

**BEFORE THE  
MEDICAL BOARD OF CALIFORNIA  
DEPARTMENT OF CONSUMER AFFAIRS  
STATE OF CALIFORNIA**

**In the Matter of the First Amended  
Accusation Against:**

**Niceto Lopez, M.D.**

**Physician's and Surgeon's  
Certificate No. A 96421**

**Case No.: 800-2019-060838**

**Respondent.**

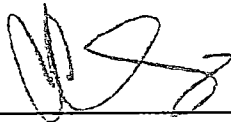
**DECISION**

**The attached Stipulated Settlement and Disciplinary Order is hereby adopted as the Decision and Order of the Medical Board of California, Department of Consumer Affairs, State of California.**

**This Decision shall become effective at 5:00 p.m. on November 1, 2023.**

**IT IS SO ORDERED: October 2, 2023.**

**MEDICAL BOARD OF CALIFORNIA**



**Laurie Rose Lubiano, J.D., Chair  
Panel A**

1 ROB BONTA  
Attorney General of California  
2 ROBERT MCKIM BELL  
Supervising Deputy Attorney General  
3 TRINA L. SAUNDERS  
Deputy Attorney General  
4 State Bar No. 207764  
California Department of Justice  
5 300 So. Spring Street, Suite 1702  
Los Angeles, CA 90013  
6 Telephone: (213) 269-6516  
Facsimile: (916) 731-2117  
7 *Attorneys for Complainant*

8 **BEFORE THE**  
**MEDICAL BOARD OF CALIFORNIA**  
9 **DEPARTMENT OF CONSUMER AFFAIRS**  
10 **STATE OF CALIFORNIA**

11 In the Matter of the First Amended Accusation  
12 Against:

Case No. 800-2019-060838

13 NICETO LOPEZ, M.D.

OAH No. 2022080326

14 2121 Santa Monica Boulevard  
Santa Monica, California 90404

**STIPULATED SETTLEMENT AND  
DISCIPLINARY ORDER**

15 Physician's and Surgeon's Certificate A 96421,  
16  
17 Respondent.

18  
19 IT IS HEREBY STIPULATED AND AGREED by and between the parties to the above-  
20 entitled proceedings that the following matters are true:

21 **PARTIES**

22 1. Reji Varghese (Complainant) is the Interim Executive Director of the Medical Board  
23 of California (Board). He is represented in this matter by Rob Bonta, Attorney General of the  
24 State of California, by Trina L. Saunders, Deputy Attorney General.

25 2. Respondent Niceto Lopez, M.D. (Respondent) is represented in this proceeding by  
26 attorney Nicholas Jurkowitz, whose address is The Fenton Law Group, 1990 South Bundy Drive,  
27 Suite 777, Los Angeles, California 90025.  
28

3. On July 14, 2006, the Board issued Physician's and Surgeon's Certificate No. A 96421 to Niceto Lopez, M.D. (Respondent). That license was in full force and effect at all times relevant to the charges brought in First Amended Accusation No. 800-2019-060838, and will expire on May 31, 2024, unless renewed.

## JURISDICTION

4. A First Amended Accusation in Case No. 800-2019-060838 was filed before the Board, and is currently pending against Respondent. The First Amended Accusation and all other statutorily required documents were properly served on Respondent on March 10, 2023. Respondent timely filed a Notice of Defense contesting the First Amended Accusation.

5. A copy of the First Amended Accusation in Case No. 800-2019-060838 is attached as Exhibit A and is incorporated herein by reference.

## ADVISEMENT AND WAIVERS

6. Respondent has carefully read, fully discussed with counsel, and understands the charges and allegations in the First Amended Accusation in Case No. 800-2019-060838. Respondent has also carefully read, fully discussed with his counsel, and understands the effects of this Stipulated Settlement and Disciplinary Order.

7. Respondent is fully aware of his legal rights in this matter, including the right to a hearing on the charges and allegations in the Accusation; the right to confront and cross-examine the witnesses against him; the right to present evidence and to testify on his own behalf; the right to the issuance of subpoenas to compel the attendance of witnesses and the production of documents; the right to reconsideration and court review of an adverse decision; and all other rights accorded by the California Administrative Procedure Act and other applicable laws.

8. Respondent voluntarily, knowingly, and intelligently waives and gives up each and every right set forth above.

**CULPABILITY**

9. Respondent understands and agrees that the charges and allegations in First Amended Accusation No. 800-2019-060838, if proven at a hearing, constitute cause for imposing discipline upon his Physician's and Surgeon's Certificate.

10. Respondent agrees that, at a hearing, Complainant could establish a prima facie case or factual basis for the charges in the First Amended Accusation, and that Respondent hereby gives up his right to contest those charges.

11. Respondent does not contest that, at an administrative hearing, complainant could establish a prima facie case with respect to the charges and allegations in First Amended Accusation No. 800-2019-060838, a true and correct copy of which is attached hereto as Exhibit A, and that he has thereby subjected his Physician's and Surgeon's Certificate, No. A 96421 to disciplinary action.

12. Respondent agrees that his Physician's and Surgeon's Certificate is subject to discipline and he agrees to be bound by the Board's probationary terms as set forth in the Disciplinary Order below.

## CONTINGENCY

13. This stipulation shall be subject to approval by the Medical Board of California. Respondent understands and agrees that counsel for Complainant and the staff of the Medical Board of California may communicate directly with the Board regarding this stipulation and settlement, without notice to or participation by Respondent or his counsel. By signing the stipulation, Respondent understands and agrees that he may not withdraw his agreement or seek to rescind the stipulation prior to the time the Board considers and acts upon it. If the Board fails to adopt this stipulation as its Decision and Order, the Stipulated Settlement and Disciplinary Order shall be of no force or effect, except for this paragraph, it shall be inadmissible in any legal action between the parties, and the Board shall not be disqualified from further action by having considered this matter.

