

APPENDIX D

Count Per Relief

Failure to Supervise

<i>Description</i>	<i># Times</i>
PENALTIES	57
SUSPENSION FROM ASSOCIATION - BD	32
CENSURE	30
FAILURE TO SUPERVISE FINDING	22
UNDERTAKINGS	14
LIMITATION ON ACTIVITIES	8
BAR FROM ASSOCIATION - BD	7
SUSPENSION FROM ASSOCIATION - IA	
SUSPENSION FROM ASSOCIATION (-OTHER)	4
CEASE AND DESIST-PERMANENT	4
DISGORGEMENT	2
BAR FROM ASSOCIATION - IA	2
REPORT ORDERED	1
REGISTRATION REVOKED - BD	1
BAR FROM ASSOCIATION - IC	1
INTERNAL PROCEDURES	1

Last Viewed by First Circuit Library on 06/15/2015