

Annual Report Fiscal Year 2010

INVESTIGATIONS

July 2010



DIVISION OF CORPORATIONS, BUSINESS AND PROFESSIONAL LICENSING

This Annual Performance Report is presented in accordance with Alaska Statute 08.01.070(1) and Alaska Statute 37.07.080(b). Its purpose is to report the accomplishments, activities, and the past and present needs of the licensing program.

MAR	11
MARINE PILOT	11
Incompetence	3
Physical or mental disability	1
Sexual misconduct	1
Unlicensed practice or activity	1
Violation of licensing regulation	5
APR	5
REAL ESTATE APPRAISER	5
Falsified application	1
Fraud or misrepresentation	2
Negligence	1
Continuing education	1
AEC	1
CORPORATE AUTHORIZATION	1
Violation of licensing regulation	1
AEL	10
CORPORATE AUTHORIZATION	2
Malpractice	1
Unlicensed practice or activity	1
ENGINEER	5
Falsified application	1
Unlicensed practice or activity	2
Violating professional ethics	1
Violation of licensing regulation	1
LAND SURVEYOR	3
Negligence	2
Unlicensed practice or activity	1
AUD	3
AUDIOLOGIST	3
Unlicensed practice or activity	3
BUS	162
BUSINESS	133
Other	1
Tobacco endorsement	4
Unlicensed practice or activity	127
Violation of licensing regulation	1
BUSINESS LICENSE	29
Other	1
Tobacco endorsement	15
Unlicensed practice or activity	13
COA	7
COLLECTION AGENCY	5
Unlicensed practice or activity	5

COLLECTION AGENCY OPERATOR	2
Falsified application	1
License application problem	1
CON	2
CONTRACTOR	1
License application problem	1
GENERAL CONTRACTOR	1
Unlicensed practice or activity	1
CPA	3
CERTIFIED PUBLIC ACCOUNTANT	2
Contested license denial	1
Fraud or misrepresentation	1
CPA REGISTRATION	1
Unlicensed practice or activity	1
CPR	3
CONCERT PROMOTER	3
Unlicensed practice or activity	3
CSW	2
BAC SOCIAL WORKER	1
Continuing education	1
CLINICAL SOCIAL WORKER	1
Contested license denial	1
DEN	12
DENTAL HYGIENIST	1
Continuing education	1
DENTIST	11
Incompetence	1
Negligence	5
Standard of care	2
Unlicensed practice or activity	1
Violation of licensing regulation	1
Continuing education	1
DOP	1
DISPENSING OPTICIAN	1
License application problem	1
EAD	1
ELECTRICAL ADMINISTRATOR	1
Continuing education	1
GUI	122
ASSISTANT GUIDE	25
Criminal action - conviction	2
Criminal action - no conviction	10
Falsified application	4
Fraud or misrepresentation	1

Incompetence	2
Unlicensed practice or activity	1
Violating professional ethics	1
Violation of licensing regulation	4
CLASS A ASSISTANT GUIDE	5
Criminal action - conviction	1
Criminal action - no conviction	1
Falsified application	1
Fraud or misrepresentation	1
Violation of licensing regulation	1
GUIDE-OUTFITTER	80
Contested license denial	1
Criminal action - conviction	6
Criminal action - no conviction	17
Falsified application	1
Fraud or misrepresentation	5
Incompetence	8
License application problem	4
Negligence	1
Probation violation	1
Supervision	1
Unlicensed practice or activity	1
Violating professional ethics	5
Violation of licensing regulation	29
TRANSPORTER	12
Criminal action - conviction	2
Criminal action - no conviction	1
Falsified application	2
Fraud or misrepresentation	1
Incompetence	1
License application problem	1
Unlicensed practice or activity	1
Violating professional ethics	2
Violation of licensing regulation	1
MEC	1
MECHANICAL ADMINISTRATOR	1
Falsified application	1
MED	36
OSTEOPATH	9
Falsified application	1
Negligence	2
Physical or mental disability	1
Prescriptive practice	3
Substance abuse	1
Unlicensed practice or activity	1