14. Respondent agrees that if he ever petitions for early termination or modification of probation, or if an accusation and/or petition to revoke probation is filed against him before the Board, all of the charges and allegations contained in First Amended Accusation No. 800-2019-060838 shall be deemed true, correct and fully admitted by respondent for purposes of any such proceeding or any other licensing proceeding involving Respondent in the State of California.

15. The parties understand and agree that Portable Document Format (PDF) and facsimile copies of this Stipulated Settlement and Disciplinary Order, including PDF and facsimile signatures thereto, shall have the same force and effect as the originals.

16. In consideration of the foregoing admissions and stipulations, the parties agree that the Board may, without further notice or opportunity to be heard by the Respondent, issue and enter the following Disciplinary Order:

**DISCIPLINARY ORDER**

**IT IS HEREBY ORDERED** that Physician's and Surgeon's Certificate No. A 96421 issued to Respondent Niceto Lopez, M.D., is revoked. However, the revocation is stayed and Respondent is placed on probation for four (4) years on the following terms and conditions:

1. EDUCATION COURSE. Within 60 calendar days of the effective date of this Decision, and on an annual basis thereafter, Respondent shall submit to the Board or its designee for its prior approval educational program(s) or course(s) which shall not be less than 40 hours per year, for each year of probation. The educational program(s) or course(s) shall be aimed at correcting any areas of deficient practice or knowledge and shall be Category I certified. The educational program(s) or course(s) shall be at Respondent's expense and shall be in addition to the Continuing Medical Education (CME) requirements for renewal of licensure. Following the completion of each course, the Board or its designee may administer an examination to test Respondent's knowledge of the course. Respondent shall provide proof of attendance for 65 hours of CME of which 40 hours were in satisfaction of this condition.

2. MEDICAL RECORD KEEPING COURSE. Within 60 calendar days of the effective date of this Decision, Respondent shall enroll in a course in medical record keeping approved in advance by the Board or its designee. Respondent shall provide the approved course provider with any information and documents that the approved course provider may deem pertinent. Respondent shall participate in and successfully complete the classroom component of the course not later than six (6) months after Respondent's initial enrollment. Respondent shall successfully complete any other component of the course within one (1) year of enrollment. The medical record keeping course shall be at Respondent's expense and shall be in addition to the Continuing

1 Medical Education (CME) requirements for renewal of licensure.

2 A medical record keeping course taken after the acts that gave rise to the charges in the  
3 Accusation, but prior to the effective date of the Decision may, in the sole discretion of the Board  
4 or its designee, be accepted towards the fulfillment of this condition if the course would have  
5 been approved by the Board or its designee had the course been taken after the effective date of  
6 this Decision.

7 Respondent shall submit a certification of successful completion to the Board or its  
8 designee not later than 15 calendar days after successfully completing the course, or not later than  
9 15 calendar days after the effective date of the Decision, whichever is later.

10 3. NOTIFICATION. Within seven (7) days of the effective date of this Decision, the  
11 Respondent shall provide a true copy of this Decision and Accusation to the Chief of Staff or the  
12 Chief Executive Officer at every hospital where privileges or membership are extended to  
13 Respondent, at any other facility where Respondent engages in the practice of medicine,  
14 including all physician and locum tenens registries or other similar agencies, and to the Chief  
15 Executive Officer at every insurance carrier which extends malpractice insurance coverage to  
16 Respondent. Respondent shall submit proof of compliance to the Board or its designee within 15  
17 calendar days.

18 This condition shall apply to any change(s) in hospitals, other facilities or insurance carrier.

19 4. SUPERVISION OF PHYSICIAN ASSISTANTS AND ADVANCED PRACTICE  
20 NURSES. During probation, Respondent is prohibited from supervising physician assistants and  
21 advanced practice nurses.

22 5. OBEY ALL LAWS. Respondent shall obey all federal, state and local laws, all rules  
23 governing the practice of medicine in California and remain in full compliance with any court  
24 ordered criminal probation, payments, and other orders.

25 6. INVESTIGATION/ENFORCEMENT COST RECOVERY. Respondent is hereby  
26 ordered to reimburse the Board its costs of enforcement, including, but not limited to, expert  
27 review, amended accusations, legal reviews, investigation(s), and subpoena enforcement, as  
28 applicable, in the amount of \$7,296.25 (seven thousand two hundred ninety-six dollars and

1 twenty-five cents). Costs shall be payable to the Medical Board of California. Failure to pay such  
2 costs shall be considered a violation of probation.

3 Payment must be made in full within 30 calendar days of the effective date of the Order, or  
4 by a payment plan approved by the Medical Board of California. Any and all requests for a  
5 payment plan shall be submitted in writing by Respondent to the Board. Failure to comply with  
6 the payment plan shall be considered a violation of probation.

7 The filing of bankruptcy by respondent shall not relieve Respondent of the responsibility to  
8 repay investigation and enforcement costs.

9 7. QUARTERLY DECLARATIONS. Respondent shall submit quarterly declarations  
10 under penalty of perjury on forms provided by the Board, stating whether there has been  
11 compliance with all the conditions of probation.

12 Respondent shall submit quarterly declarations not later than 10 calendar days after the end  
13 of the preceding quarter.

14 8. GENERAL PROBATION REQUIREMENTS.

