State Board of Embalmers and Funeral Directors

September 22, 2014
8:30 a.m.

Drury Plaza Hotel Chesterfield
355 Chesterfield Center East
Chesterfield, MO 63017

AMENDED OPEN AGENDA

1. Call to Order

2. Roll Call

3. Approval of Agenda

4. (Tab 1) Executive Director Report
   - Financial Report
   - License Reports (new, closed/ceased, disciplined)
   - Renewal Update
   - Legal Counsel Update
   - Upcoming Conferences
     a. FARB Regulatory Law Seminar – October 3-5, 2014 – Annapolis, MD
     b. 2015 FARB Forum – January 22-25, 2015 – Tucson, AZ
     c. The Conference – February 25-26, 2015 - Dallas Texas
   - Next Meeting Dates/Location

5. Legal Counsel Report

6. Open Session/Discussion

7. CLOSED

8. Adjourn

Posted September 17, 2014
4:40 P.M.
State Board of Embalmers and Funeral Directors

Board of Embalmers Financial Statement - FY 2015 as of July 31, 2014			
	Year-To-Date	**Projected**	**Remaining**
FY 2014 Beginning Fund Balance	3,009,200.72		
Revenue	10,161.00	0.00	0.00
Expense and Equipment	6,062.10	0.00	0.00
Total Transfers & Licensure System	62,983.98	0.00	0.00
Ending Fund Balance	**2,950,315.64**		

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q
1	**Embalmers - 0633**																
2	**FY 2015 Monthly Fund Balance Sheet**																
3		**FY 2015 Actual**														**FY 2014 Projections**	
4		**July**	**August**	**September**	**October**	**November**	**December**	**January**	**February**	**March**	**April**	**May**	**June**	**Lapsed July**	**YTD Total**	**Projected**	**Remaining (Projected - YTD Total)**
5	Beginning Fund Balance	3,009,200.72	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64			
6	**Revenue**	10,161.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	10,161.00	0.00	0.00
7	**Start-up Loan Transfer - Lender's Revenue**	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
8	**Total Revenue**	**10,161.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**10,161.00**	**0.00**	**0.00**
9	Total Funds Available	3,019,361.72	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	2,950,315.64	10,161.00	0.00	0.00
10																	
11	**Appropriation Costs:**																
12	Expense and Equipment	6,062.10	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	6,062.10	0.00	0.00
13	Personal Service and Per Diem	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
14	**Total Appropriation Costs**	**6,062.10**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**6,062.10**	**0.00**	**0.00**
15																	
16	**Licensure System Cost (PR Transfer)**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**		**0.00**
17	**Licensure System Cost (Appropriation 8428)**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**		**0.00**
18	**Total Licensure System Cost**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
19																	
20	**PR Appropriated Transfers (HB 7.540):**																
21	Rent	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
22	DIFP Department Cost Allocation	574.72	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	574.72	0.00	0.00
23	Licensee Refunds	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
24	Start-up Loan - Borrower's Expense	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
26	Division PR Transfer:																
27	*Division-Wide Costs*	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
28	*Purchasing Staff*	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
29	*PR/IT Staff*	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
30	*Legal Team*	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
31	*CRR Staff*	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
32	*Board Specific:*																
33	*Expense/Equipment*	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
34	*Personal Services*	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
35	*Fringe Benefits*	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
36	*Technical Support Staff*	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
37	*Central Mail Processing*	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
38	*CIU Investigations*	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
39	**Total Division PR Transfer**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
44	**Total PR Appropriated Transfers (HB 7.540)**	**574.72**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**574.72**	**0.00**	**0.00**
45																	
46	**GR Transfer (HB 7.535):**																
47	Attorney General	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
48	Administrative Hearing Comm.	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
49	**Total GR Transfer**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**
50																	
51	**Other Transfers:**																
52	Workers Compensation	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
53	Unemployment	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
54	Board Staff Fringe Benefits	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
55	Biennium Sweep	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
56	OA Cost Allocation Transfer	1,409.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1,409.00	0.00	0.00
57																	
58	**FY 2014 Transfers Carried Over:**																
59	FY 2014 June PR Transfer	60,715.26	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	60,715.26	0.00	0.00
60	FY 2014 July Lapse PR Transfer	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
61	FY 2014 PR Transfer Adjustment	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
62	FY 2014 Final Rent Transfer Adj	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
63	FY 2014 Final DIFP Transfer Adj	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
64	FY 2014 AG - June	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
65	FY 2014 AHC - June	285.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	285.00	0.00	0.00
66	**Total FY 2013 Transfers Carried Over**	**61,000.26**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**61,000.26**	**0.00**	**0.00**
67	**Total Transfers**	**62,983.98**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**62,983.98**	**0.00**	**0.00**
68	**Total Appropriation Costs and Transfers**	**69,046.08**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**0.00**	**69,046.08**	**0.00**	**0.00**
69	**Ending Fund Balance**	**2,950,315.64**	**2,950,315.64**	**2,950,315.64**	**2,950,315.64**	**2,950,315.64**	**2,950,315.64**	**2,950,315.64**	**2,950,315.64**	**2,950,315.64**	**2,950,315.64**	**2,950,315.64**	**2,950,315.64**	**2,950,315.64**			
70															**YTD Total**		**Remaining**
71	Total PR Transfer - HB 7.540	61,289.98	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	61,289.98	0.00	0.00
72	Total GR Transfer - HB 7.535	285.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	285.00	0.00	0.00
73	Total	61,574.98	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	61,574.98	0.00	0.00

Original Licenses Issued
Between 06/20/2014 and 09/11/2014

Board Name

Embalmers & Funeral Directors

Licensee Name	License #	Orig Issue Date
Roesslein, Emily Ellen	2014020266	6/23/2014
Jenkins, Christopher Wayne	2014020892	6/24/2014
Gordon, Catherine Yvonne	2014022978	7/7/2014
Harrington, Jarred Howard	2014026210	7/28/2014
Lane, Taryn N	2014027850	8/6/2014
Hoover, Carissa Anne	2014029502	8/18/2014
Sheffield, Robert Emory	2014031696	9/4/2014
Dickey, Brok Phillip	2014032090	9/8/2014

Embalmer 8

Licensee Name	License #	Orig Issue Date
White, Alexis Nichole	2014021968	6/30/2014
Troxell, Calvin John	2014021971	6/30/2014
Voss, Kaitlyn Flynn	2014024445	7/15/2014
Wix, Jason D	2014025824	7/24/2014
Hoover, Carissa Anne	2014025839	7/24/2014
Harrington, Jarred Howard	2014026211	7/28/2014
Hines, Danna La'Trice	2014026527	7/29/2014
Gislason, Susan Lynne	2014029444	8/18/2014
Rhodes, Sandra Lee	2014029506	8/18/2014
Meinders, Christopher Carl	2014031326	8/29/2014
Sheffield, Robert Emory	2014031697	9/4/2014
Dickey, Brok Phillip	2014031997	9/8/2014

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Licensee Name	License #	Orig Issue Date
Sig-Mo Assets LLC	2014020422	6/23/2014
Sig-Mo Assets LLC	2014020423	6/23/2014
GWG Legacy LLC	2014020848	6/24/2014
GWG Legacy LLC	2014020849	6/24/2014
Charles M. Hanson	2014021607	6/27/2014
Assurance Cremation Society Inc.	2014023860	7/11/2014
Holden Cremation and Funeral Service LLC	2014029929	8/20/2014
Millard Family Chapels, Inc.	2014031702	9/4/2014

Funeral Establishment 8

Licensee Name	License #	Orig Issue Date
Spencer, Erica R	2014020682	6/24/2014
ay, Brian Otto	2014021487	6/26/2014
Smith, Jimmy Edward	2014022923	7/7/2014
Schooler, James Wesley	2014023268	7/8/2014
Branch, Zakee Ameen	2014023881	7/11/2014

Original Licenses Issued
Between 06/20/2014 and 09/11/2014

Board Name

Embalmers & Funeral Directors

Licensee Name	License #	Orig Issue Date
Jenkins, Christopher Wayne	2014024519	7/16/2014
Clardy, Kevin Kays	2014026188	7/28/2014
Freeman, Ryan Christopher	2014026189	7/28/2014
Reichard, Rebecca Ann	2014026190	7/28/2014
Miller, Robert Gustav, II	2014026471	7/29/2014
Michel, Kevin H	2014026796	7/30/2014
Bichsel, BreAnna Paige	2014027422	8/5/2014
Markel, Ronald Bradley	2014029516	8/18/2014
Smolik, Stephen Douglas	2014029521	8/18/2014
Stone, Timothy Michael	2014030100	8/21/2014

Preneed Agent Funeral Director 15

Licensee Name	License #	Orig Issue Date
Riley, Scott Allan	2014020678	6/24/2014
Delkescamp, Douglas Wade	2014020690	6/24/2014
Collings, Sasha Nicholle	2014021921	6/30/2014
Eck, Debra Kim	2014021934	6/30/2014
Volkart, Cody Steven	2014022105	6/30/2014
Stutenkemper, Dakotah Diann	2014024043	7/14/2014
Dickensheets, Rachel L	2014026456	7/29/2014
Lyons, Lawrence P.J.	2014027833	8/6/2014
Powley, Gerald Stephen	2014027834	8/6/2014
Brokaw, Michelle Marie	2014029509	8/18/2014
Wilson, Angela Kaye	2014029568	8/18/2014
Roth, Candice Susan	2014031760	9/4/2014

'reneed Agent 12

Licensee Name	License #	Orig Issue Date
Sig-Mo Assets LLC	2014020424	6/23/2014
Sig-Mo Assets LLC	2014020425	6/23/2014
GWG Legacy LLC	2014020846	6/24/2014
Charles M. Hanson	2014021646	6/27/2014
Assurance Cremation Society Inc	2014023859	7/11/2014
Millard Family Chapels, Inc	2014031703	9/4/2014

reneed Provider 6

Licensee Name	License #	Orig Issue Date
Sig-Mo Assets LLC	2014020426	6/23/2014
GWG Legacy LLC	2014020847	6/24/2014
Assurance Cremation Society Inc.	2014023861	7/11/2014

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otal count for the Embalmers & Funeral Directors board: 64

Closed Funeral Establishments, Preneed Providers, and Preneed Sellers
Between 6/20/2014 and 9/11/2014

Name	Lic Number	Address	License Status	Exp Date	Closed Date
Funeral Establishment					
Perpetua Holdings Inc	002720	4800-4828 Natural Bridge Road St. Louis, MO 63115	Closed/Change of Owner	12/31/2015	6/24/2014
Perpetua Holdings Inc	002719	4800 Natural Bridge Road Saint Louis, MO 63115	Closed/Change of Owner	12/31/2015	6/24/2014
SCI Missouri Funeral Services, Inc.	002407	801 NW 108th Street Kansas City, MO 64155	Closed/Out of Business	12/31/2015	6/23/2014
D & L Pollock, Inc.	2005024536	902 East North St Eldon, MO 65026	Closed/Change of Owner	12/31/2015	9/4/2014
D.W. Newcomer's Sons, Inc.	002739	12700 S Raytown Rd Kansas City, MO 64149	Closed/Out of Business	12/31/2015	6/23/2014
Preneed Provider					
D & L Pollock, Inc	2009038426	902 E North St Eldon, MO 65026	Closed/Change of Owner	10/31/2014	9/4/2014
D.W. Newcomer's Sons, Inc	2009037187	12700 Raytown Rd Kansas City, MO 64149	Closed/Out of Business	10/31/2014	6/23/2014
Perpetua Holdings, Inc	2009039083	4800 Natural Bridge Saint Louis, MO 63115	Closed/Change of Owner	10/31/2014	6/24/2014
SCI Missouri Funeral Services, Inc	2009038941	801 NW 108th Street Kansas City, MO 64155	Closed/Out of Business	10/31/2014	6/23/2014
Preneed Seller					
Perpetua Holdings Inc	2011037043	4800 Natural Bridge Saint Louis, MO 63115	Closed/Change of Owner	10/31/2014	6/24/2014

Missouri Division of Professional Registration
3605 Missouri Blvd.
Jefferson City, Missouri 65102
(573) 751-0293

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

Complaint: 2012-007485 **Friday, Oscar EMB 006193- Board Investigation 3 years PROBATION**

Friday, Oscar E, Jr S/C: ☐

07/15/2014

Probation

Joint Stipulation of Facts and Conclusions of Law

The parties agree and stipulate to the following findings of fact and conclusions of law:

The Parties and License

The Board is an agency of the state of Missouri created and established by Section 333.151, RSMo, for the purposes of executing and enforcing the provisions of Chapter 333, RSMo, and the portions of Chapter 436, RSMo, related to preneed funeral contracts.

Friday is an individual who has registered his address with the Board at 1315 E. 60th Street, Kansas City, Missouri 64110.

Friday holds funeral director license number 004809 that is current and active, but suspended as of October 20, 2012 due to Friday's failure to comply with Missouri tax laws per Section 324.010, RSMo.