PHYSICIAN ASSISTANT	4
Drug diversion	1
Negligence	1
Sexual misconduct	1
Unlicensed practice or activity	1
PHYSICIAN or SURGEON	23
Action in another state	1
Falsified application	1
Incompetence	1
License application problem	1
Malpractice	2
Other	1
Physical or mental disability	1
Prescriptive practice	2
Standard of care	7
Substance abuse	1
Unlicensed practice or activity	1
Unprofessional conduct	1
Violation of licensing regulation	1
Continuing education	2
MFT	2
MARRIAGE or FAMILY THERAPIST	2
License application problem	1
Continuing education	1
MID	1
DIRECT-ENTRY MIDWIFE	1
Violating professional ethics	1
MOR	1
FUNERAL DIRECTOR TRAINEE	1
Supervision	1
MSB	1
MONEY TRANSMITTER	1
Violation of licensing regulation	1
MTG	10
BROKER, MORTGAGE	10
Fraud or misrepresentation	2
Unlicensed practice or activity	2
Violation of licensing regulation	6
NAT	1
NATUROPATH	1
Practice beyond scope	1
NUA	5
CERTIFIED NURSE AIDE	5
Falsified application	3
Unprofessional conduct	2

NUR	15
ADVANCED NURSE PRACTITIONER	8
Physical or mental disability	1
Prescriptive practice	3
Unprofessional conduct	3
Violating professional ethics	1
LICENSED PRACTICAL NURSE	1
Substance abuse	1
REGISTERED NURSE	5
Action in another state	2
Drug diversion	1
Negligence	1
Substance abuse	1
REGISTERED NURSE ANESTHETIST	1
Practice beyond scope	1
PAD	2
PHYSICIAN ASSISTANT	2
License application problem	1
Unlicensed practice or activity	1
PCO	2
PROFESSIONAL COUNSELOR	2
Sexual misconduct	1
Violating professional ethics	1
PHA	12
PHARMACIST	5
Drug diversion	1
Negligence	2
Substance abuse	1
Violation of licensing regulation	1
PHARMACIST IN CHARGE	1
Other	1
PHARMACY	1
Unlicensed practice or activity	1
PHARMACY TECHNICIAN	5
Falsified application	1
Practice beyond scope	1
Unprofessional conduct	1
Continuing education	2
PHY	3
OCCUPATIONAL THERAPIST	1
Continuing education	1
PHYSICAL THERAPIST	2
Violating professional ethics	1
Continuing education	1

PSY	1
PSYCHOLOGICAL ASSOCIATE	1
Violating professional ethics	1
REC	110
ASSOCIATE BROKER	1
License application problem	1
REAL ESTATE ASSOCIATE BROKER	14
Breach of fiduciary duty	3
Fraud or misrepresentation	6
Practice beyond scope	2
Real estate - other	1
Unlicensed practice or activity	2
REAL ESTATE BROKER	51
Breach of fiduciary duty	8
Falsified application	1
Fraud or misrepresentation	9
Negligence	1
Real estate - other	2
Supervision	19
Trust account	6
Unlicensed practice or activity	4
Violation of licensing regulation	1
REAL ESTATE SALESMAN	44
Breach of fiduciary duty	5
Fraud or misrepresentation	21
Practice beyond scope	2
Real estate - other	2
Unlicensed practice or activity	13
Violation of licensing regulation	1
RES	1
RESIDENTIAL CONTRACTOR	1
Continuing education	1
TOB	2
BUSINESS LICENSE	2
Tobacco endorsement	2
VET	5
VETERINARIAN	5
Negligence	1
Probation violation	1
Sexual misconduct	1
Unlicensed practice or activity	1
Violation of agreement	1
Grand Total	556