15 Compliance with Probation Unit

16 Respondent shall comply with the Board's probation unit.

17 Address Changes

18 Respondent shall, at all times, keep the Board informed of Respondent's business and  
19 residence addresses, email address (if available), and telephone number. Changes of such  
20 addresses shall be immediately communicated in writing to the Board or its designee. Under no  
21 circumstances shall a post office box serve as an address of record, except as allowed by Business  
22 and Professions Code section 2021, subdivision (b).

23 Place of Practice

24 Respondent shall not engage in the practice of medicine in Respondent's or patient's place  
25 of residence, unless the patient resides in a skilled nursing facility or other similar licensed  
26 facility.

27 The Respondent may treat hospice patients in their home, if the patient's care has been  
28 coordinated through a recognized hospice program and Respondent is required to regularly report

1 to the program regarding the care he provides to such patients for the program's review.

2 License Renewal

3 Respondent shall maintain a current and renewed California physician's and surgeon's  
4 license.

5 Travel or Residence Outside California

6 Respondent shall immediately inform the Board or its designee, in writing, of travel to any  
7 areas outside the jurisdiction of California which lasts, or is contemplated to last, more than thirty  
8 (30) calendar days.

9 In the event Respondent should leave the State of California to reside or to practice  
10 Respondent shall notify the Board or its designee in writing 30 calendar days prior to the dates of  
11 departure and return.

12 9. INTERVIEW WITH THE BOARD OR ITS DESIGNEE. Respondent shall be  
13 available in person upon request for interviews either at Respondent's place of business or at the  
14 probation unit office, with or without prior notice throughout the term of probation.

15 10. NON-PRACTICE WHILE ON PROBATION. Respondent shall notify the Board or  
16 its designee in writing within 15 calendar days of any periods of non-practice lasting more than  
17 30 calendar days and within 15 calendar days of Respondent's return to practice. Non-practice is  
18 defined as any period of time Respondent is not practicing medicine as defined in Business and  
19 Professions Code sections 2051 and 2052 for at least 40 hours in a calendar month in direct  
20 patient care, clinical activity or teaching, or other activity as approved by the Board. If  
21 Respondent resides in California and is considered to be in non-practice, Respondent shall  
22 comply with all terms and conditions of probation. All time spent in an intensive training  
23 program which has been approved by the Board or its designee shall not be considered non-  
24 practice and does not relieve Respondent from complying with all the terms and conditions of  
25 probation. Practicing medicine in another state of the United States or Federal jurisdiction while  
26 on probation with the medical licensing authority of that state or jurisdiction shall not be  
27 considered non-practice. A Board-ordered suspension of practice shall not be considered as a  
28 period of non-practice.

1 In the event Respondent's period of non-practice while on probation exceeds 18 calendar  
2 months, Respondent shall successfully complete the Federation of State Medical Boards's Special  
3 Purpose Examination, or, at the Board's discretion, a clinical competence assessment program  
4 that meets the criteria of Condition 18 of the current version of the Board's "Manual of Model  
5 Disciplinary Orders and Disciplinary Guidelines" prior to resuming the practice of medicine.

6 Respondent's period of non-practice while on probation shall not exceed two (2) years.

7 Periods of non-practice will not apply to the reduction of the probationary term.

8 Periods of non-practice for a Respondent residing outside of California will relieve  
9 Respondent of the responsibility to comply with the probationary terms and conditions with the  
10 exception of this condition and the following terms and conditions of probation: Obey All Laws;  
11 General Probation Requirements; Quarterly Declarations; Abstain from the Use of Alcohol and/or  
12 Controlled Substances; and Biological Fluid Testing..

13 11. COMPLETION OF PROBATION. Respondent shall comply with all financial  
14 obligations (e.g., restitution, probation costs) not later than 120 calendar days prior to the  
15 completion of probation. This term does not include cost recovery, which is due within 30  
16 calendar days of the effective date of the Order, or by a payment plan approved by the Medical  
17 Board and timely satisfied. Upon successful completion of probation, Respondent's certificate  
18 shall be fully restored.

19 12. VIOLATION OF PROBATION. Failure to fully comply with any term or condition  
20 of probation is a violation of probation. If Respondent violates probation in any respect, the  
21 Board, after giving Respondent notice and the opportunity to be heard, may revoke probation and  
22 carry out the disciplinary order that was stayed. If an Accusation, or Petition to Revoke Probation,  
23 or an Interim Suspension Order is filed against Respondent during probation, the Board shall have  
24 continuing jurisdiction until the matter is final, and the period of probation shall be extended until  
25 the matter is final.

26 13. LICENSE SURRENDER. Following the effective date of this Decision, if  
27 Respondent ceases practicing due to retirement or health reasons or is otherwise unable to satisfy  
28 the terms and conditions of probation, Respondent may request to surrender his or her license.

1 The Board reserves the right to evaluate Respondent's request and to exercise its discretion in  
2 determining whether or not to grant the request, or to take any other action deemed appropriate  
3 and reasonable under the circumstances. Upon formal acceptance of the surrender, Respondent  
4 shall within 15 calendar days deliver Respondent's wallet and wall certificate to the Board or its  
5 designee and Respondent shall no longer practice medicine. Respondent will no longer be subject  
6 to the terms and conditions of probation. If Respondent re-applies for a medical license, the  
7 application shall be treated as a petition for reinstatement of a revoked certificate.

8 14. PROBATION MONITORING COSTS Respondent shall pay the costs associated  
9 with probation monitoring each and every year of probation, as designated by the Board, which  
10 may be adjusted on an annual basis. Such costs shall be payable to the Medical Board of  
11 California and delivered to the Board or its designee no later than January 31 of each calendar  
12 year.