Friday holds embalmer license number 006193 that current and active, but suspended as of October 20, 2012 due to Friday's failure to comply with Missouri tax laws per Section 324.010, RSMo.

Conduct Giving Cause for Discipline

Friday's funeral director and embalmer licenses were both suspended by operation of law on October 20, 2012 due to Friday's failure to comply with Missouri tax laws.

By letter dated October 25, 2012, the Board notified Friday of the suspension of his funeral director and embalmer licenses and advised Friday that he could not practice as an embalmer or funeral director until the administrative suspension was lifted.

On November 7, 2012, the Board's inspector visited Friday's employer's funeral establishment and met with Mr. Friday.

During the November 7, 2012 interview, Mr. Friday denied practicing as an embalmer while his license was suspended.

Between October 31, 2012 and November 5, 2012, while his embalmer's license was suspended, Mr. Friday embalmed six bodies.

While his license was suspended, Friday held out to his employer and the public that he held an embalmer license that was current and active.

The Board has cause to discipline Licensee's funeral director and embalmer licenses pursuant to Section 333.330.2 (5), (6), (7), and (14), RSMo.

Jurisdiction and Venue
The Board possesses jurisdiction over this matter pursuant to Section 324.042, RSMo, and pursuant to paragraphs 22 and 23 of the Funeral Director Probation Order.

Venue is proper.

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

Complaint: 2013-006669 **Polley Funeral Home FUN2006025730/2007008991/2007008989 PNS2009039723 PNP2009039722/2009039721/2**

Polley Funeral Home LLC S/C: ☐

DBA: Polley Funeral Home 07/29/2014

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

Suspension

Joint Stipulation of Facts and Conclusions of Law

The parties agree and stipulate to the following findings of fact and conclusions of law:
Parties and Licenses

The Board is an agency of the State of Missouri created and established pursuant to Section 333.151, RSMo, and vested with the authority to execute and enforce the provisions of Chapter 333 and portions of Chapter 436, RSMo.
Polley Funeral holds funeral establishment license number 2007008989 and has registered this funeral establishment's address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039722 and has registered this provider's license address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2006025730 and has registered this funeral establishment's address with the Board as 122 W N Main, Richmond, Missouri 64085 (the "Richmond Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039721 and has registered this provider's address with the Board as 122 W. Main, Richmond, Missouri 64085 (the "Richmond Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2007008991 and has registered this establishment's address with the Board as 5951 E Highway10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039724 and has registered this provider's address with the Board as 5951 E. Highway 10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds seller license number 2009039723 and has registered this seller's address as 5951 E. Highway 10, P.O. Box 271, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Seller"). This license was current and active until it expired on October 31, 2012.

Toby Polley ("Polley") holds funeral director license number 006070 and has registered his address with the Board as 5951 East Highway 10, P.O. Box 271, Excelsior Springs, Missouri. Polley's funeral director license is and has been at all relevant times, current and active.

Polley serves as funeral director in charge for the Lawson Establishment, the Richmond Establishment and the Excelsior Springs Establishment.

As funeral director in charge, Polley is responsible for the supervision and management of each funeral establishment and to ensure each establishment's

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establishment and to ensure each establishment's compliance with applicable Missouri statutes and regulations.

Polley serves as the manager in charge for the Excelsior Springs Seller.

As manager in charge for the Excelsior Springs Seller, Polley is responsible for the supervision and management of the seller's business and to ensure the seller complies with applicable Missouri statutes and regulations.

For the purposes of this document, the Richmond Establishment, the Lawson Establishment and the Excelsior Springs Establishment licenses, collectively will be referred to as the "Establishment Licenses." The Richmond Provider, the Lawson Provider and the Excelsior Springs Provider licenses, collectively, will be referred to as the "Provider Licenses." The Richmond Establishment, the Lawson Establishment, the Excelsior Springs Establishment, the Richmond Provider, the Lawson Provider, the Excelsior Springs Provider, and the Excelsior Springs Seller licenses, collectively, will be referred to as the "Polley Licenses."

Conduct Giving Cause for Discipline

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Excelsior Springs Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Seller license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral acted as a preneed seller using the Excelsior Springs Seller license. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Lawson Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Lawson Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Richmond Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Richmond Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 29, 2013, the Board mailed Polley at Polley Funeral a letter reminding Polley Funeral that it had not reinstated its Provider Licenses nor the Excelsior Springs Seller license and that Polley Funeral had not responded to the Board's previous letters that Polley Funeral received on May 8, 2013. In this May 29, 2013 letter, the

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Board again request copies of documents and also notified Polley Funeral of the time, date and location for a scheduled appearance before the Board at its June 25, 2013 meeting.

By fax on June 21, 2013, Polley provided the records requested by the Board.

On July 11 and July 22, 2013, the Board notified Polley Funeral, via fax, that the reinstatement renewals for the Provider Licenses and the Excelsior Springs Seller could not be renewed until Polley Funeral provided a "No Tax Due" certificate from the Missouri Department of Revenue. These faxes also reiterated to Polley Funeral that it could not lawfully practice as a seller or as a provider until the licenses were renewed.

On June 21, 2013, Polley Funeral responded to the Board's request and enclosed the requested documents and also indicated that it should be able to provide a "No Tax Due" certificate from the Missouri Department of Revenue on June 22, 2013 or as soon as the Missouri Department of Revenue could process Polley Funeral's payment.

On June 21, 2013, Polley Funeral faxed to the Board the following reinstatement requests:
a. Excelsior Springs Provider "Reinstatement" signed by Polley on May 14, 2013;
b. Lawson Provider "Reinstatement" signed by Polley on May 14, 2013;
c. Richmond Provider "Reinstatement" signed by Polley on May 14, 2013; and
d. Excelsior Springs Seller "Reinstatement" signed by Polley on June 19, 2013 and included the seller's annual report that had been due on October 31, 2012.

On July 25, 2013, Polley called the Board office to say that he had not been able to obtain a "No Tax Due" certificate from the Missouri Department of Revenue, but that Polley was told that the Missouri Department of Revenue that it might be another month or two before he could obtain the certificate.

On September 4, 2013, Polley contacted the Board office and told the Board he expected to have everything to Missouri Department of Revenue in the next couple of days.

On November 22, 2013, the Board's inspector conducted an inspection of Polley Funeral and submitted his report of that inspection to the Board on December 6, 2013 (the November Inspection).

At the November Inspection, the Excelsior Springs Establishment was open for business and had the following violations:
a. Polley Funeral displayed Seller License number 2009039723 that was expired;
b. Polley Funeral displayed provider license number 2009039724 that was expired;
c. The register log was not up to date with the last entry being September 18, 2013 and the Excelsior Springs Establishment had had 22 funerals since September 18, 2013; and
d. The Excelsior Springs Establishment could not provide a current backflow inspection.

At the November Inspection, the Lawson Establishment had the following violations:
a.. The Lawson Establishment displayed preneed seller license number 2009039723 that was expired; and

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b. The Lawson Establishment displayed preneed provider license number 2009039722 that was expired.

The November Inspection found the following violations at the Richmond Establishment:

The Richmond Establishment displayed preneed seller license number 2009039723 that was expired; and

The Richmond Establishment displayed preneed provider license number 2009039721 that was expired.

At the November Inspection Polley was not available to meet with the inspector.

The Board's inspector asked the employee of Polley Funeral that was present for the inspection to ask Polley to contact the Board's inspector and requested that Polley provide to the Board's inspector the date of the last backflow inspection for the Excelsior Springs Establishment, copies of preneed contracts that had been provided since November 2, 2012 and an updated register log.

Polley never contacted the Board's inspector nor did he or anyone else with Polley Funeral supply the information the Board requested at the November Inspection except on June 21, 2013, Polley faxed to the Board office copies of preneed contracts that had been provided since November 2, 2012.

Polley Funeral's Establishment Licenses expired on December 31, 2013 because they were not renewed on or before December 31, 2013.

By letters dated January 10, 2014 sent by both certified and regular mail to each funeral establishment, the Board notified Polley at Polley Funeral that all Establishment Licenses had expired due to non-renewal and included instructions for reinstatement.

The Board received confirmation of delivery of each of these letters to each of the establishments.

By letter dated February 11, 2014 and by e-mail on February 11, 2014, the Board confirmed a telephone conversation with Polley about what he needed to do to have the Funeral Establishment, Seller and Provider Licenses reinstated.

On February 24, 2014, the Board again provided Polley with instruction and forms to complete the reinstatement of Polley Funeral's Licenses.

Polley Funeral continued to operate as a funeral establishment as the Excelsior Springs Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Lawson Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Richmond Establishment, even though it held no license to do so.

Since Polley Funeral's Funeral Establishment Licenses lapsed, Polley Funeral has handled final disposition for at least 19 decedents.

Polley Funeral continued to act as a provider after November 1, 2012, even though it held no license to do so and provided at least 8 preneed contracts during the

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so and provided at least 8 preneed contracts during the time its provider licenses were expired.

Polley Funeral continued to act as a seller after November 1, 2012, even though it held no license to do so and acted as seller by continuing to hold active preneed contracts and by acting as a seller in the fulfillment of at least 8 preneed contracts during the time its seller license was expired.

Cause to Discipline

Polley Funeral failed to renew times its Excelsior Springs Seller license, but continued to operate and practice as a seller and held out to the public that it was so licensed from November 1, 2012 until the present and when it held no valid license to do so.

Polley Funeral failed to file its seller annual report due on or before October 31, 2012 and, as of the date of signing this Settlement Agreement has failed to do so and failed to file the seller annual report due on or before October 31, 2013.

Polley Funeral failed to renew timely its Lawson Provider, its Richmond Provider, and its Excelsior Springs Provider licenses, but continued to hold out to the public and act as a provider at each location and provided at least 8 preneed contracts from November 1, 2012 until the present and during that time it held no provider license.

Polley Funeral failed to renew the Polley Establishment Licenses on or before December 31, 2013, but continued to hold out to the public and to operate as a funeral establishment at each location from January 1, 2014 and to the present even though it held no license to operate at any of the three locations.

The Board has cause to discipline the Polley Licenses pursuant to Section 333.330.2, (6), (7), (13), (14), and (19), RSMo.

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Complaint: 2013-006669 **Polley Funeral Home FUN2006025730/2007008991/2007008989 PNS2009039723 PNP2009039722/2009039721/2**

Polley Funeral Home LLC S/C: ☐

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Suspension

Joint Stipulation of Facts and Conclusions of Law

The parties agree and stipulate to the following findings of fact and conclusions of law:
Parties and Licenses

The Board is an agency of the State of Missouri created and established pursuant to Section 333.151, RSMo, and vested with the authority to execute and enforce the provisions of Chapter 333 and portions of Chapter 436, RSMo.
Polley Funeral holds funeral establishment license number 2007008989 and has registered this funeral establishment's address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039722 and has registered this provider's license address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2006025730 and has registered this funeral establishment's address with the Board as 122 W N Main, Richmond, Missouri 64085 (the "Richmond Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039721 and has registered this provider's address with the Board as 122 W. Main, Richmond, Missouri 64085 (the "Richmond Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2007008991 and has registered this establishment's address with the Board as 5951 E Highway10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039724 and has registered this provider's address with the Board as 5951 E. Highway 10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds seller license number 2009039723 and has registered this seller's address as 5951 E. Highway 10, P.O. Box 271, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Seller"). This license was current and active until it expired on October 31, 2012.

Toby Polley ("Polley") holds funeral director license number 006070 and has registered his address with the Board as 5951 East Highway 10, P.O. Box 271, Excelsior Springs, Missouri. Polley's funeral director license is and has been at all relevant times, current and active.

Polley serves as funeral director in charge for the Lawson Establishment, the Richmond Establishment and the Excelsior Springs Establishment.

As funeral director in charge, Polley is responsible for the supervision and management of each funeral establishment and to ensure each establishment's

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establishment and to ensure each establishment's compliance with applicable Missouri statutes and regulations.

Polley serves as the manager in charge for the Excelsior Springs Seller.

As manager in charge for the Excelsior Springs Seller, Polley is responsible for the supervision and management of the seller's business and to ensure the seller complies with applicable Missouri statutes and regulations.

For the purposes of this document, the Richmond Establishment, the Lawson Establishment and the Excelsior Springs Establishment licenses, collectively will be referred to as the "Establishment Licenses." The Richmond Provider, the Lawson Provider and the Excelsior Springs Provider licenses, collectively, will be referred to as the "Provider Licenses." The Richmond Establishment, the Lawson Establishment, the Excelsior Springs Establishment, the Richmond Provider, the Lawson Provider, the Excelsior Springs Provider, and the Excelsior Springs Seller licenses, collectively, will be referred to as the "Polley Licenses."

Conduct Giving Cause for Discipline

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Excelsior Springs Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Seller license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral acted as a preneed seller using the Excelsior Springs Seller license. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Lawson Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Lawson Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Richmond Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Richmond Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 29, 2013, the Board mailed Polley at Polley Funeral a letter reminding Polley Funeral that it had not reinstated its Provider Licenses nor the Excelsior Springs Seller license and that Polley Funeral had not responded to the Board's previous letters that Polley Funeral received on May 8, 2013. In this May 29, 2013 letter, the

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Board again request copies of documents and also notified Polley Funeral of the time, date and location for a scheduled appearance before the Board at its June 25, 2013 meeting.

