

Connecticut State Board of Accountancy  
May 06, 2008  
Minutes

Acting Chairman Ciarcia called the meeting to order at 8:45 A.M. in the second floor conference room, 30 Trinity Street, Hartford, CT 06106.

Present:

James S. Ciarcia, Acting Chairman  
Richard P. Bond  
Philip J. DeCaprio, Jr., CPA, CrFA, CVA, ABV  
Richard H. Gesseck, CPA  
Leonard M. Romaniello, Jr., CPA, CITP, MST  
Richard L. Sturdevant  
Michael Weinshel, CPA

Staff Members Present:

David L. Guay, Executive Director  
Rebecca E. Adams, Esq., Board Counsel  
Angel D. Acevedo, Office Assistant

Absent:

Thomas F. Reynolds, CPA, Chairman  
Martha S. Triplett, Esq.

Motion made by Michael Weinshel and seconded by Philip DeCaprio to approve the minutes of the April 01, 2008 State Board of Accountancy meeting; All voted in favor; no votes against and no abstentions.

**May 6, 2008 Executive Director's Operations Update and Review**

**CPA Exam**

- NASBA Exam meeting to be held on May 19, 2008 at the Dallas-Fort Worth Airport
  - Michael Weinshel Attending
  - David Guay Not Attending
  - Rebecca Adams will attend
  -

**Budget**

- Met with OPM Budget Division on Tuesday April 15, 2008
- Settled FY08 Deficiency with CT-CLIC funds transferred to Board to cover DoIT costs for hosting on-line program
- Reviewed FY09 budget issues with OPM Budget Division
- Ending of APO status to OPM still possible

**Board Member Travel**

- If the proposed Governor's budget and the one passed out of the Appropriations Committee are adopted, it contains pretty much a prohibition on travel funds for us,

couple that with an underfunding for the on-line system and we will be hard pressed to find the funds to pay for even partial funding for only one or two members.

- If they don't change the biennium budget we still have a underfunding for the on-line system to contend with, but at least we won't have new language in the budget specifically eliminating funding for travel.
- NASBA Regional Meeting in June 2008 – No funding in FY08 Budget and doubtful funding in FY09 – makes the request to the Governor for out of state travel authorization impossible.

#### **On-line Renewal – On-line lookup and Licensing Database**

- Planning for July or August re-launch to allow entry of CPE and address changes
- May 7, 2008 next meeting with DoIT and OPM to continue work on short term and long term of the licensing programs.
- Beginning to focus on participation with NASBA Accountancy Licensee Database (ALD)

#### **Records Retention Effort**

- Current year retention and destruction to be completed before the end of May 2008

#### **Mobility**

- Preparing for implementation – change in forms and change in web site information

#### **Web Site**

- Most license forms have been updated
- Updated minutes to be completed by the end of May 2008

#### **May 17, 2008 Certificate Ceremony & CSCPA 100<sup>th</sup> Anniversary**

- 5 PM Reception at the Aqua Turf

Motion made by Philip DeCaprio and seconded by Leonard Romaniello to approve the May 06, 2008 list of individual applications for CPA Certificate, Registrations and CPA Licenses. All voted in favor; no votes against and no abstentions.

Motion made by Richard Sturdevant and seconded by Leonard Romaniello to approve the May 06, 2008 list of Firm Permit to Practice Applications. All voted in favor; no votes and no abstentions.

The 2008 Mobility legislation is waiting for the Governor's signature, if not signed within fifteen days it will automatically be adopted.

Attorney Adams gave the Board an updated report on the proposed regulations she has pending:

- Permanent 120 hours for CPA Exam- Has been passed.

- CPA Exam Fee- will become her focus.

Motion was made by Michael Weinshel and seconded by Leonard Romaniello to deny Mr. Alpesh Shah's request to extend BEC credit. All voted in favor; no votes against and no abstentions.

Motion was made by Richard Bond and seconded by Leonard Romaniello to nominate Michael Weinshel for a second term as NASBA Regional Director. All voted in favor, no votes against and no abstentions.

Under Public Comment:

John Palmeri, President Elect of the Society, addressed the Board.

Mark Zampino, CSCPA, also addressed the Board.

**PUBLIC SESSION**  
**ENFORCEMENT AGENDA**  
**May 06, 2008**

**A. REQUESTING SETTLEMENT APPROVAL**

**Joseph Maida License Number 2711** – late CPE paid \$250 fine. *Requesting settlement approval.*

Motion made by Leonard Romaniello and seconded by Richard Sturdevant to accept attorney Adams' recommendation of settlement approval for License # 2711, Joseph Maida. All voted in favor; no votes against and no abstentions.