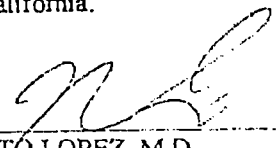
13 15. FUTURE ADMISSIONS CLAUSE. If Respondent should ever apply or reapply for  
14 a new license or certification, or petition for reinstatement of a license, by any other health care  
15 licensing action agency in the State of California, all of the charges and allegations contained in  
16 Accusation No. 800-2019-060838 shall be deemed to be true, correct, and admitted by  
17 Respondent for the purpose of any Statement of Issues or any other proceeding seeking to deny or  
18 restrict license.

19 ACCEPTANCE

20 I have carefully read the above Stipulated Settlement and Disciplinary Order and have fully  
21 discussed it with my attorney, Nicholas Jurkowitz. I understand the stipulation and the effect it  
22 will have on my Physician's and Surgeon's Certificate. I enter into this Stipulated Settlement and  
23 Disciplinary Order voluntarily, knowingly, and intelligently, and agree to be bound by the  
24 Decision and Order of the Medical Board of California.

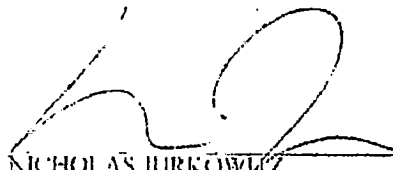
25  
26 DATED.

3/21/2023

27   
NICETO LOPEZ, M D  
Respondent

1 I have read and fully discussed with Respondent Niceto Lopez, M.D. the terms and  
2 conditions and other matters contained in the above Stipulated Settlement and Disciplinary Order.  
3 I approve its form and content.

4  
5 DATED: 3-21-23

  
NICHOLAS JURKOWITZ  
Attorney for Respondent

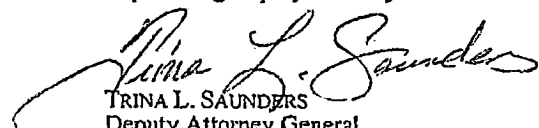
6  
7  
8  
9 ENDORSEMENT

10 The foregoing Stipulated Settlement and Disciplinary Order is hereby respectfully  
11 submitted for consideration by the Medical Board of California.

12  
13 DATED: 3/21/23

Respectfully submitted,

14 ROB BONTA  
15 Attorney General of California  
16 ROBERT MCKIM BELL  
Supervising Deputy Attorney General

17   
18 TRINA L. SAUNDERS  
19 Deputy Attorney General  
Attorneys for Complainant

20  
21  
22 LA2020602718  
23 65816740.docx  
24  
25  
26  
27  
28

**Exhibit A**

**First Amended Accusation No. 800-2019-060838**

1 ROB BONTA  
Attorney General of California  
2 ROBERT MCKIM BELL  
Supervising Deputy Attorney General  
3 TRINA L. SAUNDERS  
Deputy Attorney General  
4 State Bar No. 207764  
California Department of Justice  
5 300 South Spring Street, Suite 1702  
Los Angeles, California 90013  
6 Telephone: (213) 269-6516  
Facsimile: (916) 731-2117  
7 *Attorneys for Complainant*

8 **BEFORE THE**  
9 **MEDICAL BOARD OF CALIFORNIA**  
10 **DEPARTMENT OF CONSUMER AFFAIRS**  
**STATE OF CALIFORNIA**

11 In the Matter of the First Amended Accusation Case No. 800-2019-060838  
12 Against:

13 **NICETO LOPEZ, M.D.**  
14 **2121 Santa Monica Boulevard**  
15 **Santa Monica, California 90404**

**FIRST AMENDED ACCUSATION**

16 Physician's and Surgeon's  
17 Certificate No. A 96421,

Respondent.

18 **PARTIES**

- 19 1. Reji Varghese (Complainant) brings this First Amended Accusation solely in his official  
20 capacity as the Interim Executive Director of the Medical Board of California (Board).  
21 2. On July 14, 2006, the Board issued Physician's and Surgeon's Certificate Number A  
22 96421 to Niceto Lopez, M.D. (Respondent). That license was in full force and effect at all times  
23 relevant to the charges brought herein and will expire on May 31, 2024, unless renewed.

24 **JURISDICTION**

- 25 3. This First Amended Accusation is brought before the Board under the authority of the  
26 following provisions of the California Business and Professions Code (Code) unless otherwise  
27 indicated.

- 28 4. Section 2227 of the Code provides that a licensee who is found guilty under the

1 Medical Practice Act may have his or her license revoked, suspended for a period not to exceed  
2 one year, placed on probation and required to pay the costs of probation monitoring, or such other  
3 action taken in relation to discipline as the Board deems proper.

4 5. Section 2234 of the Code, states:

5 The board shall take action against any licensee who is charged with  
6 unprofessional conduct. In addition to other provisions of this article, unprofessional  
conduct includes, but is not limited to, the following:

7 (a) Violating or attempting to violate, directly or indirectly, assisting in or  
8 abetting the violation of, or conspiring to violate any provision of this chapter.

9 (b) Gross negligence.

10 (c) Repeated negligent acts. To be repeated, there must be two or more  
11 negligent acts or omissions. An initial negligent act or omission followed by a  
separate and distinct departure from the applicable standard of care shall constitute  
repeated negligent acts.

12 (1) An initial negligent diagnosis followed by an act or omission medically  
13 appropriate for that negligent diagnosis of the patient shall constitute a single  
negligent act.

14 (2) When the standard of care requires a change in the diagnosis, act, or  
15 omission that constitutes the negligent act described in paragraph (1), including, but  
not limited to, a reevaluation of the diagnosis or a change in treatment, and the  
16 licensee's conduct departs from the applicable standard of care, each departure  
constitutes a separate and distinct breach of the standard of care.

17 (d) Incompetence.