By fax on June 21, 2013, Polley provided the records requested by the Board.

On July 11 and July 22, 2013, the Board notified Polley Funeral, via fax, that the reinstatement renewals for the Provider Licenses and the Excelsior Springs Seller could not be renewed until Polley Funeral provided a "No Tax Due" certificate from the Missouri Department of Revenue. These faxes also reiterated to Polley Funeral that it could not lawfully practice as a seller or as a provider until the licenses were renewed.

On June 21, 2013, Polley Funeral responded to the Board's request and enclosed the requested documents and also indicated that it should be able to provide a "No Tax Due" certificate from the Missouri Department of Revenue on June 22, 2013 or as soon as the Missouri Department of Revenue could process Polley Funeral's payment.

On June 21, 2013, Polley Funeral faxed to the Board the following reinstatement requests:
a. Excelsior Springs Provider "Reinstatement" signed by Polley on May 14, 2013;
b. Lawson Provider "Reinstatement" signed by Polley on May 14, 2013;
c. Richmond Provider "Reinstatement" signed by Polley on May 14, 2013; and
d. Excelsior Springs Seller "Reinstatement" signed by Polley on June 19, 2013 and included the seller's annual report that had been due on October 31, 2012.

On July 25, 2013, Polley called the Board office to say that he had not been able to obtain a "No Tax Due" certificate from the Missouri Department of Revenue, but that Polley was told that the Missouri Department of Revenue that it might be another month or two before he could obtain the certificate.

On September 4, 2013, Polley contacted the Board office and told the Board he expected to have everything to Missouri Department of Revenue in the next couple of days.

On November 22, 2013, the Board's inspector conducted an inspection of Polley Funeral and submitted his report of that inspection to the Board on December 6, 2013 (the November Inspection).

At the November Inspection, the Excelsior Springs Establishment was open for business and had the following violations:
a. Polley Funeral displayed Seller License number 2009039723 that was expired;
b. Polley Funeral displayed provider license number 2009039724 that was expired;
c. The register log was not up to date with the last entry being September 18, 2013 and the Excelsior Springs Establishment had had 22 funerals since September 18, 2013; and
d. The Excelsior Springs Establishment could not provide a current backflow inspection.

At the November Inspection, the Lawson Establishment had the following violations:
a.. The Lawson Establishment displayed preneed seller license number 2009039723 that was expired; and

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b. The Lawson Establishment displayed preneed provider license number 2009039722 that was expired.

The November Inspection found the following violations at the Richmond Establishment:

The Richmond Establishment displayed preneed seller license number 2009039723 that was expired; and

The Richmond Establishment displayed preneed provider license number 2009039721 that was expired.

At the November Inspection Polley was not available to meet with the inspector.

The Board's inspector asked the employee of Polley Funeral that was present for the inspection to ask Polley to contact the Board's inspector and requested that Polley provide to the Board's inspector the date of the last backflow inspection for the Excelsior Springs Establishment, copies of preneed contracts that had been provided since November 2, 2012 and an updated register log.

Polley never contacted the Board's inspector nor did he or anyone else with Polley Funeral supply the information the Board requested at the November Inspection except on June 21, 2013, Polley faxed to the Board office copies of preneed contracts that had been provided since November 2, 2012.

Polley Funeral's Establishment Licenses expired on December 31, 2013 because they were not renewed on or before December 31, 2013.

By letters dated January 10, 2014 sent by both certified and regular mail to each funeral establishment, the Board notified Polley at Polley Funeral that all Establishment Licenses had expired due to non-renewal and included instructions for reinstatement.

The Board received confirmation of delivery of each of these letters to each of the establishments.

By letter dated February 11, 2014 and by e-mail on February 11, 2014, the Board confirmed a telephone conversation with Polley about what he needed to do to have the Funeral Establishment, Seller and Provider Licenses reinstated.

On February 24, 2014, the Board again provided Polley with instruction and forms to complete the reinstatement of Polley Funeral's Licenses.

Polley Funeral continued to operate as a funeral establishment as the Excelsior Springs Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Lawson Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Richmond Establishment, even though it held no license to do so.

Since Polley Funeral's Funeral Establishment Licenses lapsed, Polley Funeral has handled final disposition for at least 19 decedents.

Polley Funeral continued to act as a provider after November 1, 2012, even though it held no license to do so and provided at least 8 preneed contracts during the

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so and provided at least 8 preneed contracts during the time its provider licenses were expired.

Polley Funeral continued to act as a seller after November 1, 2012, even though it held no license to do so and acted as seller by continuing to hold active preneed contracts and by acting as a seller in the fulfillment of at least 8 preneed contracts during the time its seller license was expired.

Cause to Discipline

Polley Funeral failed to renew times its Excelsior Springs Seller license, but continued to operate and practice as a seller and held out to the public that it was so licensed from November 1, 2012 until the present and when it held no valid license to do so.

Polley Funeral failed to file its seller annual report due on or before October 31, 2012 and, as of the date of signing this Settlement Agreement has failed to do so and failed to file the seller annual report due on or before October 31, 2013.

Polley Funeral failed to renew timely its Lawson Provider, its Richmond Provider, and its Excelsior Springs Provider licenses, but continued to hold out to the public and act as a provider at each location and provided at least 8 preneed contracts from November 1, 2012 until the present and during that time it held no provider license.

Polley Funeral failed to renew the Polley Establishment Licenses on or before December 31, 2013, but continued to hold out to the public and to operate as a funeral establishment at each location from January 1, 2014 and to the present even though it held no license to operate at any of the three locations.

The Board has cause to discipline the Polley Licenses pursuant to Section 333.330.2, (6), (7), (13), (14), and (19), RSMo.

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Complaint: 2013-006669 **Polley Funeral Home FUN2006025730/2007008991/2007008989 PNS2009039723 PNP2009039722/2009039721/2**

Polley Funeral Home LLC S/C: ☐

DBA: Polley Funeral Home 07/29/2014

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Suspension

Joint Stipulation of Facts and Conclusions of Law

The parties agree and stipulate to the following findings of fact and conclusions of law:
Parties and Licenses

The Board is an agency of the State of Missouri created and established pursuant to Section 333.151, RSMo, and vested with the authority to execute and enforce the provisions of Chapter 333 and portions of Chapter 436, RSMo.
Polley Funeral holds funeral establishment license number 2007008989 and has registered this funeral establishment's address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039722 and has registered this provider's license address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2006025730 and has registered this funeral establishment's address with the Board as 122 W N Main, Richmond, Missouri 64085 (the "Richmond Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039721 and has registered this provider's address with the Board as 122 W. Main, Richmond, Missouri 64085 (the "Richmond Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2007008991 and has registered this establishment's address with the Board as 5951 E Highway10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039724 and has registered this provider's address with the Board as 5951 E. Highway 10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds seller license number 2009039723 and has registered this seller's address as 5951 E. Highway 10, P.O. Box 271, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Seller"). This license was current and active until it expired on October 31, 2012.

Toby Polley ("Polley") holds funeral director license number 006070 and has registered his address with the Board as 5951 East Highway 10, P.O. Box 271, Excelsior Springs, Missouri. Polley's funeral director license is and has been at all relevant times, current and active.

Polley serves as funeral director in charge for the Lawson Establishment, the Richmond Establishment and the Excelsior Springs Establishment.

As funeral director in charge, Polley is responsible for the supervision and management of each funeral establishment and to ensure each establishment's

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establishment and to ensure each establishment's compliance with applicable Missouri statutes and regulations.

Polley serves as the manager in charge for the Excelsior Springs Seller.

As manager in charge for the Excelsior Springs Seller, Polley is responsible for the supervision and management of the seller's business and to ensure the seller complies with applicable Missouri statutes and regulations.

For the purposes of this document, the Richmond Establishment, the Lawson Establishment and the Excelsior Springs Establishment licenses, collectively will be referred to as the "Establishment Licenses." The Richmond Provider, the Lawson Provider and the Excelsior Springs Provider licenses, collectively, will be referred to as the "Provider Licenses." The Richmond Establishment, the Lawson Establishment, the Excelsior Springs Establishment, the Richmond Provider, the Lawson Provider, the Excelsior Springs Provider, and the Excelsior Springs Seller licenses, collectively, will be referred to as the "Polley Licenses."

Conduct Giving Cause for Discipline

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Excelsior Springs Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Seller license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral acted as a preneed seller using the Excelsior Springs Seller license. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Lawson Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Lawson Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Richmond Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Richmond Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 29, 2013, the Board mailed Polley at Polley Funeral a letter reminding Polley Funeral that it had not reinstated its Provider Licenses nor the Excelsior Springs Seller license and that Polley Funeral had not responded to the Board's previous letters that Polley Funeral received on May 8, 2013. In this May 29, 2013 letter, the

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Board again request copies of documents and also notified Polley Funeral of the time, date and location for a scheduled appearance before the Board at its June 25, 2013 meeting.

By fax on June 21, 2013, Polley provided the records requested by the Board.

On July 11 and July 22, 2013, the Board notified Polley Funeral, via fax, that the reinstatement renewals for the Provider Licenses and the Excelsior Springs Seller could not be renewed until Polley Funeral provided a "No Tax Due" certificate from the Missouri Department of Revenue. These faxes also reiterated to Polley Funeral that it could not lawfully practice as a seller or as a provider until the licenses were renewed.

On June 21, 2013, Polley Funeral responded to the Board's request and enclosed the requested documents and also indicated that it should be able to provide a "No Tax Due" certificate from the Missouri Department of Revenue on June 22, 2013 or as soon as the Missouri Department of Revenue could process Polley Funeral's payment.

On June 21, 2013, Polley Funeral faxed to the Board the following reinstatement requests:
a. Excelsior Springs Provider "Reinstatement" signed by Polley on May 14, 2013;
b. Lawson Provider "Reinstatement" signed by Polley on May 14, 2013;
c. Richmond Provider "Reinstatement" signed by Polley on May 14, 2013; and
d. Excelsior Springs Seller "Reinstatement" signed by Polley on June 19, 2013 and included the seller's annual report that had been due on October 31, 2012.

On July 25, 2013, Polley called the Board office to say that he had not been able to obtain a "No Tax Due" certificate from the Missouri Department of Revenue, but that Polley was told that the Missouri Department of Revenue that it might be another month or two before he could obtain the certificate.

On September 4, 2013, Polley contacted the Board office and told the Board he expected to have everything to Missouri Department of Revenue in the next couple of days.

On November 22, 2013, the Board's inspector conducted an inspection of Polley Funeral and submitted his report of that inspection to the Board on December 6, 2013 (the November Inspection).

At the November Inspection, the Excelsior Springs Establishment was open for business and had the following violations:
a. Polley Funeral displayed Seller License number 2009039723 that was expired;
b. Polley Funeral displayed provider license number 2009039724 that was expired;
c. The register log was not up to date with the last entry being September 18, 2013 and the Excelsior Springs Establishment had had 22 funerals since September 18, 2013; and
d. The Excelsior Springs Establishment could not provide a current backflow inspection.

At the November Inspection, the Lawson Establishment had the following violations:
a.. The Lawson Establishment displayed preneed seller license number 2009039723 that was expired; and

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(573) 751-0293

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b. The Lawson Establishment displayed preneed provider license number 2009039722 that was expired.

The November Inspection found the following violations at the Richmond Establishment:

The Richmond Establishment displayed preneed seller license number 2009039723 that was expired; and

The Richmond Establishment displayed preneed provider license number 2009039721 that was expired.

At the November Inspection Polley was not available to meet with the inspector.

The Board's inspector asked the employee of Polley Funeral that was present for the inspection to ask Polley to contact the Board's inspector and requested that Polley provide to the Board's inspector the date of the last backflow inspection for the Excelsior Springs Establishment, copies of preneed contracts that had been provided since November 2, 2012 and an updated register log.

Polley never contacted the Board's inspector nor did he or anyone else with Polley Funeral supply the information the Board requested at the November Inspection except on June 21, 2013, Polley faxed to the Board office copies of preneed contracts that had been provided since November 2, 2012.

Polley Funeral's Establishment Licenses expired on December 31, 2013 because they were not renewed on or before December 31, 2013.

By letters dated January 10, 2014 sent by both certified and regular mail to each funeral establishment, the Board notified Polley at Polley Funeral that all Establishment Licenses had expired due to non-renewal and included instructions for reinstatement.

The Board received confirmation of delivery of each of these letters to each of the establishments.

By letter dated February 11, 2014 and by e-mail on February 11, 2014, the Board confirmed a telephone conversation with Polley about what he needed to do to have the Funeral Establishment, Seller and Provider Licenses reinstated.

On February 24, 2014, the Board again provided Polley with instruction and forms to complete the reinstatement of Polley Funeral's Licenses.

Polley Funeral continued to operate as a funeral establishment as the Excelsior Springs Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Lawson Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Richmond Establishment, even though it held no license to do so.