**2007041-2941 Brush** – IRS practice suspension to June 1, 2008 for failure to file personal tax returns. *Requesting settlement approval for suspension of Connecticut license with right to apply for reinstatement as of February 1, 2009.*

Motion made by Philip DeCaprio and seconded by Leonard Romaniello to accept attorney Adams' recommendation of suspension of Connecticut license with the right to apply for reinstatement as of February 1, 2009. All voted in favor; no votes against and no abstentions.

**2007104-3069 Legge and Monroe** –*practicing without a firm permit in 2006, failure to report QR*

**2007105-3070 Legge** –*practicing without a license in 2006/ failed cpe audit for 2006*

**2007106-3071 Monroe** –*practicing without a license in 2006/failed cpe audit for 2006*

The firm underwent, but did not report, a quality review in December of 2006. The reviewer identified the licensure issues. At the same time, the Office of Policy and Management notified the firm and the Board of the performance of municipal audits in 2006 while unlicensed. Mr. Monroe then submitted applications for reinstatement for the firm

and both individuals. An audit of the reported cpe revealed that neither of the individuals could document 40 hours of cpe for the 2006 reporting period.

***Requesting settlement approval as follows:***

- 1. Payment of \$1,000 per individual licensee for CPE audit failure;***
- 2. Payment of \$1,000 each civil penalty for practice without a valid license in 2006 and \$1,000 for the Firm Permit;***
- 3. Mandatory attendance at the Board 2008 ethics seminar***
- 4. Letters of admonishment; 5. Quality reviews and all supporting documentation must be submitted to the Board.***

Motion made by Richard Gesseck and seconded by Philip DeCaprio to approve the settlement as detailed above. All voted in favor; no votes against and no abstentions.

#### **B. COMPLIANCE MEETING**

**2008002-3002 Pascoe** – *practicing without a firm permit/failure to undergo QR*

#### **C. REQUESTING DISMISSAL**

**2004014-2532 Klaff** – *No violation*

***Requesting dismissal***

**2005023-2828 Marchese** – *No violation*

***Requesting dismissal***

**2006007-2895 Federico** – *Duplicate case*

***Requesting dismissal***

**2006011-2904 Hersh** – *Duplicate case*

***Requesting dismissal***

**2006040-2940 Watkins** – *no violation*

**2007130-3092 Patel** – *No violation*

***Requesting dismissal***

**2008013-3113 Lanzaro** – *Complaint withdrawn after fee refunded*

***Requesting dismissal***

Motion made by Michael Weinshel and seconded by Leonard Romaniello to dismiss all charges for case# 2004014-2532, Klaff; 2005023-2828, Marchese; 2006007-2895, Federico; 2006011-2904, Hersh; 2006040-2940, Watkins; 2007130-3092; Patel; 2008013-3113, Lanzaro. All voted in favor; no votes against and no abstentions.

Motion made by Richard Sturdevant and seconded by Leonard Romaniello to enter into the executive session portion of the meeting at 9:50 A.M. All voted in favor; no votes against and no abstentions.

Motion made by Philip DeCaprio and seconded by Richard Bond to exit from the executive session back into the public session at 10:22 A.M. All voted in favor; no votes against and no abstentions.

**Executive Session**  
**Enforcement Agenda**

**2003018-2460 Peter Tucci**

Motion made by Leonard Romaniello and seconded by Richard Bond to approve the notice and schedule a hearing. All voted in favor; no abstentions and no votes against.

**2003011-2449 Paul Greenburg**

Motion made by Michael Weinshel and seconded by Richard Bond to approve the notice and schedule a hearing. All voted in favor; no abstentions and no votes against.

**2005014-2819 Thomas Ariola**

Motion made by Michael Weinshel and seconded by Philip DeCaprio to approve the notice and schedule a hearing. Leonard Romaniello abstained and no votes against.

**2007128-3091 Howard Gold**

Motion made by Michael Weinshel and seconded by Richard Bond to approve the notice and schedule a hearing. All voted in favor; no abstentions and no votes against.

Motion made by Richard Gesseck and seconded by Richard Bond to adjourn the May 06, 2008 Board Meeting; all voted in favor. The meeting was officially closed at 10:26 A.M.