18 (e) The commission of any act involving dishonesty or corruption that is  
19 substantially related to the qualifications, functions, or duties of a physician and  
surgeon.

20 (f) Any action or conduct that would have warranted the denial of a certificate.

21 (g) The failure by a certificate holder, in the absence of good cause, to attend  
22 and participate in an interview by the board. This subdivision shall only apply to a  
certificate holder who is the subject of an investigation by the board.

23 6. Section 2266 of the Code states:

24 The failure of a physician and surgeon to maintain adequate and accurate  
25 records relating to the provision of services to their patients constitutes unprofessional  
conduct.

#### 26 COST RECOVERY

27 7. Section 125.3 of the Code provides, in pertinent part, that the Board may request the  
28 administrative law judge to direct a licensee found to have committed a violation or violations of

1 the licensing act to pay a sum not to exceed the reasonable costs of the investigation and  
2 enforcement of the case, with failure of the licensee to comply subjecting the license to not being  
3 renewed or reinstated. If a case settles, recovery of investigation and enforcement costs may be  
4 included in a stipulated settlement.

#### 5 Standard of Care

6 8. Respondent is a hospitalist physician.<sup>1</sup> Hospitalists generally work in shifts.  
7 Therefore, maintaining appropriate medical record keeping is important for hospitalists to ensure  
8 that information about a patient's care and status is provided to subsequent treaters and other  
9 medical care providers. The history of present illnesses and review of systems should be detailed  
10 in the chart notes. Accurate recording of the physical findings should be documented at every  
11 patient encounter. An appropriate synthesis and/or derivation of a differential diagnoses and  
12 treatment plan(s) should be charted. Documenting clear and concise medical records about a  
13 patient is also critical to maintaining the continuum of care. A lack of adequate medical records  
14 about a patient would make it difficult for subsequent healthcare providers to cover or resume  
15 care for a patient after a change in shift. Subsequent providers are dependent on previous  
16 charting for details about a patient to compare the current presentation of a patient to the previous  
17 presentations for evaluation of efficacy of treatment(s). Conflicting information and/or a lack of  
18 differential diagnoses in chart notes, makes it difficult for subsequent providers to efficiently  
19 provide medical care to a patient as subsequent provider(s) would have to spend additional time  
20 that he or she might not have to evaluate the patient's issues rather than continuing current  
21 treatment(s) as is usually expected in situations of shift change care for a patient.

#### 22 FIRST CAUSE FOR DISCIPLINE

##### 23 (Gross Negligence)

24 9. Respondent is subject to disciplinary action under Code section 2234, subdivisions  
25 (b) and (d) of the Code, in that Respondent was grossly negligent in connection with the care and  
26

---

27 <sup>1</sup> Hospital medicine is a branch of internal or family medicine, dealing with the care of acutely ill hospitalized  
28 patients. The primary professional focus of hospitalists is caring for hospitalized patients only while they are in the  
hospital.

1 treatment of Patients A, B and C. The circumstances are as follows:

2  
3 Patient A.<sup>2</sup>

4 10. On or about October 20, 2016, Patient A, an 84-year-old woman, presented to the  
5 Emergency Department (E.D.) at the hospital where Respondent worked with a chief complaint  
6 of an altered mental status. Patient A's past medical history included coronary artery disease  
7 (CAD), diabetes mellitus (D.M.), paroxysmal atrial fibrillation (PAFIB), gastroesophageal reflux  
8 disease (GERD), hypothyroidism, chronic kidney disease (CKD) stage III, hyperkalemia,  
9 hyperlipidemia, congestive heart failure (CHF) with ischemic cardiomyopathy (ejection fraction  
10 documented as 30-35%), history of urinary retention, cholelithiasis, and peripheral artery disease  
11 (PAD). Patient A's past surgical history included cataract removal, left elbow fracture, right  
12 femur fracture, right shoulder fracture, left carotid endarterectomy, bilateral lower extremity  
13 arterial procedures for PAD, and pacemaker placement. A note by the E.D. physician indicated  
14 that the patient was nonverbal. The patient also had a left heel ulcer (a bed sore). She had no  
15 leukocytosis. Her urinalysis revealed pyuria, and her ESR<sup>3</sup> and CRP<sup>4</sup> were both elevated. Her  
16 head C.T. was negative for acute processes. The E.D. physician noted that Patient A's altered  
17 mental status was due to infectious causes: urinary tract infection (UTI), cellulitis of left lower  
18 extremity and left heel decubital ulcer. His differential diagnosis included neurological causes  
19 and electrolyte abnormalities. Respondent admitted Patient A to the hospital. Of note, the patient  
20 had a potassium<sup>5</sup> level of 3.9 (normal range: 3.6-5.2) and Respondent started intravenous fluids  
21 (IVF) containing potassium chloride (KCI).

22 11. On or about October 21, 2016, Respondent saw Patient A and her potassium level

23  
24 <sup>2</sup> Letters are used in lieu of names to address privacy concerns.

25 <sup>3</sup> Erythrocyte Sedimentation Rate, a type of blood test that detects and monitors  
inflammation in the body.

26 <sup>4</sup> C-Reactive Protein, also a blood test that measures inflammation.

27 <sup>5</sup> Potassium is an important electrolyte for nerve and muscle cell functioning, especially  
28 for muscle cells in the heart. Kidneys control potassium levels by allowing for excess potassium  
to leave the body through urine or sweat.

1 was 4.7. The patient's creatinine was 1.18. Her blood cultures from admission had no growth at  
2 24 hours. A urine culture was in progress. He wrote, "Diagnostic studies: Available data and  
3 images were reviewed personally. See reports. Significant results and findings are addressed  
4 here or in the Assessment and Plan." Respondent also continued the patient's IVF maintenance  
5 with 20 mEq of KCl.