Since Polley Funeral's Funeral Establishment Licenses lapsed, Polley Funeral has handled final disposition for at least 19 decedents.

Polley Funeral continued to act as a provider after November 1, 2012, even though it held no license to do so and provided at least 8 preneed contracts during the

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

so and provided at least 8 preneed contracts during the time its provider licenses were expired.

Polley Funeral continued to act as a seller after November 1, 2012, even though it held no license to do so and acted as seller by continuing to hold active preneed contracts and by acting as a seller in the fulfillment of at least 8 preneed contracts during the time its seller license was expired.

Cause to Discipline

Polley Funeral failed to renew times its Excelsior Springs Seller license, but continued to operate and practice as a seller and held out to the public that it was so licensed from November 1, 2012 until the present and when it held no valid license to do so.

Polley Funeral failed to file its seller annual report due on or before October 31, 2012 and, as of the date of signing this Settlement Agreement has failed to do so and failed to file the seller annual report due on or before October 31, 2013.

Polley Funeral failed to renew timely its Lawson Provider, its Richmond Provider, and its Excelsior Springs Provider licenses, but continued to hold out to the public and act as a provider at each location and provided at least 8 preneed contracts from November 1, 2012 until the present and during that time it held no provider license.

Polley Funeral failed to renew the Polley Establishment Licenses on or before December 31, 2013, but continued to hold out to the public and to operate as a funeral establishment at each location from January 1, 2014 and to the present even though it held no license to operate at any of the three locations.

The Board has cause to discipline the Polley Licenses pursuant to Section 333.330.2, (6), (7), (13), (14), and (19), RSMo.

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Complaint: 2013-006669 **Polley Funeral Home FUN2006025730/2007008991/2007008989 PNS2009039723 PNP2009039722/2009039721/2**

Polley Funeral Home, LLC S/C: ☐

07/29/2014

3605 Missouri Blvd.
Jefferson City, Missouri 65102
(573) 751-0293

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

Suspension

Joint Stipulation of Facts and Conclusions of Law

The parties agree and stipulate to the following findings of fact and conclusions of law:
Parties and Licenses

The Board is an agency of the State of Missouri created and established pursuant to Section 333.151, RSMo, and vested with the authority to execute and enforce the provisions of Chapter 333 and portions of Chapter 436, RSMo.
Polley Funeral holds funeral establishment license number 2007008989 and has registered this funeral establishment's address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039722 and has registered this provider's license address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2006025730 and has registered this funeral establishment's address with the Board as 122 W N Main, Richmond, Missouri 64085 (the "Richmond Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039721 and has registered this provider's address with the Board as 122 W. Main, Richmond, Missouri 64085 (the "Richmond Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2007008991 and has registered this establishment's address with the Board as 5951 E Highway10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039724 and has registered this provider's address with the Board as 5951 E. Highway 10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds seller license number 2009039723 and has registered this seller's address as 5951 E. Highway 10, P.O. Box 271, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Seller"). This license was current and active until it expired on October 31, 2012.

Toby Polley ("Polley") holds funeral director license number 006070 and has registered his address with the Board as 5951 East Highway 10, P.O. Box 271, Excelsior Springs, Missouri. Polley's funeral director license is and has been at all relevant times, current and active.

Polley serves as funeral director in charge for the Lawson Establishment, the Richmond Establishment and the Excelsior Springs Establishment.

As funeral director in charge, Polley is responsible for the supervision and management of each funeral establishment and to ensure each establishment's

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establishment and to ensure each establishment's compliance with applicable Missouri statutes and regulations.

Polley serves as the manager in charge for the Excelsior Springs Seller.

As manager in charge for the Excelsior Springs Seller, Polley is responsible for the supervision and management of the seller's business and to ensure the seller complies with applicable Missouri statutes and regulations.

For the purposes of this document, the Richmond Establishment, the Lawson Establishment and the Excelsior Springs Establishment licenses, collectively will be referred to as the "Establishment Licenses." The Richmond Provider, the Lawson Provider and the Excelsior Springs Provider licenses, collectively, will be referred to as the "Provider Licenses." The Richmond Establishment, the Lawson Establishment, the Excelsior Springs Establishment, the Richmond Provider, the Lawson Provider, the Excelsior Springs Provider, and the Excelsior Springs Seller licenses, collectively, will be referred to as the "Polley Licenses."

Conduct Giving Cause for Discipline

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Excelsior Springs Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Seller license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral acted as a preneed seller using the Excelsior Springs Seller license. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Lawson Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Lawson Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Richmond Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Richmond Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 29, 2013, the Board mailed Polley at Polley Funeral a letter reminding Polley Funeral that it had not reinstated its Provider Licenses nor the Excelsior Springs Seller license and that Polley Funeral had not responded to the Board's previous letters that Polley Funeral received on May 8, 2013. In this May 29, 2013 letter, the

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Board again request copies of documents and also notified Polley Funeral of the time, date and location for a scheduled appearance before the Board at its June 25, 2013 meeting.

By fax on June 21, 2013, Polley provided the records requested by the Board.

On July 11 and July 22, 2013, the Board notified Polley Funeral, via fax, that the reinstatement renewals for the Provider Licenses and the Excelsior Springs Seller could not be renewed until Polley Funeral provided a "No Tax Due" certificate from the Missouri Department of Revenue. These faxes also reiterated to Polley Funeral that it could not lawfully practice as a seller or as a provider until the licenses were renewed.

On June 21, 2013, Polley Funeral responded to the Board's request and enclosed the requested documents and also indicated that it should be able to provide a "No Tax Due" certificate from the Missouri Department of Revenue on June 22, 2013 or as soon as the Missouri Department of Revenue could process Polley Funeral's payment.

On June 21, 2013, Polley Funeral faxed to the Board the following reinstatement requests:
a. Excelsior Springs Provider "Reinstatement" signed by Polley on May 14, 2013;
b. Lawson Provider "Reinstatement" signed by Polley on May 14, 2013;
c. Richmond Provider "Reinstatement" signed by Polley on May 14, 2013; and
d. Excelsior Springs Seller "Reinstatement" signed by Polley on June 19, 2013 and included the seller's annual report that had been due on October 31, 2012.

On July 25, 2013, Polley called the Board office to say that he had not been able to obtain a "No Tax Due" certificate from the Missouri Department of Revenue, but that Polley was told that the Missouri Department of Revenue that it might be another month or two before he could obtain the certificate.

On September 4, 2013, Polley contacted the Board office and told the Board he expected to have everything to Missouri Department of Revenue in the next couple of days.

On November 22, 2013, the Board's inspector conducted an inspection of Polley Funeral and submitted his report of that inspection to the Board on December 6, 2013 (the November Inspection).

At the November Inspection, the Excelsior Springs Establishment was open for business and had the following violations:
a. Polley Funeral displayed Seller License number 2009039723 that was expired;
b. Polley Funeral displayed provider license number 2009039724 that was expired;
c. The register log was not up to date with the last entry being September 18, 2013 and the Excelsior Springs Establishment had had 22 funerals since September 18, 2013; and
d. The Excelsior Springs Establishment could not provide a current backflow inspection.

At the November Inspection, the Lawson Establishment had the following violations:
a.. The Lawson Establishment displayed preneed seller license number 2009039723 that was expired; and

Disciplinary Actions

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b. The Lawson Establishment displayed preneed provider license number 2009039722 that was expired.

The November Inspection found the following violations at the Richmond Establishment:

The Richmond Establishment displayed preneed seller license number 2009039723 that was expired; and

The Richmond Establishment displayed preneed provider license number 2009039721 that was expired.

At the November Inspection Polley was not available to meet with the inspector.

The Board's inspector asked the employee of Polley Funeral that was present for the inspection to ask Polley to contact the Board's inspector and requested that Polley provide to the Board's inspector the date of the last backflow inspection for the Excelsior Springs Establishment, copies of preneed contracts that had been provided since November 2, 2012 and an updated register log.

Polley never contacted the Board's inspector nor did he or anyone else with Polley Funeral supply the information the Board requested at the November Inspection except on June 21, 2013, Polley faxed to the Board office copies of preneed contracts that had been provided since November 2, 2012.

Polley Funeral's Establishment Licenses expired on December 31, 2013 because they were not renewed on or before December 31, 2013.

By letters dated January 10, 2014 sent by both certified and regular mail to each funeral establishment, the Board notified Polley at Polley Funeral that all Establishment Licenses had expired due to non-renewal and included instructions for reinstatement.

The Board received confirmation of delivery of each of these letters to each of the establishments.

By letter dated February 11, 2014 and by e-mail on February 11, 2014, the Board confirmed a telephone conversation with Polley about what he needed to do to have the Funeral Establishment, Seller and Provider Licenses reinstated.

On February 24, 2014, the Board again provided Polley with instruction and forms to complete the reinstatement of Polley Funeral's Licenses.

Polley Funeral continued to operate as a funeral establishment as the Excelsior Springs Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Lawson Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Richmond Establishment, even though it held no license to do so.

Since Polley Funeral's Funeral Establishment Licenses lapsed, Polley Funeral has handled final disposition for at least 19 decedents.

Polley Funeral continued to act as a provider after November 1, 2012, even though it held no license to do so and provided at least 8 preneed contracts during the

Disciplinary Actions

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so and provided at least 8 preneed contracts during the time its provider licenses were expired.

Polley Funeral continued to act as a seller after November 1, 2012, even though it held no license to do so and acted as seller by continuing to hold active preneed contracts and by acting as a seller in the fulfillment of at least 8 preneed contracts during the time its seller license was expired.

Cause to Discipline

Polley Funeral failed to renew times its Excelsior Springs Seller license, but continued to operate and practice as a seller and held out to the public that it was so licensed from November 1, 2012 until the present and when it held no valid license to do so.

Polley Funeral failed to file its seller annual report due on or before October 31, 2012 and, as of the date of signing this Settlement Agreement has failed to do so and failed to file the seller annual report due on or before October 31, 2013.

Polley Funeral failed to renew timely its Lawson Provider, its Richmond Provider, and its Excelsior Springs Provider licenses, but continued to hold out to the public and act as a provider at each location and provided at least 8 preneed contracts from November 1, 2012 until the present and during that time it held no provider license.

Polley Funeral failed to renew the Polley Establishment Licenses on or before December 31, 2013, but continued to hold out to the public and to operate as a funeral establishment at each location from January 1, 2014 and to the present even though it held no license to operate at any of the three locations.

The Board has cause to discipline the Polley Licenses pursuant to Section 333.330.2, (6), (7), (13), (14), and (19), RSMo.

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

3605 Missouri Blvd.
Jefferson City, Missouri 65102
(573) 751-0293

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

Complaint: 2013-006669 **Polley Funeral Home FUN2006025730/2007008991/2007008989 PNS2009039723 PNP2009039722/2009039721/2**

Polley Funeral Home, LLC S/C: ☐

07/29/2014

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

Suspension

Joint Stipulation of Facts and Conclusions of Law

The parties agree and stipulate to the following findings of fact and conclusions of law:
Parties and Licenses

The Board is an agency of the State of Missouri created and established pursuant to Section 333.151, RSMo, and vested with the authority to execute and enforce the provisions of Chapter 333 and portions of Chapter 436, RSMo.
Polley Funeral holds funeral establishment license number 2007008989 and has registered this funeral establishment's address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039722 and has registered this provider's license address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2006025730 and has registered this funeral establishment's address with the Board as 122 W N Main, Richmond, Missouri 64085 (the "Richmond Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039721 and has registered this provider's address with the Board as 122 W. Main, Richmond, Missouri 64085 (the "Richmond Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2007008991 and has registered this establishment's address with the Board as 5951 E Highway10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039724 and has registered this provider's address with the Board as 5951 E. Highway 10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds seller license number 2009039723 and has registered this seller's address as 5951 E. Highway 10, P.O. Box 271, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Seller"). This license was current and active until it expired on October 31, 2012.

Toby Polley ("Polley") holds funeral director license number 006070 and has registered his address with the Board as 5951 East Highway 10, P.O. Box 271, Excelsior Springs, Missouri. Polley's funeral director license is and has been at all relevant times, current and active.

Polley serves as funeral director in charge for the Lawson Establishment, the Richmond Establishment and the Excelsior Springs Establishment.

As funeral director in charge, Polley is responsible for the supervision and management of each funeral establishment and to ensure each establishment's

Disciplinary Actions

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establishment and to ensure each establishment's compliance with applicable Missouri statutes and regulations.

Polley serves as the manager in charge for the Excelsior Springs Seller.

As manager in charge for the Excelsior Springs Seller, Polley is responsible for the supervision and management of the seller's business and to ensure the seller complies with applicable Missouri statutes and regulations.

For the purposes of this document, the Richmond Establishment, the Lawson Establishment and the Excelsior Springs Establishment licenses, collectively will be referred to as the "Establishment Licenses." The Richmond Provider, the Lawson Provider and the Excelsior Springs Provider licenses, collectively, will be referred to as the "Provider Licenses." The Richmond Establishment, the Lawson Establishment, the Excelsior Springs Establishment, the Richmond Provider, the Lawson Provider, the Excelsior Springs Provider, and the Excelsior Springs Seller licenses, collectively, will be referred to as the "Polley Licenses."

