

**Connecticut State Board of Accountancy**  
**Meeting Agenda**  
**Tuesday, October 7, 2014 – 10:00 A.M.**

Second Floor Conference Room  
30 Trinity St., Hartford, CT 06106  
860-509-6179  
[sboa@ct.gov](mailto:sboa@ct.gov)

**OFFICE AND BOARD OPERATIONS AND ADMINISTRATION**

1. Meeting Called to Order by Chairman Schuyler
2. Swearing in of New Board Member by Deputy Secretary James Spallone
3. Self-introductions of Chair and Board Members
4. Remarks from Chair
5. Introduction of Board of Accountancy Staff to New Board Members
6. **Action required** – Approve Minutes of the September 4, 2014 Board Meeting
7. Administrative Updates
  - a. 2015 Board Meeting Dates
  - b. License Renewal Process Update
  - c. AICPA Conference Update
  - d. NASBA National Conference Update
  - e. College Initiative Overview/Update
  - f. CPE Audit Update
  - g. Department of Labor Audit List
8. Ken L. Bishop, President and Chief Executive Officer & Dan Dustin, CPA – NASBA
  - a. NASBA Initiatives
  - b. Definition of Attest
  - c. ERISA Audits
  - d. IQUEZ Exam
9. **Public Comment** - Opportunity for members of the public to address the Board
10. **Regulations and Statutory Amendments – Request For Vote**
  - a. Commission and Contingent Fees – Presentation by Legal Intern, Harrison Robbins - Pesce

**EXAM AND LICENSING**

**OLD BUSINESS:**

11. Action required – Industry, Government, or Self Employed Experience, and Other Application
  - a. Theodore J. Thomas – Requesting an extension in CPE requirements for 6 months. Application was tabled during August 4, 2014 board meeting requesting for additional information.
    - Materials have not been submitted to date.
  - b. Michael DesRoches – Requesting 30 day extension of time to complete CPEs. Application was tabled during August 4, 2014 board meeting requesting for more I information.
    - Materials have not been submitted to date.

**NEW BUSINESS:**

12. Action required – Industry, Government, or Self Employed Experience, and Other Applications
  - a. **Christopher Norwid** – Initial CPA Certificate & Certificate Registration, Industry Experience

## **EXAMINATION AND CPE EXTENSION**

- a. **Tara Zaida**- Requesting extension of time to complete remainder sections of the CPA exam credits expires November 20, 2014.
- b. **Scott Williams**- Requesting extension of time to complete CPE additional letter submitted.

**Review Firm permits for approval** – List provided for board member review

**PCAOB Inspection Reports Received** – member comment on review

- Review date September 16, 2014 Report on **Ernst & Young**
- Review date January 31, 2013 Report on **Squar, Milner, Peterson, Miranda & Williamson, Certified Public Accountants, LLP**

## **OTHER BUSINESS**

### **13. Enforcement Cases**

- a. 2014-32 Julia Lloyd vs. Sapia Group, LLC
- b. 2011057-3677 Bernice Dohn vs. Reinhardt Lange
- c. 2011028-3615 Daphne Krick vs. Jon Marshall Dambowsky
- d. 2013-47 – Frederick L. Dimella v. American Financial

## **PUBLIC COMMENT**

Opportunity for members of the public to address the Board

Next scheduled meeting: Thursday, November 13, 2014 -10:00 AM - 2<sup>nd</sup> Floor, 30 Trinity Street, Hartford, CT