD Inquiries	5	6	2	1	1	0	0	0	3	1	0	1	2	1	12
	186	151	15	15	13	14	5	13	9	11	7	13	9	9	SUB: 133
Closed During FY Year Month	343	345	21	19	37	28	14	39	17	15	32	21	23	27	292

Total Cases Open as of 8/30/17:

231

TALCB Standards & Enforcement Services

AMC CASE STATUS REPORT as of AUGUST 30, 2017

# of Cases Received															
Case Classification	FY2015	FY2016	16-Sep	16-Oct	16-Nov	16-Dec	17-Jan	17-Feb	17-Mar	17-Apr	17-May	17-Jun	17-Jul	17-Aug	FYTD
Complaint Category:															
AMC Compliance	0	1	0	0	0	0	2	1	1	0	0	2	1	1	8
Dodd Frank	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Ethics	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
USPAP	7	3	0	0	0	0	0	0	0	0	0	0	0	0	0
Other	0	10	1	0	0	0	0	0	0	0	0	0	0	0	1
No Jurisdiction	1	3	0	0	0	0	0	0	0	0	0	0	0	0	0
	8	17	1	0	0	0	2	1	1	0	0	2	1	1	9
RFAs & Covert Complaints	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Opened During FY Year Month	8	17	1	0	0	0	2	1	1	0	0	2	1	1	7

# of Cases Closed															
Case Disposition	FY2015	FY2016	16-Sep	16-Oct	16-Nov	16-Dec	17-Jan	17-Feb	17-Mar	17-Apr	17-May	17-Jun	17-Jul	17-Aug	FYTD
Surrendered	0	0	0	0	0	0	0	0	0	0	1	0	0	0	1
Agreed Final Order	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Other Disciplinary Action	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Insufficient Evidence	0	2	0	1	0	0	0	0	0	0	0	0	0	0	1
Dismissed	6	8	0	0	1	0	1	1	1	0	0	1	2	5	12
No Jurisdiction	1	2	0	0	0	0	0	0	0	0	0	0	0	0	0
	7	12	0	1	1	0	1	1	1	0	1	1	2	5	14
RFAs & Covert Complaints	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Closed During FY Year Month	7	12	0	1	1	0	1	1	1	0	1	1	2	5	14

Total Cases Open as of 8/30/17:

6