Conduct Giving Cause for Discipline

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Excelsior Springs Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Seller license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral acted as a preneed seller using the Excelsior Springs Seller license. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Lawson Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Lawson Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Richmond Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Richmond Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 29, 2013, the Board mailed Polley at Polley Funeral a letter reminding Polley Funeral that it had not reinstated its Provider Licenses nor the Excelsior Springs Seller license and that Polley Funeral had not responded to the Board's previous letters that Polley Funeral received on May 8, 2013. In this May 29, 2013 letter, the

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

Board again request copies of documents and also notified Polley Funeral of the time, date and location for a scheduled appearance before the Board at its June 25, 2013 meeting.

By fax on June 21, 2013, Polley provided the records requested by the Board.

On July 11 and July 22, 2013, the Board notified Polley Funeral, via fax, that the reinstatement renewals for the Provider Licenses and the Excelsior Springs Seller could not be renewed until Polley Funeral provided a "No Tax Due" certificate from the Missouri Department of Revenue. These faxes also reiterated to Polley Funeral that it could not lawfully practice as a seller or as a provider until the licenses were renewed.

On June 21, 2013, Polley Funeral responded to the Board's request and enclosed the requested documents and also indicated that it should be able to provide a "No Tax Due" certificate from the Missouri Department of Revenue on June 22, 2013 or as soon as the Missouri Department of Revenue could process Polley Funeral's payment.

On June 21, 2013, Polley Funeral faxed to the Board the following reinstatement requests:
a. Excelsior Springs Provider "Reinstatement" signed by Polley on May 14, 2013;
b. Lawson Provider "Reinstatement" signed by Polley on May 14, 2013;
c. Richmond Provider "Reinstatement" signed by Polley on May 14, 2013; and
d. Excelsior Springs Seller "Reinstatement" signed by Polley on June 19, 2013 and included the seller's annual report that had been due on October 31, 2012.

On July 25, 2013, Polley called the Board office to say that he had not been able to obtain a "No Tax Due" certificate from the Missouri Department of Revenue, but that Polley was told that the Missouri Department of Revenue that it might be another month or two before he could obtain the certificate.

On September 4, 2013, Polley contacted the Board office and told the Board he expected to have everything to Missouri Department of Revenue in the next couple of days.

On November 22, 2013, the Board's inspector conducted an inspection of Polley Funeral and submitted his report of that inspection to the Board on December 6, 2013 (the November Inspection).

At the November Inspection, the Excelsior Springs Establishment was open for business and had the following violations:
a. Polley Funeral displayed Seller License number 2009039723 that was expired;
b. Polley Funeral displayed provider license number 2009039724 that was expired;
c. The register log was not up to date with the last entry being September 18, 2013 and the Excelsior Springs Establishment had had 22 funerals since September 18, 2013; and
d. The Excelsior Springs Establishment could not provide a current backflow inspection.

At the November Inspection, the Lawson Establishment had the following violations:
a.. The Lawson Establishment displayed preneed seller license number 2009039723 that was expired; and

Disciplinary Actions

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b. The Lawson Establishment displayed preneed provider license number 2009039722 that was expired.

The November Inspection found the following violations at the Richmond Establishment:

The Richmond Establishment displayed preneed seller license number 2009039723 that was expired; and

The Richmond Establishment displayed preneed provider license number 2009039721 that was expired.

At the November Inspection Polley was not available to meet with the inspector.

The Board's inspector asked the employee of Polley Funeral that was present for the inspection to ask Polley to contact the Board's inspector and requested that Polley provide to the Board's inspector the date of the last backflow inspection for the Excelsior Springs Establishment, copies of preneed contracts that had been provided since November 2, 2012 and an updated register log.

Polley never contacted the Board's inspector nor did he or anyone else with Polley Funeral supply the information the Board requested at the November Inspection except on June 21, 2013, Polley faxed to the Board office copies of preneed contracts that had been provided since November 2, 2012.

Polley Funeral's Establishment Licenses expired on December 31, 2013 because they were not renewed on or before December 31, 2013.

By letters dated January 10, 2014 sent by both certified and regular mail to each funeral establishment, the Board notified Polley at Polley Funeral that all Establishment Licenses had expired due to non-renewal and included instructions for reinstatement.

The Board received confirmation of delivery of each of these letters to each of the establishments.

By letter dated February 11, 2014 and by e-mail on February 11, 2014, the Board confirmed a telephone conversation with Polley about what he needed to do to have the Funeral Establishment, Seller and Provider Licenses reinstated.

On February 24, 2014, the Board again provided Polley with instruction and forms to complete the reinstatement of Polley Funeral's Licenses.

Polley Funeral continued to operate as a funeral establishment as the Excelsior Springs Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Lawson Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Richmond Establishment, even though it held no license to do so.

Since Polley Funeral's Funeral Establishment Licenses lapsed, Polley Funeral has handled final disposition for at least 19 decedents.

Polley Funeral continued to act as a provider after November 1, 2012, even though it held no license to do so and provided at least 8 preneed contracts during the

Disciplinary Actions

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so and provided at least 8 preneed contracts during the time its provider licenses were expired.

Polley Funeral continued to act as a seller after November 1, 2012, even though it held no license to do so and acted as seller by continuing to hold active preneed contracts and by acting as a seller in the fulfillment of at least 8 preneed contracts during the time its seller license was expired.

Cause to Discipline

Polley Funeral failed to renew times its Excelsior Springs Seller license, but continued to operate and practice as a seller and held out to the public that it was so licensed from November 1, 2012 until the present and when it held no valid license to do so.

Polley Funeral failed to file its seller annual report due on or before October 31, 2012 and, as of the date of signing this Settlement Agreement has failed to do so and failed to file the seller annual report due on or before October 31, 2013.

Polley Funeral failed to renew timely its Lawson Provider, its Richmond Provider, and its Excelsior Springs Provider licenses, but continued to hold out to the public and act as a provider at each location and provided at least 8 preneed contracts from November 1, 2012 until the present and during that time it held no provider license.

Polley Funeral failed to renew the Polley Establishment Licenses on or before December 31, 2013, but continued to hold out to the public and to operate as a funeral establishment at each location from January 1, 2014 and to the present even though it held no license to operate at any of the three locations.

The Board has cause to discipline the Polley Licenses pursuant to Section 333.330.2, (6), (7), (13), (14), and (19), RSMo.

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

Complaint: 2013-006669 **Polley Funeral Home FUN2006025730/2007008991/2007008989 PNS2009039723 PNP2009039722/2009039721/2**

Polley Funeral Home, LLC S/C: ☐

07/29/2014

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

Suspension

Joint Stipulation of Facts and Conclusions of Law

The parties agree and stipulate to the following findings of fact and conclusions of law:
Parties and Licenses

The Board is an agency of the State of Missouri created and established pursuant to Section 333.151, RSMo, and vested with the authority to execute and enforce the provisions of Chapter 333 and portions of Chapter 436, RSMo.
Polley Funeral holds funeral establishment license number 2007008989 and has registered this funeral establishment's address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039722 and has registered this provider's license address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2006025730 and has registered this funeral establishment's address with the Board as 122 W N Main, Richmond, Missouri 64085 (the "Richmond Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039721 and has registered this provider's address with the Board as 122 W. Main, Richmond, Missouri 64085 (the "Richmond Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2007008991 and has registered this establishment's address with the Board as 5951 E Highway10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039724 and has registered this provider's address with the Board as 5951 E. Highway 10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds seller license number 2009039723 and has registered this seller's address as 5951 E. Highway 10, P.O. Box 271, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Seller"). This license was current and active until it expired on October 31, 2012.

Toby Polley ("Polley") holds funeral director license number 006070 and has registered his address with the Board as 5951 East Highway 10, P.O. Box 271, Excelsior Springs, Missouri. Polley's funeral director license is and has been at all relevant times, current and active.

Polley serves as funeral director in charge for the Lawson Establishment, the Richmond Establishment and the Excelsior Springs Establishment.

As funeral director in charge, Polley is responsible for the supervision and management of each funeral establishment and to ensure each establishment's

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establishment and to ensure each establishment's compliance with applicable Missouri statutes and regulations.

Polley serves as the manager in charge for the Excelsior Springs Seller.

As manager in charge for the Excelsior Springs Seller, Polley is responsible for the supervision and management of the seller's business and to ensure the seller complies with applicable Missouri statutes and regulations.

For the purposes of this document, the Richmond Establishment, the Lawson Establishment and the Excelsior Springs Establishment licenses, collectively will be referred to as the "Establishment Licenses." The Richmond Provider, the Lawson Provider and the Excelsior Springs Provider licenses, collectively, will be referred to as the "Provider Licenses." The Richmond Establishment, the Lawson Establishment, the Excelsior Springs Establishment, the Richmond Provider, the Lawson Provider, the Excelsior Springs Provider, and the Excelsior Springs Seller licenses, collectively, will be referred to as the "Polley Licenses."

Conduct Giving Cause for Discipline

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Excelsior Springs Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Seller license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral acted as a preneed seller using the Excelsior Springs Seller license. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Lawson Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Lawson Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Richmond Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Richmond Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 29, 2013, the Board mailed Polley at Polley Funeral a letter reminding Polley Funeral that it had not reinstated its Provider Licenses nor the Excelsior Springs Seller license and that Polley Funeral had not responded to the Board's previous letters that Polley Funeral received on May 8, 2013. In this May 29, 2013 letter, the

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Board again request copies of documents and also notified Polley Funeral of the time, date and location for a scheduled appearance before the Board at its June 25, 2013 meeting.

By fax on June 21, 2013, Polley provided the records requested by the Board.

On July 11 and July 22, 2013, the Board notified Polley Funeral, via fax, that the reinstatement renewals for the Provider Licenses and the Excelsior Springs Seller could not be renewed until Polley Funeral provided a "No Tax Due" certificate from the Missouri Department of Revenue. These faxes also reiterated to Polley Funeral that it could not lawfully practice as a seller or as a provider until the licenses were renewed.

On June 21, 2013, Polley Funeral responded to the Board's request and enclosed the requested documents and also indicated that it should be able to provide a "No Tax Due" certificate from the Missouri Department of Revenue on June 22, 2013 or as soon as the Missouri Department of Revenue could process Polley Funeral's payment.

On June 21, 2013, Polley Funeral faxed to the Board the following reinstatement requests:
a. Excelsior Springs Provider "Reinstatement" signed by Polley on May 14, 2013;
b. Lawson Provider "Reinstatement" signed by Polley on May 14, 2013;
c. Richmond Provider "Reinstatement" signed by Polley on May 14, 2013; and
d. Excelsior Springs Seller "Reinstatement" signed by Polley on June 19, 2013 and included the seller's annual report that had been due on October 31, 2012.

On July 25, 2013, Polley called the Board office to say that he had not been able to obtain a "No Tax Due" certificate from the Missouri Department of Revenue, but that Polley was told that the Missouri Department of Revenue that it might be another month or two before he could obtain the certificate.

On September 4, 2013, Polley contacted the Board office and told the Board he expected to have everything to Missouri Department of Revenue in the next couple of days.

On November 22, 2013, the Board's inspector conducted an inspection of Polley Funeral and submitted his report of that inspection to the Board on December 6, 2013 (the November Inspection).

At the November Inspection, the Excelsior Springs Establishment was open for business and had the following violations:
a. Polley Funeral displayed Seller License number 2009039723 that was expired;
b. Polley Funeral displayed provider license number 2009039724 that was expired;
c. The register log was not up to date with the last entry being September 18, 2013 and the Excelsior Springs Establishment had had 22 funerals since September 18, 2013; and
d. The Excelsior Springs Establishment could not provide a current backflow inspection.

At the November Inspection, the Lawson Establishment had the following violations:
a.. The Lawson Establishment displayed preneed seller license number 2009039723 that was expired; and

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b. The Lawson Establishment displayed preneed provider license number 2009039722 that was expired.

The November Inspection found the following violations at the Richmond Establishment:

The Richmond Establishment displayed preneed seller license number 2009039723 that was expired; and

The Richmond Establishment displayed preneed provider license number 2009039721 that was expired.

At the November Inspection Polley was not available to meet with the inspector.

The Board's inspector asked the employee of Polley Funeral that was present for the inspection to ask Polley to contact the Board's inspector and requested that Polley provide to the Board's inspector the date of the last backflow inspection for the Excelsior Springs Establishment, copies of preneed contracts that had been provided since November 2, 2012 and an updated register log.

Polley never contacted the Board's inspector nor did he or anyone else with Polley Funeral supply the information the Board requested at the November Inspection except on June 21, 2013, Polley faxed to the Board office copies of preneed contracts that had been provided since November 2, 2012.

Polley Funeral's Establishment Licenses expired on December 31, 2013 because they were not renewed on or before December 31, 2013.

By letters dated January 10, 2014 sent by both certified and regular mail to each funeral establishment, the Board notified Polley at Polley Funeral that all Establishment Licenses had expired due to non-renewal and included instructions for reinstatement.