6 12. From on or about October 22, 2016 through October 23, 2016 another hospitalist saw  
7 Patient A. The patient appeared to continue to suffer from confusion and her blood cultures from  
8 admission remained negative. The urine culture grew Klebsiella.<sup>6</sup> No lab results were checked  
9 during these two days.

10 13. Patient A suffered a code blue<sup>7</sup> on or about October 24, 2016 and an E.D. physician  
11 responded to the code. She had agonal respiration.<sup>8</sup> In addition, her pulse was rapid and thready  
12 (that is, weak); pulse oximetry was noted to be 78%. Patient A was unresponsive and initially, in  
13 wide complex and irregular tachycardia. She was given an amiodarone trial, intubated, shocked  
14 and given bicarbonate and calcium. She was transferred to the ICU. Updated labs showed  
15 Patient A's potassium level at 6.5, a critically high level.

16 14. On or about October 25, 2016, Patient A again coded around 7:00 a.m., while  
17 intubated in the ICU on vasopressor drugs<sup>9</sup> at the maximum dose, and evinced pulseless electrical  
18 activity (PEA) cardiac arrest. The code was called at 7:09 a.m., and Patient A died.

19 15. On or about October 20, 2016 and thereafter, Respondent committed gross negligence  
20 by failing to maintain adequate and accurate records in connection with this care and treatment of

21  
22 <sup>6</sup> A bacterial infection of gram-negative bacilli.

23 <sup>7</sup> The term "code blue" is used to describe the critical status of a patient. Hospital staff  
24 may call a code blue if a patient goes into cardiac arrest, has respiratory issues, or experiences any  
25 other medical emergency. Hospitals typically have rapid response teams ready to go when they  
26 get notified about a code blue.

27 <sup>8</sup> Agonal respiration is a distinct abnormal pattern of breathing and brainstem reflex  
28 characterized by gasping, labored breathing, accompanied by strange vocalizations and  
myoclonus. Possible causes include cerebral ischemia, extreme hypoxia, or even anoxia. Agonal  
breathing is an extremely serious medical sign requiring immediate medical attention, as the  
condition generally progresses to complete apnea and heralds death.

<sup>9</sup> Medications that contract the blood vessels and raise blood pressure.

1 Patient A, as follows:

- 2 a) Respondent's chart notes for Patient A were long, yet often lacked pertinent positive  
3 and negative medical findings about the patient. For example, Respondent admitted  
4 Patient A to the hospital with an altered mental status. However, he failed to  
5 document Patient A's's baseline mental status upon examination.
- 6 b) Respondent saw Patient A on or about October 24, 2016. He failed to adequately  
7 document a full evaluation which would attempt to address Patient A's  
8 deterioration, including the reasons for the patient's hypotension which required  
9 vasopressor support.
- 10 c) Patient A records included conflicting information such as Respondent's admission  
11 note which indicated that Patient A had an altered mental status, but the examination  
12 portion of his note stated, "oriented x3."<sup>10</sup> Respondent also charted in a note dated  
13 October 24, 2016, in the exam section under "Gen" (general) that Patient A was  
14 "alert, cooperative, no distress" and under "Neurologic" that the patient was  
15 "sedated, nonfocal" and "moving all extremities."
- 16 d) Respondent failed to address abnormal findings in his assessments and plans. For  
17 example, although on admission, Patient A had elevated creatinine and anemia, his  
18 assessment and plan did not include addressing these issues. Similarly, on or about  
19 on October 24, 2016, the patient was noted to be hypotensive, but his assessment or  
20 plan failed to document how he would address Patient A's hypotension.

21 16. On or about October 20, 2016 and thereafter, Respondent committed gross negligence  
22 by failing to adequately assess and manage Patient A's hypokalemia.<sup>11</sup> Patient A presented with  
23 a diagnosis of CKD stage III, a history of hyperkalemia, and a potassium level of 3.9. During his  
24 interview with the Board investigator and medical consultant on or about June 1, 2020,  
25 Respondent indicated that he added potassium to Patient A's IVF. This was dangerous and

26 <sup>10</sup> Oriented times three means the patient knows their name, location and date/time.

27 <sup>11</sup> This is a condition of low potassium levels. Serious side effects include life-threatening  
28 complications (arrhythmias, paralysis, rhabdomyolysis, and diaphragmatic weakness).

1 required vigilant monitoring to avoid hyperkalemia. It would have been safer to provide a one-  
2 time dose instead. On or about October 21, 2016, Respondent saw Patient A, and Patient A's  
3 potassium level was 4.7. Respondent should have ceased Patient A's potassium replacement in  
4 the IVF at that point in time to avoid any further rise in the potassium level or at least, he should  
5 have closely monitored Patient A's's potassium level.

6 17. On or about October 20, 2016 and thereafter, Respondent committed gross negligence  
7 by failing to adequately assess and manage Patient A's hyperkalemia.<sup>12</sup> When Patient A initially  
8 coded on or about October 24, 2016, she appeared to have had a myocardial infarction, and also  
9 hyperkalemia with a potassium level of 6.5. Although Respondent consulted cardiology, he  
10 continued to maintain Patient A on IVF with potassium replacement. However, this treatment  
11 with potassium replacement should have been discontinued promptly from the IVF. Patient A  
12 also suffered an acute kidney injury as well. Despite Patient A's significant renal impairment,  
13 Respondent also ordered standing as needed (prn) potassium orders (although the patient  
14 apparently did not receive any doses).