MAR	1
MARINE PILOT	1
Violation of licensing regulation	1
Advisement Letter	1
APR	10
REAL ESTATE APPRAISER	10
Fraud or misrepresentation	3
License Action	2
Other (See Abstract)	1
License application problem	1
Other (See Abstract)	1
Negligence	4
Advisement Letter	2
License Action	1
No Action - Unfounded	1
Real estate - other	1
No Action - No Violation	1
Violating professional ethics	1
License Action	1
AEL	54
ARCHITECT	5
Contested license denial	1
License Action	1
Unlicensed practice or activity	1
Advisement Letter	1
Violation of licensing regulation	3
Advisement Letter	2
License Action	1
CORPORATE AUTHORIZATION	11
Unlicensed practice or activity	11
Advisement Letter	2
Compliance	6
License Action	1
No Action - No Violation	2
ENGINEER	25
Action in another state	1
No Action - No Violation	1
Falsified application	3
Advisement Letter	2
No Action - No Violation	1
LIC. APPLICATION PROBLEM	1
No Action - No Violation	1
License application problem	3
No Action - No Violation	3
Unlicensed practice or activity	6
Advisement Letter	1

Compliance	3
No Action - No Violation	2
Violating professional ethics	1
Advisement Letter	1
Violation of licensing regulation	10
Advisement Letter	9
No Action - No Violation	1
ENGINEERING	9
Action in another state	1
No Action - No Violation	1
License application problem	6
License Action	1
No Action - No Violation	5
Violation of licensing regulation	2
License Action	1
No Action - No Violation	1
HOME INSPECTOR	1
Negligence	1
No Action - No Violation	1
LAND SURVEYOR	3
License application problem	1
No Action - No Violation	1
Negligence	2
Advisement Letter	1
License Action	1
AUD	1
AUDIOLOGIST	1
Violation of licensing regulation	1
No Action - No Violation	1
BAH	1
INSTRUCTOR	1
Violation of licensing regulation	1
Other (See Abstract)	1
BUS	208
BUSINESS	165
Other	1
Compliance	1
Tobacco endorsement	1
License Action	1
Unlicensed practice or activity	162
Closed - Case Opened	2
Compliance	121
License Action	1
No Action - Insufficient Evidence	3
No Action - No Violation	23
No Action - Unfounded	8

Other (See Abstract)	4
Unproven health practices	1
Compliance	1
BUSINESS LICENSE	42
Other	1
Compliance	1
Tobacco endorsement	36
License Action	35
No Action - No Violation	1
Unlicensed practice or activity	5
Compliance	4
No Action - Unfounded	1
VETERINARIAN	1
Unlicensed practice or activity	1
Other (See Abstract)	1
CHI	1
CHIROPRACTOR	1
Violation of licensing regulation	1
License Action	1
COA	2
COLLECTION AGENCY	1
Contested license denial	1
License Action	1
COLLECTION AGENCY OPERATOR	1
Fraud or misrepresentation	1
License Action	1
CON	18
CONTRACTOR	1
Violation of licensing regulation	1
License Action	1
GENERAL CONTRACTOR	8
Other	1
Compliance	1
Unlicensed practice or activity	7
Administrative Fine Paid	4
Compliance	1
No Action - No Violation	1
Other (See Abstract)	1
SPECIALTY CONTRACTOR	9
Unlicensed practice or activity	5
Administrative Fine Paid	3
Compliance	1
No Action - No Violation	1
Violation of licensing regulation	4
Compliance	1
License Action	2

No Action - No Violation	1
CPA	10
CERTIFIED PUBLIC ACCOUNTANT	9
Continuing education	1
License Action	1
Criminal action - conviction	2
License Action	2
Fraud or misrepresentation	1
License Action	1
License application problem	1
License Action	1
Unlicensed practice or activity	2
Compliance	1
Other (See Abstract)	1
Violation of licensing regulation	2
License Action	2
CPA REGISTRATION	1
License application problem	1
License Action	1
CPR	5
BUSINESS	1
Unlicensed practice or activity	1
Compliance	1
CONCERT PROMOTER	4
Unlicensed practice or activity	4
Advisement Letter	1
Compliance	3
CSW	8
CLINICAL SOCIAL WORKER	8
Continuing education	3
License Action	2
No Action - No Violation	1
Falsified application	1
Other (See Abstract)	1
Violating professional ethics	4
License Action	2
No Action - No Violation	2
DEN	8
DENTAL HYGIENIST	2
Continuing education	2
License Action	2
DENTIST	6
Continuing education	1
License Action	1
Falsified application	1
Advisement Letter	1