The Board received confirmation of delivery of each of these letters to each of the establishments.

By letter dated February 11, 2014 and by e-mail on February 11, 2014, the Board confirmed a telephone conversation with Polley about what he needed to do to have the Funeral Establishment, Seller and Provider Licenses reinstated.

On February 24, 2014, the Board again provided Polley with instruction and forms to complete the reinstatement of Polley Funeral's Licenses.

Polley Funeral continued to operate as a funeral establishment as the Excelsior Springs Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Lawson Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Richmond Establishment, even though it held no license to do so.

Since Polley Funeral's Funeral Establishment Licenses lapsed, Polley Funeral has handled final disposition for at least 19 decedents.

Polley Funeral continued to act as a provider after November 1, 2012, even though it held no license to do so and provided at least 8 preneed contracts during the

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so and provided at least 8 preneed contracts during the time its provider licenses were expired.

Polley Funeral continued to act as a seller after November 1, 2012, even though it held no license to do so and acted as seller by continuing to hold active preneed contracts and by acting as a seller in the fulfillment of at least 8 preneed contracts during the time its seller license was expired.

Cause to Discipline

Polley Funeral failed to renew times its Excelsior Springs Seller license, but continued to operate and practice as a seller and held out to the public that it was so licensed from November 1, 2012 until the present and when it held no valid license to do so.

Polley Funeral failed to file its seller annual report due on or before October 31, 2012 and, as of the date of signing this Settlement Agreement has failed to do so and failed to file the seller annual report due on or before October 31, 2013.

Polley Funeral failed to renew timely its Lawson Provider, its Richmond Provider, and its Excelsior Springs Provider licenses, but continued to hold out to the public and act as a provider at each location and provided at least 8 preneed contracts from November 1, 2012 until the present and during that time it held no provider license.

Polley Funeral failed to renew the Polley Establishment Licenses on or before December 31, 2013, but continued to hold out to the public and to operate as a funeral establishment at each location from January 1, 2014 and to the present even though it held no license to operate at any of the three locations.

The Board has cause to discipline the Polley Licenses pursuant to Section 333.330.2, (6), (7), (13), (14), and (19), RSMo.

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Ordered From 06/20/2014 Through 09/11/2014

3605 Missouri Blvd.
Jefferson City, Missouri 65102
(573) 751-0293

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

Complaint: 2013-006669 **Polley Funeral Home FUN2006025730/2007008991/2007008989 PNS2009039723 PNP2009039722/2009039721/2**

Polley Funeral Homes LL(S/C: ☐

DBA: Polley Funeral Home 07/29/2014

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Ordered From 06/20/2014 Through 09/11/2014

Suspension

Joint Stipulation of Facts and Conclusions of Law

The parties agree and stipulate to the following findings of fact and conclusions of law:
Parties and Licenses

The Board is an agency of the State of Missouri created and established pursuant to Section 333.151, RSMo, and vested with the authority to execute and enforce the provisions of Chapter 333 and portions of Chapter 436, RSMo.
Polley Funeral holds funeral establishment license number 2007008989 and has registered this funeral establishment's address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039722 and has registered this provider's license address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2006025730 and has registered this funeral establishment's address with the Board as 122 W N Main, Richmond, Missouri 64085 (the "Richmond Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039721 and has registered this provider's address with the Board as 122 W. Main, Richmond, Missouri 64085 (the "Richmond Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2007008991 and has registered this establishment's address with the Board as 5951 E Highway10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039724 and has registered this provider's address with the Board as 5951 E. Highway 10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds seller license number 2009039723 and has registered this seller's address as 5951 E. Highway 10, P.O. Box 271, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Seller"). This license was current and active until it expired on October 31, 2012.

Toby Polley ("Polley") holds funeral director license number 006070 and has registered his address with the Board as 5951 East Highway 10, P.O. Box 271, Excelsior Springs, Missouri. Polley's funeral director license is and has been at all relevant times, current and active.

Polley serves as funeral director in charge for the Lawson Establishment, the Richmond Establishment and the Excelsior Springs Establishment.

As funeral director in charge, Polley is responsible for the supervision and management of each funeral establishment and to ensure each establishment's

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establishment and to ensure each establishment's compliance with applicable Missouri statutes and regulations.

Polley serves as the manager in charge for the Excelsior Springs Seller.

As manager in charge for the Excelsior Springs Seller, Polley is responsible for the supervision and management of the seller's business and to ensure the seller complies with applicable Missouri statutes and regulations.

For the purposes of this document, the Richmond Establishment, the Lawson Establishment and the Excelsior Springs Establishment licenses, collectively will be referred to as the "Establishment Licenses." The Richmond Provider, the Lawson Provider and the Excelsior Springs Provider licenses, collectively, will be referred to as the "Provider Licenses." The Richmond Establishment, the Lawson Establishment, the Excelsior Springs Establishment, the Richmond Provider, the Lawson Provider, the Excelsior Springs Provider, and the Excelsior Springs Seller licenses, collectively, will be referred to as the "Polley Licenses."

Conduct Giving Cause for Discipline

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Excelsior Springs Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Seller license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral acted as a preneed seller using the Excelsior Springs Seller license. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Lawson Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Lawson Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Richmond Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Richmond Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 29, 2013, the Board mailed Polley at Polley Funeral a letter reminding Polley Funeral that it had not reinstated its Provider Licenses nor the Excelsior Springs Seller license and that Polley Funeral had not responded to the Board's previous letters that Polley Funeral received on May 8, 2013. In this May 29, 2013 letter, the

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Board again request copies of documents and also notified Polley Funeral of the time, date and location for a scheduled appearance before the Board at its June 25, 2013 meeting.

By fax on June 21, 2013, Polley provided the records requested by the Board.

On July 11 and July 22, 2013, the Board notified Polley Funeral, via fax, that the reinstatement renewals for the Provider Licenses and the Excelsior Springs Seller could not be renewed until Polley Funeral provided a "No Tax Due" certificate from the Missouri Department of Revenue. These faxes also reiterated to Polley Funeral that it could not lawfully practice as a seller or as a provider until the licenses were renewed.

On June 21, 2013, Polley Funeral responded to the Board's request and enclosed the requested documents and also indicated that it should be able to provide a "No Tax Due" certificate from the Missouri Department of Revenue on June 22, 2013 or as soon as the Missouri Department of Revenue could process Polley Funeral's payment.

On June 21, 2013, Polley Funeral faxed to the Board the following reinstatement requests:
a. Excelsior Springs Provider "Reinstatement" signed by Polley on May 14, 2013;
b. Lawson Provider "Reinstatement" signed by Polley on May 14, 2013;
c. Richmond Provider "Reinstatement" signed by Polley on May 14, 2013; and
d. Excelsior Springs Seller "Reinstatement" signed by Polley on June 19, 2013 and included the seller's annual report that had been due on October 31, 2012.

On July 25, 2013, Polley called the Board office to say that he had not been able to obtain a "No Tax Due" certificate from the Missouri Department of Revenue, but that Polley was told that the Missouri Department of Revenue that it might be another month or two before he could obtain the certificate.

On September 4, 2013, Polley contacted the Board office and told the Board he expected to have everything to Missouri Department of Revenue in the next couple of days.

On November 22, 2013, the Board's inspector conducted an inspection of Polley Funeral and submitted his report of that inspection to the Board on December 6, 2013 (the November Inspection).

At the November Inspection, the Excelsior Springs Establishment was open for business and had the following violations:
a. Polley Funeral displayed Seller License number 2009039723 that was expired;
b. Polley Funeral displayed provider license number 2009039724 that was expired;
c. The register log was not up to date with the last entry being September 18, 2013 and the Excelsior Springs Establishment had had 22 funerals since September 18, 2013; and
d. The Excelsior Springs Establishment could not provide a current backflow inspection.

At the November Inspection, the Lawson Establishment had the following violations:
a.. The Lawson Establishment displayed preneed seller license number 2009039723 that was expired; and

Disciplinary Actions

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b. The Lawson Establishment displayed preneed provider license number 2009039722 that was expired.

The November Inspection found the following violations at the Richmond Establishment:

The Richmond Establishment displayed preneed seller license number 2009039723 that was expired; and

The Richmond Establishment displayed preneed provider license number 2009039721 that was expired.

At the November Inspection Polley was not available to meet with the inspector.

The Board's inspector asked the employee of Polley Funeral that was present for the inspection to ask Polley to contact the Board's inspector and requested that Polley provide to the Board's inspector the date of the last backflow inspection for the Excelsior Springs Establishment, copies of preneed contracts that had been provided since November 2, 2012 and an updated register log.

Polley never contacted the Board's inspector nor did he or anyone else with Polley Funeral supply the information the Board requested at the November Inspection except on June 21, 2013, Polley faxed to the Board office copies of preneed contracts that had been provided since November 2, 2012.

Polley Funeral's Establishment Licenses expired on December 31, 2013 because they were not renewed on or before December 31, 2013.

By letters dated January 10, 2014 sent by both certified and regular mail to each funeral establishment, the Board notified Polley at Polley Funeral that all Establishment Licenses had expired due to non-renewal and included instructions for reinstatement.

The Board received confirmation of delivery of each of these letters to each of the establishments.

By letter dated February 11, 2014 and by e-mail on February 11, 2014, the Board confirmed a telephone conversation with Polley about what he needed to do to have the Funeral Establishment, Seller and Provider Licenses reinstated.

On February 24, 2014, the Board again provided Polley with instruction and forms to complete the reinstatement of Polley Funeral's Licenses.

Polley Funeral continued to operate as a funeral establishment as the Excelsior Springs Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Lawson Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Richmond Establishment, even though it held no license to do so.

Since Polley Funeral's Funeral Establishment Licenses lapsed, Polley Funeral has handled final disposition for at least 19 decedents.

Polley Funeral continued to act as a provider after November 1, 2012, even though it held no license to do so and provided at least 8 preneed contracts during the

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so and provided at least 8 preneed contracts during the time its provider licenses were expired.

Polley Funeral continued to act as a seller after November 1, 2012, even though it held no license to do so and acted as seller by continuing to hold active preneed contracts and by acting as a seller in the fulfillment of at least 8 preneed contracts during the time its seller license was expired.

Cause to Discipline

Polley Funeral failed to renew times its Excelsior Springs Seller license, but continued to operate and practice as a seller and held out to the public that it was so licensed from November 1, 2012 until the present and when it held no valid license to do so.

Polley Funeral failed to file its seller annual report due on or before October 31, 2012 and, as of the date of signing this Settlement Agreement has failed to do so and failed to file the seller annual report due on or before October 31, 2013.

Polley Funeral failed to renew timely its Lawson Provider, its Richmond Provider, and its Excelsior Springs Provider licenses, but continued to hold out to the public and act as a provider at each location and provided at least 8 preneed contracts from November 1, 2012 until the present and during that time it held no provider license.

Polley Funeral failed to renew the Polley Establishment Licenses on or before December 31, 2013, but continued to hold out to the public and to operate as a funeral establishment at each location from January 1, 2014 and to the present even though it held no license to operate at any of the three locations.

The Board has cause to discipline the Polley Licenses pursuant to Section 333.330.2, (6), (7), (13), (14), and (19), RSMo.

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Ordered From 06/20/2014 Through 09/11/2014

Missouri Division of Professional Registration
3605 Missouri Blvd.
Jefferson City, Missouri 65102
(573) 751-0293

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

Complaint: 2013-006897 **Polley, Toby FDR 006070 Suspension/probation**

Polley, Toby L S/C: ☐

07/29/2014

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

Suspension

Joint Stipulation of Facts and Conclusions of Law

The parties agree and stipulate to the following findings of fact and conclusions of law:
Parties and Licenses

The Board is an agency of the State of Missouri created and established pursuant to Section 333.151, RSMo, and vested with the authority to execute and enforce the provisions of Chapter 333 and portions of Chapter 436, RSMo.

Polley Funeral holds funeral establishment license number 2007008989 and has registered this funeral establishment's address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039722 and has registered this provider's license address with the Board as 214 N. Pennsylvania Avenue, Lawson, Missouri 64062 (the "Lawson Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2006025730 and has registered this funeral establishment's address with the Board as 122 W N Main, Richmond, Missouri 64085 (the "Richmond Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039721 and has registered this provider's address with the Board as 122 W. Main, Richmond, Missouri 64085 (the "Richmond Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds funeral establishment license number 2007008991 and has registered this establishment's address with the Board as 5951 E Highway10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Establishment"). This license was current and active until it lapsed on December 31, 2013.

Polley Funeral holds provider license number 2009039724 and has registered this provider's address with the Board as 5951 E. Highway 10, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Provider"). This license was current and active until it expired on October 31, 2012.

Polley Funeral holds seller license number 2009039723 and has registered this seller's address as 5951 E. Highway 10, P.O. Box 271, Excelsior Springs, Missouri 64024 (the "Excelsior Springs Seller"). This license was current and active until it expired on October 31, 2012.

