

Connecticut State Board of Accountancy
Special Meeting Minutes
Thursday, March 7, 2014 – 2:30 P.M.
Teleconference at Deputy Secretary's Office
30 Trinity St., Hartford, CT 06106
860-509-6179
sboa@ct.gov

CALL IN PHONE NUMBER – (517) 966-4250 PASSCODE 43384273

Acting Chairman Richard H. Gesseck, CPA called the meeting to order at 2:32 P.M. at the Deputy Secretary's Office, 30 Trinity Street, 2nd Floor, Hartford, Connecticut.

PRESENT:

Richard H. Gesseck, CPA - By Teleconference
Martha S. Triplett, Esq. – By Teleconference

STAFF MEMBERS PRESENT:

James F. Spallone, Deputy Secretary
Sonia Worrell Asare, Legal Counsel
Constance Sakyi, Paralegal Specialist 1

OTHERS PRESENT:

Mark F. Kohler, Attorney General's Office

OFFICE AND BOARD OPERATIONS AND ADMINISTRATION

Board policy regarding abandon case files.

Mr. Gesseck asked Attorney Asare for clarification regarding the Board's policy and regulations regarding abandoned case files. Mr. Gesseck inquired if a CPA abandon client files, would it be considered an act discreditable to the accounting profession?

Ms. Triplett stated that she thinks it is an issue that the Board should address and believes that the Board has a duty to protect the public if the documents are sensitive records.

Attorney Asare stated that clients should file a complaint with the Board against a CPA, so that the Board can have jurisdiction over the documents or contact the Connecticut Society of Public Accountants (CTCPA) for an advice.

Mr. Gesseck asked if the Board can initiate a case against a CPA who abandons client files, which Attorney Asare and Ms. Triplett stated that the Board has jurisdiction and can initiate cases.

Attorney Asare stated that she had contacted the Internal Revenue Services (IRS), the Treasury Inspector General for Tax Administration (TIGTA) and the Office of Professional Responsibility (OPR) and she is waiting to hear from them.

Mr. Kohler stated that the Board should seek a formal direction from federal agencies such as the Internal Revenue Services (IRS) regarding abandoned documents.

The Board discussed that abandoned files may be properly given to the Board via a complaint and/or formal chain of custody.

Adjourned at 3:12 P.M.