License application problem	1
Other (See Abstract)	1
Negligence	1
Advisement Letter	1
Physical or mental disability	1
Other (See Abstract)	1
Unlicensed practice or activity	1
Other (See Abstract)	1
DOP	1
DISPENSING OPTICIAN	1
Continuing education	1
License Action	1
EAD	2
ELECTRICAL ADMINISTRATOR	2
License application problem	1
No Action - No Violation	1
Violation of licensing regulation	1
Advisement Letter	1
GUI	31
ASSISTANT GUIDE	4
Criminal action - conviction	3
License Action	2
Other (See Abstract)	1
Falsified application	1
Lack of Investigative Resources	1
GUIDE-OUTFITTER	21
Criminal action - conviction	4
License Action	1
Other (See Abstract)	1
VT	2
Criminal action - no conviction	8
Lack of Investigative Resources	1
License Action	7
Fraud or misrepresentation	1
Advisement Letter	1
Incompetence	1
No Action - Unfounded	1
Other	1
License Action	1

Probation violation	1
License Action	1
Violating professional ethics	2
Advisement Letter	2
Violation of licensing regulation	3
License Action	2
Other (See Abstract)	1
TRANSPORTER	6
Criminal action - conviction	1
Lack of Investigative Resources	1
Criminal action - no conviction	1
License Action	1
Falsified application	1
License Action	1
Other	1
Lack of Investigative Resources	1
Violating professional ethics	1
Lack of Investigative Resources	1
Violation of licensing regulation	1
License Action	1
HAD	28
BARBER or HAIRDRESSER	2
License application problem	1
License Action	1
Violation of licensing regulation	1
License Action	1
HAIRDRESSER	2
Unlicensed practice or activity	2
License Action	2
INSTRUCTOR	14
Unlicensed practice or activity	1
License Action	1
Violation of licensing regulation	13
Advisement Letter	10
License Action	2
No Action - Insufficient Evidence	1
MANICURIST	3
Unlicensed practice or activity	3
License Action	3
SHOP OWNER	4
Unlicensed practice or activity	1
Advisement Letter	1
Violation of licensing regulation	3
Advisement Letter	3

TATTOOIST	3
Unlicensed practice or activity	2
Advisement Letter	1
License Action	1
Violation of licensing regulation	1
Advisement Letter	1
HIN	4
HOME INSPECTOR	4
Unlicensed practice or activity	1
Advisement Letter	1
Violation of licensing regulation	3
Advisement Letter	1
No Action - No Violation	2
MEC	5
MECHANICAL ADMINISTRATOR	5
Contested license denial	1
License Action	1
Continuing education	1
License Action	1
License application problem	1
License Action	1
Violation of licensing regulation	2
Advisement Letter	1
No Action - No Violation	1
MED	59
OSTEOPATH	9
Falsified application	1
License Action	1
Patient or client abuse	1
License Action	1
Physical or mental disability	1
No Action - Insufficient Evidence	1
Prescriptive practice	5
License Action	5
Unprofessional conduct	1
License Action	1
PARAMEDIC	2
Physical or mental disability	1
License Action	1
Practice beyond scope	1
Advisement Letter	1

PHYSICIAN or SURGEON	48
Action in another state	4
License Action	1
No Action - Lack of Jurisdiction	1
No Action - No Violation	1
Other (See Abstract)	1
Continuing education	6
Compliance	2
License Action	3
No Action - Insufficient Evidence	1
Falsified application	3
License Action	2
No Action - No Violation	1
Incompetence	3
License Action	3
License application problem	6
Application Withdrawn	4
License Action	2
Negligence	3
License Action	2
Other (See Abstract)	1
Patient or client abuse	2
No Action - No Violation	1
Other (See Abstract)	1
Physical or mental disability	1
License Action	1
Practice beyond scope	1
No Action - Insufficient Evidence	1
Prescriptive practice	9
Advisement Letter	1
Closed - Case Opened	1
License Action	6
No Action - Lack of Jurisdiction	1
Standard of care	4
License Action	2
No Action - No Violation	2
Substance abuse	3
License Action	3
Unlicensed practice or activity	2
License Action	2
Violation of licensing regulation	1
License Action	1

