

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

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

**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**

☐ Follow-Up Audit (date) \_\_\_\_\_

☐ Audit Closed (date) \_\_\_\_\_

Comments:

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Signed (First Assistant Bar Counsel)	Date Signed
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