



California Board of Accountancy
2450 Venture Oaks Way, Suite 300
Sacramento, CA 95833

phone: (916) 263-3680 fax: (916) 263-3675 web: www.cba.ca.gov



COURT CLERK CALIFORNIA BOARD OF ACCOUNTANCY REPORTABLE EVENTS REPORTING FORM

Pursuant to California Business and Professions Code, Division 3, Chapter 1, section 5063.1 (Please read the attached information before completing and submitting this form.)

Court: \_\_\_\_\_
Address: \_\_\_\_\_
Contact Person: \_\_\_\_\_ Telephone: ( ) \_\_\_\_\_

LICENSED ACCOUNTANT AND/OR LICENSED ACCOUNTING FIRM

Licensee Name License Number \_\_\_\_\_
Company Name License Number \_\_\_\_\_
Address \_\_\_\_\_

CONVICTIONS

Please attach copy of conviction and any order or opinions of the court accompanying or ordering the conviction.

Please check the appropriate box

- Felony [section 5063(a)(1)(A)]
Other Criminal Conviction [section 5063(a)(1)(B) or (C)] (Any crime related to the practice of public accounting including theft; embezzlement; misappropriation of funds or property; breach of a fiduciary responsibility; the preparation, publication, or dissemination of false, fraudulent, or materially misleading financial statements, reports, or information.

Docket Case No. \_\_\_\_\_

Filing Date \_\_\_\_\_

JUDGMENTS

Please attach copy of conviction and any order or opinions of the court accompanying or ordering the judgment.

Docket Case No. \_\_\_\_\_ Date \_\_\_\_\_

Plaintiff Name \_\_\_\_\_

Plaintiff's Attorney Name

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Plaintiff Attorney Address

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**The following are excerpts from the California Business and Professions Code.**

**Section 5063.1.** Within 10 days of entry of a conviction described in paragraph (1) of subdivision (a) of section 5063 or a judgment described in subdivision (c) of section 5063 by a court of this state, the court that rendered the conviction or judgment shall report that fact to the board and provide the board with a copy of the conviction or judgment and any orders or opinions of the court accompanying or ordering the conviction or judgment.

**Section 5063(a).** A licensee shall report to the board in writing of the occurrence of any of the following events occurring on or after January 1, 1997, within 30 days of the date the licensee has knowledge of these events:

- (1) The conviction of the licensee of any of the following:
  - (A) A felony.
  - (B) Any crime related to the qualifications, functions, or duties of a public accountant or certified public accountant, or to acts or activities in the course and scope of the practice of public accountancy.
  - (C) Any crime involving theft, embezzlement, misappropriation of funds or property, breach of a fiduciary responsibility, or the preparation, publication, or dissemination of false, fraudulent, or materially misleading financial statements, reports, or information.

As used in this section, a conviction includes the initial plea, verdict, or finding of guilt, pleas of no contest, or pronouncement of sentence by a trial court even though that conviction may not be final or sentence actually imposed until appeals are exhausted.

**Section 5063(c).** A licensee shall report to the board in writing, within 30 days of the entry of the judgment, any judgment entered on or after January 1, 2003, against the licensee in any civil action alleging any of the following:

- (1) Dishonesty, fraud, gross negligence, or negligence.
- (2) Breach of fiduciary responsibility.
- (3) Preparation, publication, or dissemination of false, fraudulent, or materially misleading financial statements, reports, or information.
- (4) Embezzlement, theft, misappropriation of funds or property, or obtaining money, property, or other valuable consideration by fraudulent means or false pretenses, or other errors or omissions.
- (5) Any actionable conduct by the licensee in the practice of public accountancy, the performance of bookkeeping operations, or other professional practice.

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**Please submit the report to:**

**California Board of Accountancy  
Attention: Enforcement Division  
2450 Venture Oaks Way, Suite 300  
Sacramento, CA 95833**

**PERSONAL INFORMATION COLLECTION AND ACCESS NOTICE:** The California Board of Accountancy (CBA) collects the information requested on this form as authorized by Business and Professions Code sections 325, 326, and 5103. The personal information collected is used principally to administer and to enforce licensing standards set by law and regulation. The personal information provided may be transferred to the Department of Justice, a District Attorney, a City Attorney, or to another government agency as may be necessary to permit the CBA, or the transferee agency, to perform its statutory or constitutional duties, or otherwise transferred or disclosed as permitted by the Information Practices Act. Each individual has the right to review his or her personal information in his or her file, except as otherwise permitted by the Information Practices Act. Certain information provided may be disclosed to a member of the public, upon request, under the California Public Records Act and Information Practices Act.