MFT	2
MARRIAGE or FAMILY THERAPIST	2
Falsified application	1
License Action	1
Sexual misconduct	1
Other (See Abstract)	1
MID	3
DIRECT-ENTRY MIDWIVE	3
Unlicensed practice or activity	2
License Action	2
Violation of licensing regulation	1
License Action	1
MSB	5
BROKER, MORTGAGE	1
Unlicensed practice or activity	1
No Action - No Violation	1
MONEY TRANSMITTER	4
Contested license denial	1
License Action	1
Violation of licensing regulation	3
Compliance	1
License Action	2
MTG	16
BROKER, MORTGAGE	16
Unlicensed practice or activity	7
License Action	3
No Action - No Violation	3
No Action - Unfounded	1
Violation of licensing regulation	9
Advisement Letter	3
License Action	4
No Action - No Violation	2
NAT	2
NATUROPATH	2
Unlicensed practice or activity	2
Compliance	1
No Action - Insufficient Evidence	1
NHA	1
NURSING HOME ADMINISTRATOR	1
Supervision	1
Compliance	1

NUA	29
CERTIFIED NURSE AIDE	29
Contested license denial	1
License Action	1
Continuing education	8
License Action	8
Falsified application	15
License Action	15
Investment advisor complaint	1
License Action	1
Negligence	1
License Action	1
Practice beyond scope	1
Advisement Letter	1
Probation violation	1
License Action	1
Unprofessional conduct	1
License Action	1
NUR	99
ADVANCED NURSE PRACTITIONER	8
Drug diversion	1
License Action	1
Negligence	2
Incomplete Complaint	1
No Action - No Violation	1
Physical or mental disability	1
No Action - Insufficient Evidence	1
Prescriptive practice	2
No Action - No Violation	2
Substance abuse	2
License Action	1
No Action - Minor Offense	1
CERTIFIED NURSE AIDE	1
Falsified application	1
License Action	1
LICENSED PRACTICAL NURSE	28
Action in another state	1
License Action	1
Continuing education	10
Compliance	1
License Action	8
No Action - No Violation	1
Drug diversion	1
License Action	1

Falsified application	5
License Action	3
No Action - No Violation	1
Other (See Abstract)	1
License application problem	2
Advisement Letter	1
License Action	1
Patient or client abuse	1
License Action	1
Practice beyond scope	1
License Action	1
Standard of care	1
No Action - No Violation	1
Substance abuse	2
License Action	2
Unprofessional conduct	3
License Action	3
Violation of licensing regulation	1
License Action	1
REGISTERED NURSE	61
Continuing education	22
Case Age	1
Compliance	7
License Action	14
Drug diversion	4
License Action	4
Falsified application	11
Abandoned License Application	1
Application Withdrawn	1
Compliance	1
License Action	6
No Action - No Violation	2
Incompetence	1
No Action - Insufficient Evidence	1
License application problem	2
License Action	2
Negligence	3
Advisement Letter	2
Other (See Abstract)	1
Physical or mental disability	1
Advisement Letter	1
Practice beyond scope	3
License Action	3
Probation violation	4
License Action	4