Toby Polley ("Polley") holds funeral director license number 006070 and has registered his address with the Board as 5951 East Highway 10, P.O. Box 271, Excelsior Springs, Missouri. Polley's funeral director license is and has been at all relevant times, current and active.

Polley serves as funeral director in charge for the Lawson Establishment, the Richmond Establishment and the Excelsior Springs Establishment.

As funeral director in charge, Polley is responsible for the supervision and management of each funeral

3605 Missouri Blvd.
Jefferson City, Missouri 65102
(573) 751-0293

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supervision and management of each funeral establishment and to ensure each establishment's compliance with applicable Missouri statutes and regulations.

Polley serves as the manager in charge for the Excelsior Springs Seller.

As manager in charge for the Excelsior Springs Seller, Polley is responsible for the supervision and management of the seller's business and to ensure the seller complies with applicable Missouri statutes and regulations.

AFor the purposes of this document, the Richmond Establishment, the Lawson Establishment and the Excelsior Springs Establishment licenses, collectively will be referred to as the "Establishment Licenses." The Richmond Provider, the Lawson Provider and the Excelsior Springs Provider licenses, collectively, will be referred to as the "Provider Licenses." The Richmond Establishment, the Lawson Establishment, the Excelsior Springs Establishment, the Richmond Provider, the Lawson Provider, the Excelsior Springs Provider, and the Excelsior Springs Seller licenses, collectively, will be referred to as the "Polley Licenses."

Conduct Giving Cause for Discipline

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Excelsior Springs Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Excelsior Springs Seller license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral acted as a preneed seller using the Excelsior Springs Seller license. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Lawson Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Lawson Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 3, 2013, the Board mailed Polley at Polley Funeral home a letter, via certified mail, notifying Polley that the Richmond Provider license had expired. This letter enclosed the reinstatement forms and instructions to have the license reinstated. This letter also requested copies of contracts for which Polley Funeral fulfilled contracts as the Richmond Provider. Polley Funeral signed the certified mail receipt for this letter on May 8, 2013.

On May 29, 2013, the Board mailed Polley at Polley Funeral a letter reminding Polley Funeral that it had not reinstated its Provider Licenses nor the Excelsior Springs Seller license and that Polley Funeral had not responded to the Board's previous letters that Polley Funeral

Disciplinary Actions

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received on May 8, 2013. In this May 29, 2013 letter, the Board again request copies of documents and also notified Polley Funeral of the time, date and location for a scheduled appearance before the Board at its June 25, 2013 meeting.

By fax on June 21, 2013, Polley provided the records requested by the Board.

On July 11 and July 22, 2013, the Board notified Polley Funeral, via fax, that the reinstatement renewals for the Provider Licenses and the Excelsior Springs Seller could not be renewed until Polley Funeral provided a "No Tax Due" certificate from the Missouri Department of Revenue. These faxes also reiterated to Polley Funeral that it could not lawfully practice as a seller or as a provider until the licenses were renewed.

On June 21, 2013, Polley Funeral responded to the Board's request and enclosed the requested documents and also indicated that it should be able to provide a "No Tax Due" certificate from the Missouri Department of Revenue on June 22, 2013 or as soon as the Missouri Department of Revenue could process Polley Funeral's payment.

On June 21, 2013, Polley Funeral faxed to the Board the following reinstatement requests:
a. Excelsior Springs Provider "Reinstatement" signed by Polley on May 14, 2013;
b. Lawson Provider "Reinstatement" signed by Polley on May 14, 2013;
c. Richmond Provider "Reinstatement" signed by Polley on May 14, 2013; and
d. Excelsior Springs Seller "Reinstatement" signed by Polley on June 19, 2013 and included the seller's annual report that had been due on October 31, 2012.

On July 25, 2013, Polley called the Board office to say that he had not been able to obtain a "No Tax Due" certificate from the Missouri Department of Revenue, but that Polley was told that the Missouri Department of Revenue that it might be another month or two before he could obtain the certificate.

On September 4, 2013, Polley contacted the Board office and told the Board he expected to have everything to Missouri Department of Revenue in the next couple of days.

On November 22, 2013, the Board's inspector conducted an inspection of Polley Funeral and submitted his report of that inspection to the Board on December 6, 2013 (the November Inspection).

At the November Inspection, the Excelsior Springs Establishment was open for business and had the following violations:
a. Polley Funeral displayed Seller License number 2009039723 that was expired;
b. Polley Funeral displayed provider license number 2009039724 that was expired;
c. The register log was not up to date with the last entry being September 18, 2013 and the Excelsior Springs Establishment had had 22 funerals since September 18, 2013; and
d. The Excelsior Springs Establishment could not provide a current backflow inspection.

At the November Inspection, the Lawson Establishment had the following violations:
a. The Lawson Establishment displayed preneed seller

Disciplinary Actions

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license number 2009039723 that was expired; and
b. The Lawson Establishment displayed preneed provider license number 2009039722 that was expired.

The November Inspection found the following violations at the Richmond Establishment:
a. The Richmond Establishment displayed preneed seller license number 2009039723 that was expired; and
b. The Richmond Establishment displayed preneed provider license number 2009039721 that was expired.

At the November Inspection Polley was not available to meet with the inspector.

The Board's inspector asked the employee of Polley Funeral that was present for the inspection to ask Polley to contact the Board's inspector and requested that Polley provide to the Board's inspector the date of the last backflow inspection for the Excelsior Springs Establishment, copies of preneed contracts that had been provided since November 2, 2012 and an updated register log.

Polley never contacted the Board's inspector nor did he or anyone else with Polley Funeral supply the information the Board requested at the November Inspection except on June 21, 2013, Polley faxed to the Board office copies of preneed contracts that had been provided since November 2, 2012.

Polley Funeral's Establishment Licenses expired on December 31, 2013 because they were not renewed on or before December 31, 2013.

By letters dated January 10, 2014 sent by both certified and regular mail to each funeral establishment, the Board notified Polley at Polley Funeral that all Establishment Licenses had expired due to non-renewal and included instructions for reinstatement.

The Board received confirmation of delivery of each of these letters to each of the establishments.

By letter dated February 11, 2014 and by e-mail on February 11, 2014, the Board confirmed a telephone conversation with Polley about what he needed to do to have the Funeral Establishment, Seller and Provider Licenses reinstated.

On February 24, 2014, the Board again provided Polley with instruction and forms to complete the reinstatement of Polley Funeral's Licenses.

Polley Funeral continued to operate as a funeral establishment as the Excelsior Springs Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Lawson Establishment, even though it held no license to do so.

Polley Funeral continued to operate as a funeral establishment at the Richmond Establishment, even though it held no license to do so.

Since Polley Funeral's Funeral Establishment Licenses lapsed, Polley Funeral has handled final disposition for at least 19 decedents.

Polley Funeral continued to act as a provider after November 1, 2012, even though it held no license to do so and provided at least 8 preneed contracts during the time its provider licenses were expired.

3605 Missouri Blvd.
Jefferson City, Missouri 65102
(573) 751-0293

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

time its provider licenses were expired.

Polley Funeral continued to act as a seller after November 1, 2012, even though it held no license to do so and acted as seller by continuing to hold active preneed contracts and by acting as a seller in the fulfillment of at least 8 preneed contracts during the time its seller license was expired.

Cause to Discipline

Polley Funeral failed to renew its Excelsior Springs Seller license, but continued to operate and practice as a seller and held out to the public that it was so licensed from November 1, 2012 until the present and when it held no valid license to do so.

Polley Funeral failed to file its seller annual report due on or before October 31, 2012 and, as of the date of signing this Settlement Agreement has failed to do so and failed to file the seller annual report due on or before October 31, 2013.

Polley Funeral failed to renew timely its Lawson Provider, its Richmond Provider and its Excelsior Springs Provider, but continued to hold out to the public and act as a provider at each location and provided at least 8 preneed contracts from November 1, 2012 until the present and during that time it held no provider license.

Polley Funeral failed to renew the Polley Establishment Licenses on or before December 31, 2013, but continued to hold out to the public and to operate as a funeral establishment at each location from January 1, 2014 and to the present even though it held no current funeral establishment license at any of the three locations.

As the funeral director in charge of the Polley Establishments and as manager in charge of the Excelsior Springs Seller, Polley is responsible for the conduct of the Polley Establishments and the Excelsior Springs Seller.

For all conduct alleged in this Settlement Agreement, Polley engaged in that conduct on behalf of Polley Funeral.

The Board has cause to discipline Polley's funeral director license pursuant to Section 333.330.2, (6), (7), (13), (14), and (19), RSMo.

Disciplinary Actions

Ordered From 06/20/2014 Through 09/11/2014

Complaint: 2014-004270 **Smith, Carmela Practicum 2014004587** **DOR HB600**

Smith, Carmela Renice S/C: ☐

08/19/2014

Suspended 324.010

This license has been suspended by operation of law pursuant to Section 324.010, RSMo, which requires suspension of the professional license of individuals who fail to file state tax returns or fail to pay state tax liabilities.

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Keyword Search

Federation of Associations of Regulatory Boards

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2014 FARB Regulatory Law Seminar (formerly ACS) Annapolis, MD

The 2014 Regulatory Law Seminar (previously known as the Attorney Certification Seminar or ACS) will address relevant topics related to administrative law and representing regulatory boards.

2014 RLS Agenda

Friday, October 3, 8:30 am – 5:15 pm
Morning: The Legal Implications of Board Structures
Afternoon: The Legal Implications of Technological Advancements
FARB 40th Anniversary Reception

Saturday, October 4, 8:30 am – 12:15 pm
Ethics: A Lawyer's Guide to Ethics and Technology

Sunday, October 5, 8:30 am – 11:30 am
Statues and Regulations: Something Old, Something New, Model Laws Borrowed by You

For a complete agenda and detailed conference information, download our conference brochure.

Reservations

OVERFLOW HOTEL:
The Westin Annapolis is sold out. FARB has reserved a block of rooms at the Loews Annapolis Hotel. Please call 800-526-2593 to make your reservation. Be sure to identify yourself as part of FARB to ensure you get the reduced room rate of $269.00 per night plus tax.

Please contact the Westin Annapolis directly for reservations.
Call 1-888-627-8994 or click on this FARB Reservation Link.

Please refer to the FARB group when making your reservations to ensure you get the reduced room rate of $179.00 per night plus tax. The hotel reservation deadline is Monday, September 1, 2014 (Labor Day). Hotel reservations made after this date are subject to availability and rate increase.

Transportation

The Super Shuttle:
To or from BWI Airport. The first person is $35.00 one-way, each additional person is $12.00. Super Shuttle also has meet and greet, sedan and non stop van service.
Phone: 1-800-BLUEVAN(258-3826)
Website: www.supershuttle.com

The Airport Shuttle:
To and from BWI Airport ($39.00) National Airport ($88.00) or Dulles Airport ($97.00). They also have dedicated sedan and van service.
Website: www.gotheairportshuttle.com

Please note: You must be logged in to register.

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Password

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Sign In

Forgot my password or my username

Create a new account

When: 10/2/2014 - 10/5/2014

Where: The Westin Annapolis
100 Westgate Circle
Annapolis, Maryland 21401

Program

Thursday, October 02, 2014

Contact Us
The Federation of Associations of Regulatory Boards
1466 Techny Road
Northbrook, Illinois 60062
(847) 559-3272
farb@farb.org