15 **Patient B.**

16 18. On or about March 18, 2018, Patient B, a 76-year-old woman, presented to the  
17 emergency department at the hospital where Respondent worked for evaluation of her restless leg  
18 syndrome, weakness, and low blood pressure. An IVF was started by paramedics during  
19 transport, due to hypotension. Her past medical history included CKD, stage III, anxiety disorder,  
20 arthritis, lupus anticoagulant, hyperlipidemia, hypertension, nonrheumatic tricuspid valve  
21 insufficiency, PAFIB and restless leg syndrome (RLS). Her past surgical history included  
22 pacemaker and bioprosthetic aortic valve replacement. Her review of systems was positive for  
23 appetite change, fatigue, arthralgia, agitation, confusion, and sleep disturbances. Her presentation  
24 heart rate was 124 and her blood pressure was 105/75. Her temperature was 36.5C (97.7 degrees  
25 F). She was noted to have bilateral lower extremity pitting edema. She had mild leukocytosis at  
26

27 <sup>12</sup> This is a condition of high potassium levels. The most serious manifestations of  
28 hyperkalemia are muscle weakness or paralysis, cardiac conduction abnormalities and cardiac  
arrhythmia. Cardiac arrhythmias associated with hyperkalemia include sinus bradycardia, sinus  
arrest, slow idioventricular rhythms, ventricular tachycardia, ventricular fibrillation, and asystole.

1 11.9 K. Her platelet count was 70K. Her creatinine was 2.03. The E.D. physician treated her  
2 with IVF and IV cardizem. Upon reevaluation in the E.D., the patient's pulse was 119, and her  
3 blood pressure was 138/57. Respondent admitted Patient B to the hospital.

4 19. On or about March 18, 2018, Respondent saw Patient B and noted a history of mitral  
5 clip for mitral valve regurgitation. The review of systems was essentially negative. Her white  
6 blood cell (WBC) count was 11.9 and her platelet count was 70. No documentation of the  
7 electrocardiogram (EKG) interpretation was found under the history and physical, and no DVT  
8 prophylaxis was checked. A cardiology consultation was requested. Heart rate control agents  
9 were adjusted by the cardiologist. The cardiologist documented that it was permissible to have  
10 the systolic blood pressure to go down to the 90's.

11 20. On or about March 19, 2018, a cardiology consult documented that the patient's heart  
12 rate was better controlled at approximately 90-110 beats per minute.

13 21. On or about March 19, 2018, Respondent saw Patient B and documented that Patient  
14 B's heart rate was better controlled at 90-110. Patient B had significant cramping and jerking of  
15 lower extremities. Patient B's medications for RLS would be adjusted as per neurology. Patient  
16 B's vital signs were notable for a minimum blood pressure of 91/73, a maximum heart rate of 155  
17 and a maximum respiratory rate of 22.

18 22. On or about March 19, 2018, Respondent saw Patient B and again documented that  
19 Patient B's heart rate was better controlled at 90-110. Patient B's medications for restless legs  
20 syndrome were adjusted as per discussion with neurology. Patient B's hyponatremia was  
21 documented to have resolved after IVF and diuresis. Patient B's vital signs were notable for a  
22 minimum blood pressure of 99/73 and a maximum heart rate of 112. No fever or hypothermia  
23 was charted. Patient B was noted to be alert and cooperative. The patient was noted to have  
24 leukocytosis of 14.8 and thrombocytopenia of 52.

25 23. On or about March 21, 2018, Respondent saw Patient B and again documented that  
26 Patient B's heart rate was better controlled at approximately 90-110. Her medications for restless  
27 legs syndrome were adjusted as per discussion with neurology. Hyponatremia was documented  
28 as to have resolved after IVF and diuresis. Her vital signs were notable for minimum blood

1 pressure of 94/47 and maximum heart rate of 96. Patient B was documented as being alert and  
2 cooperative on the physical exam. Her Sodium level was 135. She had leukocytosis of 11.8 and  
3 thrombocytopenia of 59.

4 24. On or about March 21, 2018, a nursing note documented that Patient B had anxiety  
5 and agitation. Redness and swelling were noted at Patient B's left arm IV site. Nursing also  
6 documented Patient B's issues with low blood pressure (systolic in the 90's) and an uncontrolled  
7 heart rate up to 130-40.

8 25. On or about March 22, 2018, cardiology on-call was paged.

9 26. On or about March 22, 2018, Respondent saw Patient B and again documented that  
10 Patient B's heart rate was better controlled at approximately 90-110. He also documented that  
11 Patient B was very sleepy after starting Mirapex (a medication for RLS). Hyponatremia was  
12 documented as resolved after IVF and diuresis. Her vital signs were notable for a minimum  
13 blood pressure of 80/60, a maximum heart rate of 140 and a maximum respiratory rate of 26. His  
14 findings upon physical exam of the patient included "AAO x3<sup>13</sup>" under "General," but somnolent  
15 under "Psych."

16 27. On or about March 23, 2018, Respondent saw Patient B and again documented that  
17 the Patient B's heart rate was better controlled at approximately 90-110. He also documented that  
18 Patient B was very sleepy after starting Mirapex. Hyponatremia was documented as resolved  
19 after IVF and diuresis. Her vital signs were documented as a minimum blood pressure 75/59, a  
20 maximum heart rate of 141, and a respiratory rate of 22. The patient's sodium level was 129.  
21 Patient B's CBC and INR were pending.

22 28. On or about March 23, 2018, RRT<sup>14</sup> rounds on at 12:07 charted that Patient B's WBC  
23 went from 14.8 K on or about March 20, 2018 to 21.8K. Patient B was in rapid atrial fibrillation  
24 at 128. Her blood pressure was 102/66. Patient B was moaning a lot and yelling "help", but was  
25 unable to say with what she needed help. Respondent was aware of the Patient B's status.