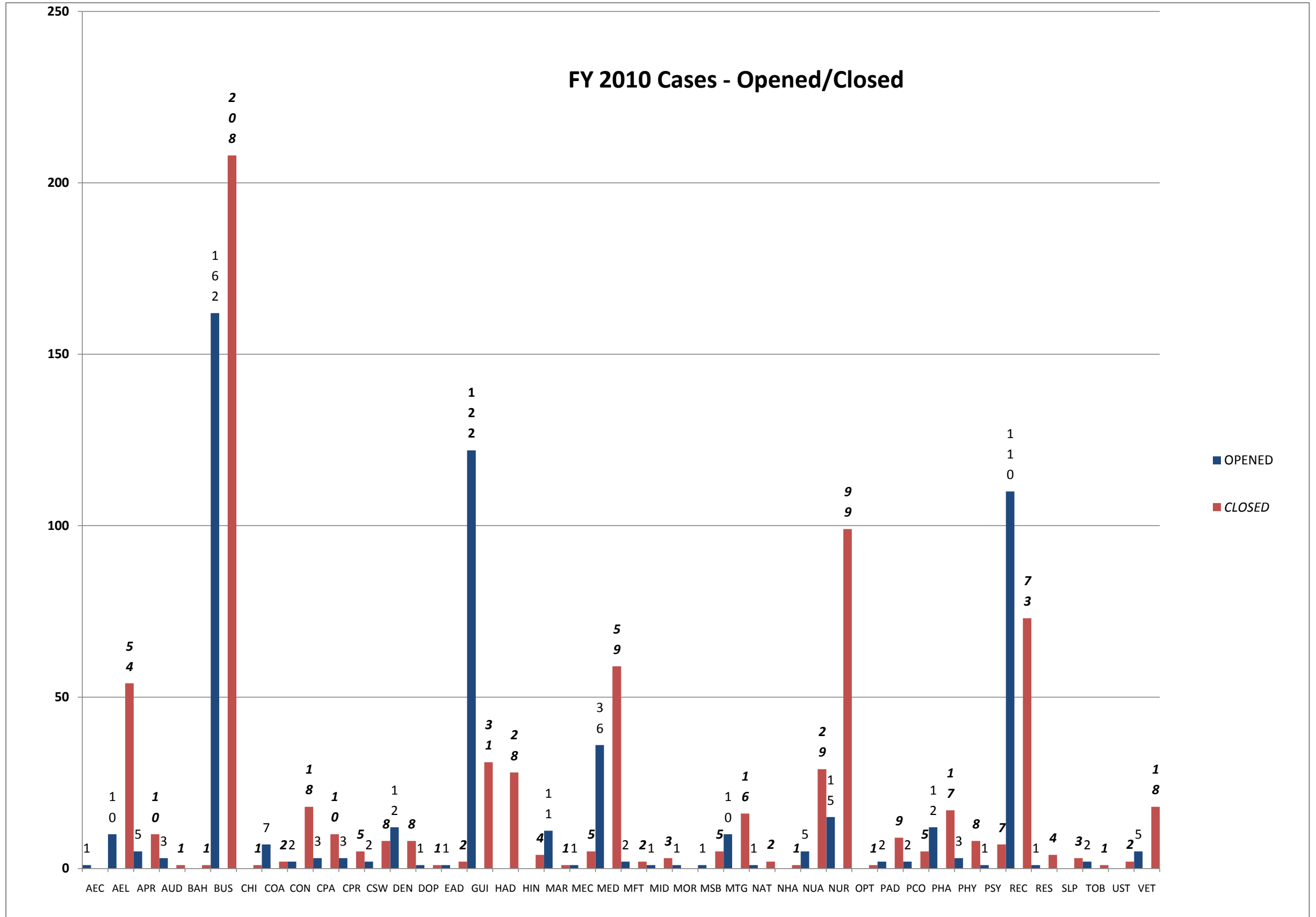
Substance abuse	3
License Action	2
No Action - No Violation	1
Unlicensed practice or activity	2
License Action	1
Referred to Other Agency	1
Unprofessional conduct	4
License Action	3
No Action - Insufficient Evidence	1
Violation of licensing regulation	1
Advisement Letter	1
REGISTERED NURSE ANESTHETIST	1
Falsified application	1
Lack of Investigative Resources	1
OPT	1
OPTOMETRIST	1
Sexual misconduct	1
No Action - Insufficient Evidence	1
PAD	9
PARAMEDIC	1
Falsified application	1
License Action	1
PHYSICIAN ASSISTANT	8
Action in another state	3
Advisement Letter	1
Application Withdrawn	1
Closed - Case Opened	1
Falsified application	1
License Action	1
License application problem	1
License Action	1
Prescriptive practice	1
License Action	1
Unlicensed practice or activity	2
License Action	1
No Action - No Violation	1
PCO	5
PROFESSIONAL COUNSELOR	5
Falsified application	1
License Action	1
Practice beyond scope	1
License Action	1
Substance abuse	1
License Action	1
Violating professional ethics	2
License Action	2