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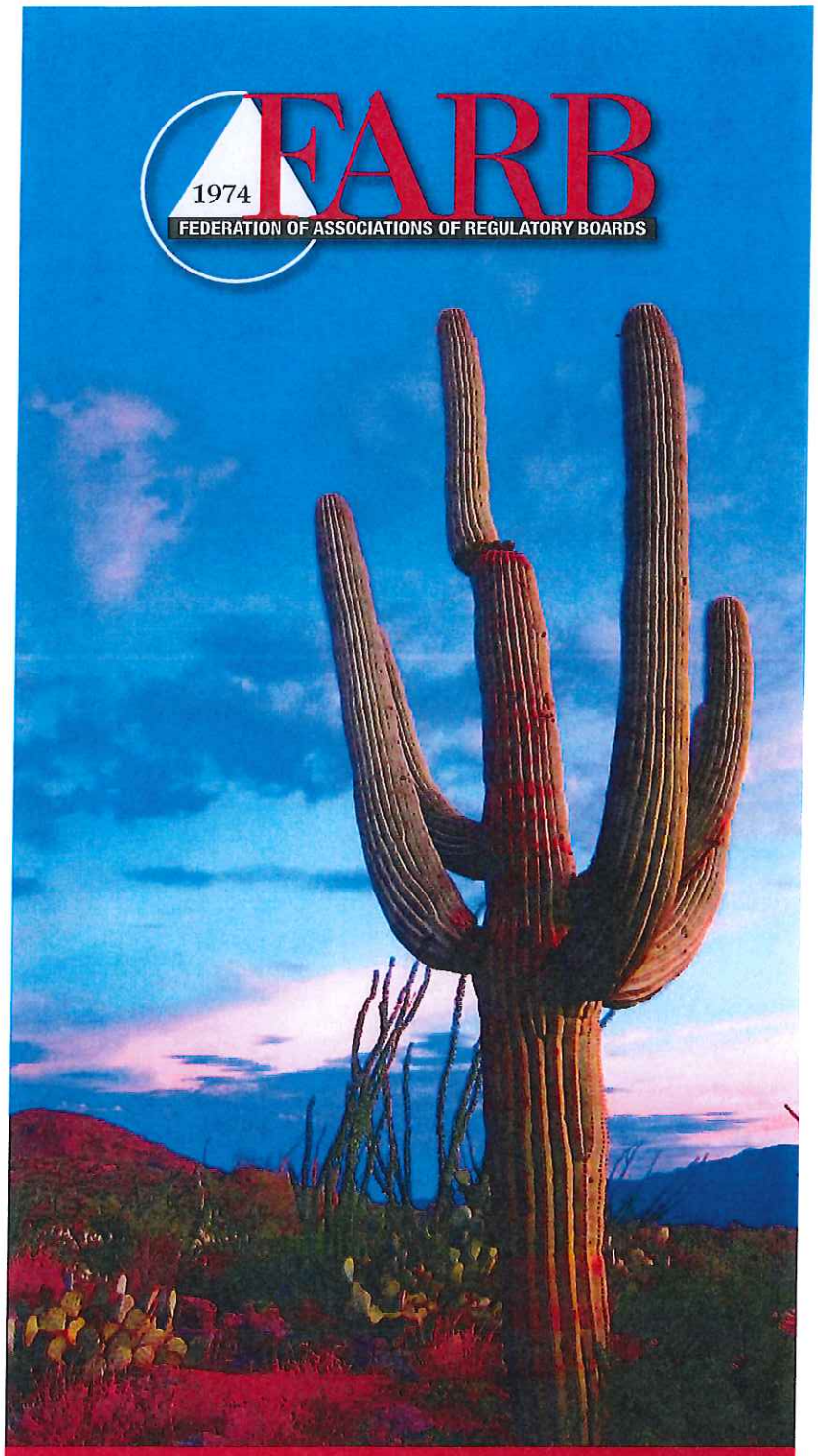

39th Annual FARB Forum

The Westin La Paloma

TUCSON, AZ

January 23–25, 2015

COURSE CONTENT

?015 FARB Forum *Friday Focus* will take an in-depth look at the question, "What Do ards Need to Know About Licensure?" Sessions will cover applications, citizenship status, The Americans with Disabilities Act, and competence assessment as attendees explore the overall concept of professional licensure. In addition, this year attendees will engage in small group scenario discussions and explore a variety of regulatory issues. On Saturday, sessions will address top recent regulatory cases and a comprehensive look at administrative sanctions. The Forum Sunday sessions will include a discussion of default judgments, technology and practice, and new legislation.

FARB MISSION

To promote excellence in regulation for public protection by providing expertise and innovation from a multi-professional perspective.

In keeping with its mission statement, FARB provides a forum for interaction among individuals and agencies involved in regulatory law and the licensing of professionals with the goal of protecting the public. Member associations, individuals, and other organizations that participate in FARB and seek to strengthen and uphold the standards of licensed professionals are invited to attend. We look forward to seeing you!

Visit the FARB website at **www.FARB.org** for more information about FARB and its meetings.

FARB IS ON FACEBOOK!

are current regulatory news articles, information about upcoming programs, and educational tidbits on our page. Find us as "**Federation of Associations of Regulatory Boards – FARB**" and "Like" our page. Comment on posts and join the discussion about professional regulation and the important role board members, administrators, associations, staff, and allies serve as public protectors in the United States, Canada, and around the world.

LA FIESTA DE LOS VAQUEROS BUCKING BRONCO *PHOTO CREDIT: GILL KENNY, METROPOLITAN TUCSON CVB*

MARIACHI BAND *PHOTO CREDIT: GILL KENNY, METROPOLITAN TUCSON CVB*

LOCATION

Tucson, Arizona's second most populous city, offers an authentic Southwestern experience from the pervasive Mexican and Native American influences. Guest ranches, horseback rides, and cattle drives recall Old West roots while the dramatic beauty of the Sonoran Desert is home to the famous saguaro cacti. Its restorative climate and casual pace are a natural setting for today's destination spas, resort hotels and championship golf courses. Tucson's thriving visual and performing arts scene, respected galleries and museums and trend-setting restaurants reflect its vibrant multicultural heritage. With a history that goes back much further than many of its southwestern neighbors, Tucson boasts turn-of-the-century architecture, historic neighborhoods, museums and the Mission San Xavier del Bac, a still-functioning 18th-century mission considered one of the most beautiful in the U.S. Of course, the Westin La Paloma also offers many amenities to make your trip memorable including an Elizabeth Arden Red Door Spa, the Jack Nicklaus-designed signature golf course, and five spectacular pools.

HOTEL ACCOMMODATIONS

Attendees are responsible for securing their own hotel reservations.
Reservations may be made by contacting the Westin La Paloma directly:

The Westin La Paloma
3800 East Sunrise Drive
Tucson, Arizona 85718
(888) 627-7201
www.starwoodmeeting.com/Book/FARB

FARB has reserved a block of rooms at the Westin La Paloma specifically for Forum attendees, yet rooms sell out quickly and may be sold out before the deadline. Please make your hotel reservations promptly.

Please refer to the FARB group when making your reservations to ensure you get the reduced room rate of $189.00 per night.

The hotel reservation deadline is Monday, December 31, 2014. Hotel reservations made after this date are subject to availability and rate increase.

MEETING MATERIALS

Prior to the conference, all attendees will receive an email with a link to the meeting materials and instructions on how to access them. The website with the materials will be accessible during the conference via Wi-Fi.

THURSDAY, JANUARY 22, 2015

3:00 pm – 7:00 pm	Early Registration

Thursday Optional Session

4:00 pm – 7:00 pm	The ABC's of Regulatory Boards and Operations

FRIDAY, JANUARY 23, 2015

7:30 am – 5:00 pm	Registration Open
7:30 am – 8:30 am	Breakfast
8:30 am – 8:45 am	Welcoming Remarks
8:45 am – 9:00 am	FARB: An Overview

Friday Focus — **Why is There Licensure? What Does the Board/Department/Agency Need to Know?**

9:00 am – 9:45 am	Why Do We Have Occupational Licensure? A Thought Provoking Challenge
9:45 am – 10:30 am	Applications for Licensure and Renewal: A Variety of Information Asked
10:30 am – 11:00 am	Break
11:00 am – 11:45 am	Department of Justice & Americans With Disabilities Act: Recent Developments on What Can Be Asked
11:45 am – 12:15 pm	Immigration Status: What is Relevant? How to Ask?
12:15 pm – 1:30 pm	Lunch
1:30 pm – 2:15 pm	What is an Application Denial? Who Makes the Decision? When is It Final? How Do You Know?
2:15 pm – 3:00 pm	Entry Level Competence Assessment as a Prerequisite: Pre or Post Graduation? Pre or Post Application for Licensure?
3:00 pm – 3:30 pm	Break
3:30 pm – 4:00 pm	Recent Cases Relevant to Applications for Licensure
4:00 pm – 4:15 pm	Set Up For Small Groups
4:15 pm – 5:15 pm	Small Group Breakouts: Scenarios and Tasks Relevant to the Regulatory Community
5:15 pm	Recess
5:30 pm – 6:30 pm	FARB Reception

Many thanks to our annual sponsors:
ETHICS AND BOUNDARIES ASSESSMENT SERVICES LLC
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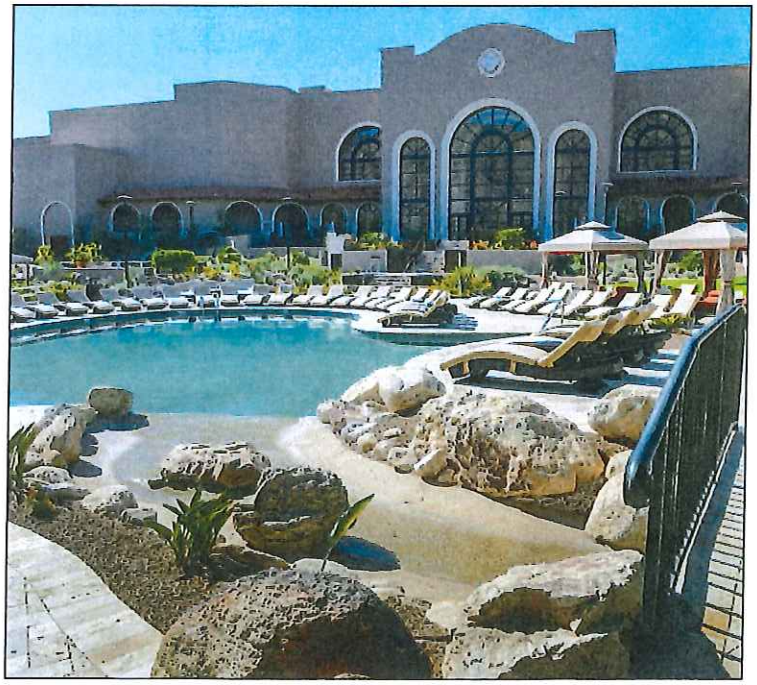
SATURDAY, JANUARY 24, 2015

7:30 am – 12:00 pm	Registration Open
7:30 am – 8:30 am	Breakfast
8:30 am – 9:15 am	Reports From Small Groups Results from Small Group Discussions will be Presented
9:15 am – 10:15 am	Top Recent Regulatory Cases
10:15 am – 10:45 am	Break
10:45 am – 12:15 pm	Administrative Sanction Options: Part 1…Civil Penalties/Costs/Restitution Part 2…Revocation vs. Suspension Part 3…Reinstatement Petitions
12:15 pm	Recess

SUNDAY, JANUARY 25, 2015

7:30 am – 8:30 am	Breakfast
8:30 am – 9:15 am	Notice to Respondents and Default Judgments: What to Do If No One Answers
9:15 am – 10:00 am	Technology and Practice: Is It Practice & What Do We Do About It?
10:00 am – 10:45 am	New Legislation Affecting the Regulatory Community: With an Emphasis on Wisconsin Statute Addressing Access to Examinations
10:45 am – 11:30 am	Forum wrap-up; In the News; Videos
11:30 am	Recess



THE WESTIN LA PALOMA, POOL EXTERIOR *PHOTO CREDIT: THE WESTIN LA PALOMA*

REGISTRATION FORM

RB Forum
nuary 23–25, 2015 • Tucson, AZ

Space is limited — Please register by Wednesday, January 14, 2015

(Please read our Cancellation Policy)

I am a FARB member
- ☐ Payment of $575 enclosed.
- ☐ Payment of $575 to follow.

I am *NOT* a FARB member
- ☐ Payment of $690 enclosed.
- ☐ Payment of $690 to follow.

I will attend the Thursday ABC's of Regulatory Boards and Operations
- ☐ Payment of $100 enclosed.
- ☐ Payment of $100 to follow.

YOU MAY ALSO REGISTER AND PAY BY CREDIT CARD ON OUR WEBSITE, WWW.FARB.ORG.

For purposes of Continuing Legal Education credit, are you licensed to practice law?
☐ Yes ☐ No

If yes, please identify the state(s) or jurisdiction(s) in which you are currently licensed. _____

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ATTENDEE CITY/STATE/ZIP

ATTENDEE TELEPHONE

ATTENDEE E-MAIL ADDRESS (CERTIFICATES OF ATTENDANCE WILL BE E-MAILED TO THIS ADDRESS)

FARB FEDERAL I.D.# is 23-7375992.

Return this form with your payment to:
Federation of Associations of Regulatory Boards (FARB)
1466 Techny Road
Northbrook, IL 60062
P: 847-559-FARB (3272)
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REGISTRATION

Attendees may register via U.S. Mail or online through our web site: www.FARB.org. Online registrants may pay by credit card.

Please register as soon as possible.

To register by fax or mail, please return the registration form contained in this brochure to:

Federation of Associations of Regulatory Boards (FARB)
1466 Techny Road
Northbrook, IL 60062
Phone: 847-559-FARB (3272)
E-mail: FARB@FARB.org

FEES

The registration fee for the **optional** Thursday session entitled 'ABC's of Regulatory Boards and Operations' is $100.00.The registration fee for the Forum is $575.00 for FARB members and $690.00 for non-members. This includes daily breakfast, lunch on Friday, and a reception Friday evening.

Please forward the registration fee to FARB as soon as possible. If the fee is not available at the time of registration, it may be sent later or paid upon arrival at the seminar.

CANCELLATION POLICY

Notification of cancellation MUST be made in writing and sent to FARB via U.S. mail, e-mail *(FARB@FARB.org)*, or fax.

Refunds:

If a cancellation is received in writing via U.S. mail, e-mail, or fax on or before *Wednesday, January 14, 2015*, FARB will:

1. Refund the paid registration fee less a $50 processing charge
2. Charge the registrant a $50 processing charge if the registration fee has not been paid

Any registrants cancelling after Wednesday, January 14, 2015, will be charged the full registration fee but will receive access to all meeting materials.