

**RANDOM AUDIT OF
CLIENTS' FUND ACCOUNT**JD-GC-21 Rev. 7-12
Pr. Bk. Sec. 2-27(e)**STATE OF CONNECTICUT
STATEWIDE GRIEVANCE COMMITTEE
JUDICIAL BRANCH
www.jud.ct.gov**

Respondent	Juris number	Docket Number RA - Companion number		
Financial Institution		Account Number		
Type of Audit		Name of Auditor		
<input type="checkbox"/> On-Site Audit	<input type="checkbox"/> Home Office	<input type="checkbox"/> In-House Audit	<input type="checkbox"/> Out of State	

Date	Account selected
	Notice sent to respondent
	Response received from respondent
	Audit performed
	Referred to Grievance Panel
	Grievance Panel _____
	Grievance Complaint number _____
	Referred to Office of Chief Disciplinary Counsel

Registration/History/Housekeeping Matters

<input type="checkbox"/> Registration(s) current	<input type="checkbox"/> Bank account not removed
<input type="checkbox"/> Registration(s) not current	<input type="checkbox"/> Retired <input type="checkbox"/> Deceased <input type="checkbox"/> No longer with firm
Updated _____	<input type="checkbox"/> Other _____
<input type="checkbox"/> Complaints	<input type="checkbox"/> Not enrolled in e-services
Final Decision(s) _____	<input type="checkbox"/> Update name of bank
<input type="checkbox"/> Overdrafts	<input type="checkbox"/> Address doesn't match firm name

Findings

<input type="checkbox"/> Inadequate record keeping	<input type="checkbox"/> Inactive during audit period
<input type="checkbox"/> Mismanagement of clients' funds account	Bank statements received _____
<input type="checkbox"/> Misuse of clients' funds account	<input type="checkbox"/> Out of state attorney. No Connecticut clients' funds.
<input type="checkbox"/> Unable to conduct audit due to insufficient record keeping	Affidavit received _____
Follow-up audit date _____	<input type="checkbox"/> Other _____

Summary

<input type="checkbox"/> Follow-Up Audit (date) _____
<input type="checkbox"/> Audit Closed (date) _____

Comments:

Signed (First Assistant Bar Counsel)

Date Signed

ADA NOTICE

The Judicial Branch of the State of Connecticut complies with the Americans with Disabilities Act (ADA). If you need a reasonable accommodation in accordance with the ADA, contact a court clerk or an ADA contact person listed at www.jud.ct.gov/ADA.