PHA	17
OUT OF STATE PHARMACY	1
Criminal action - conviction	1
License Action	1
PHARMACIST	4
Continuing education	2
Compliance	1
License Action	1
Drug diversion	1
Referred to Other Agency	1
Negligence	1
Advisement Letter	1
PHARMACIST IN CHARGE	2
Other	1
No Action - Unfounded	1
Violation of licensing regulation	1
Advisement Letter	1
PHARMACIST INTERN	1
Unlicensed practice or activity	1
Application Withdrawn	1
PHARMACY TECHNICIAN	9
Continuing education	4
Compliance	1
License Action	3
Criminal action - conviction	1
License Action	1
Drug diversion	1
License Action	1
Falsified application	1
Other (See Abstract)	1
License application problem	1
Application Withdrawn	1
Practice beyond scope	1
No Action - Unfounded	1
PHY	8
OCCUPATIONAL THERAPIST	2
Continuing education	2
License Action	1
No Action - No Violation	1
PHYSICAL THERAPIST	5
Continuing education	3
License Action	3
License application problem	1
No Action - No Violation	1
Unlicensed practice or activity	1
License Action	1

PHYSICAL THERAPY ASSISTANT	1
License application problem	1
No Action - No Violation	1
PSY	7
PSYCHOLOGICAL ASSOCIATE	1
Contested license denial	1
License Action	1
PSYCHOLOGIST	6
Contested license denial	3
License Action	2
Other (See Abstract)	1
Unlicensed practice or activity	1
Advisement Letter	1
Violating professional ethics	1
License Action	1
Violation of licensing regulation	1
License Action	1
REC	73
REAL ESTATE ASSOCIATE BROKER	8
Criminal action - conviction	1
No Action - No Violation	1
Falsified application	1
License Action	1
License application problem	6
License Action	6
REAL ESTATE BROKER	28
Fraud or misrepresentation	1
License Action	1
License application problem	19
License Action	19
Supervision	5
Advisement Letter	2
License Action	2
No Action - No Violation	1
Trust account	1
Other (See Abstract)	1
Unlicensed practice or activity	2
Compliance	1
License Action	1
REAL ESTATE SALESMAN	37
Criminal action - no conviction	1
License Action	1
Falsified application	1
License Action	1
Fraud or misrepresentation	4
License Action	3
No Action - Minor Offense	1

License application problem	11
License Action	11
Practice beyond scope	1
Compliance	1
Unlicensed practice or activity	19
Advisement Letter	18
No Action - Minor Offense	1
RES	4
RESIDENTIAL CONTRACTOR	4
Continuing education	3
License Action	3
Unlicensed practice or activity	1
Compliance	1
SLP	3
SPEECH PATHOLOGIST	3
Fraud or misrepresentation	3
No Action - Lack of Jurisdiction	1
Referred to Other Agency	2
TOB	1
BUSINESS LICENSE	1
Tobacco endorsement	1
License Action	1
UST	2
UNDERGROUND STORAGE TANK WORKER	2
Unlicensed practice or activity	1
Advisement Letter	1
Violation of licensing regulation	1
No Action - No Violation	1
VET	18
VETERINARIAN	16
Continuing education	1
License Action	1
Drug diversion	1
License Action	1
Incompetence	1
No Action - No Violation	1
License application problem	2
License Action	2
Negligence	4
License Action	4
Prescriptive practice	1
License Action	1
Standard of care	4
Advisement Letter	1
License Action	3

Unlicensed practice or activity	1
No Action - Insufficient Evidence	1
Violation of licensing regulation	1
Other (See Abstract)	1
VETERINARIAN TECHNICIAN	2
Continuing education	1
License Action	1
Unlicensed practice or activity	1
No Action - No Violation	1
Grand Total	762



FY 2010 Case Closure Type