26  
27 <sup>13</sup> This abbreviation stands for Awake, alert, and oriented as to person, place and time.

28 <sup>14</sup> Presumably meaning rapid response team.

1       29. On or about March 23, 2018, gastroenterology was consulted due to bright red blood  
2 per rectum. It was noted that Patient B had leukocytosis (21.8K) and thrombocytopenia (42K).

3       30. On or about March 23, 2018, the on-call hospitalist for Respondent was called. At  
4 approximately 19:27, the on-call hospitalist documented that Patient B met the criteria for severe  
5 sepsis.<sup>15</sup> Patient B was started on IVF and broad-spectrum antibiotics. The plan was to transfer  
6 Patient B to the ICU. A lumbar puncture was also ordered.

7       31. On or about March 23, 2018, an RRT documented that Patient B was confused  
8 throughout the shift. Patient B remained hypotensive with systolic blood pressure in the 80's.  
9 Vasopressor support was started later that night. Patient B was transferred to ICU at 22:16 (10:16  
10 p.m.).

11       32. On or about March 24, 2018, an infectious disease consult charted impressions of  
12 severe sepsis due to suspected acute infectious endocarditis. That same day, a nephrology  
13 consultation was obtained due to Patient B's acute kidney injury (AKI) and metabolic acidosis.  
14 Her AKI was thought to be due to renal hypo-perfusion. That same day, another hospitalist  
15 evaluated Patient B and noted that she was in septic shock on vasopressor support. Endocarditis  
16 was suspected as the cause of the sepsis. She was also noted to have AKI, disseminated  
17 intravascular coagulation due to sepsis, and demand ischemia with an elevated troponin level. A  
18 blood culture from a sample taken on or about March 23, 2018, grew gram positive cocci in  
19 clusters. The family was updated on Patient B's condition. Patient B died on or about March 24,  
20 2018.

21       33. On or about March 18, 2018 and thereafter, Respondent committed gross negligence  
22 by failing to maintain adequate and accurate records in connection with his care and treatment of  
23 Patient B.

24           a) Respondent often failed to address abnormal findings with respect to Patient B. For  
25 example, he failed to document a plan for thrombocytopenia, leukocytosis, altered

26       <sup>15</sup> The signs and symptoms of sepsis can include hypotension, tachycardia, fever or  
27 hypothermia. In addition, laboratory findings may be nonspecific and could include leukocytosis  
28 (or left shift), hyperglycemia, thrombocytopenia, coagulation abnormalities, hyperbilirubinemia,  
hyperlactatemia, and arterial hypoxemia. Further, many patients may not present with the classic  
or typical features of fever or hypothermia.

1 mental status, and hypotension. Respondent documented Patient B's low  
2 respiratory rate, but failed to adequately assess and address the condition. Patient B  
3 also had a history of atrial fibrillation and lupus anticoagulant, which placed her at  
4 risk for thromboembolic events. However, Respondent failed to note DVT  
5 prophylaxis on admission or the following day. Respondent failed to document  
6 Patient B's baseline creatinine level in the setting of known CKD and elevated  
7 creatinine.

8 b) Respondent's chart notes for Patient B also included conflicting information. For  
9 example, Patient B's heart rate was documented to be better controlled in the plan at  
10 a rate of 90-110, for days. Yet, Patient B's charted vital signs did not correlate:  
11 some days the maximum heart rate was in the 90's and others in the 150's. On or  
12 about March 22, 2018, Respondent documented that Patient B's orientation was  
13 "AAO x3" under "General," but somnolent under "Psych."

14 c) Portions of Respondent's notes appeared to have been copied and pasted into the  
15 records. For example, a chart note dated March 19, 2018, stated that "Rates during  
16 atrial fibrillation are currently better controlled at approximately 90-110 bpm. She  
17 is on intravenous diltiazem at present. Metoprolol has been continued and a digoxin  
18 [sic] is continued." A note dated March 20, 2018, stated that "Rates during atrial  
19 fibrillation are currently better controlled at approximately 90-110 bpm. She is on  
20 intravenous diltiazem at present. Metoprolol has been continued and a digoxin [sic]  
21 is continued." These same sentences were in chart notes dated March 21, 2018 and  
22 March 22, 2018.

23 d) Respondent also failed to adequately synthesize the underlying differential  
24 diagnoses in the notes. He failed to include sepsis as a differential diagnosis for  
25 Patient B, despite Patient B's refractory atrial fibrillation, hypotension, altered  
26 mental status and leukocytosis.

27 34. On or about March 18, 2018 and thereafter, Respondent committed gross negligence  
28 when he failed to recognize sepsis in Patient B. Patient B's course upon admission deteriorated

1 continuously in the hospital with refractory atrial fibrillation and rapid ventricular response,  
2 hypotension, altered mentation, tachypnea, leukocytosis and thrombocytopenia. Respondent  
3 failed to adequately synthesize a differential diagnosis, including sepsis, to unify the patient's  
4 symptoms and findings. Despite being notified by nursing staff about Patient B's tachycardia and  
5 acute up trending of leukocytosis, Respondent failed to take appropriate action. Ultimately, the  
6 on-call hospitalist physician recognized Patient B's severe sepsis.

7 **Patient C.**

8 35. On or about June 25, 2018, Patient C, a 39-year-old man, presented to the emergency  
9 department at the hospital where Respondent worked, with complaints of drooling, "hearing a  
10 song that no one else is hearing," having had a headache for one week, and intermittent left-hand  
11 weakness. Patient C's past medical history included steroid-induced diabetes and ulcerative  
12 colitis, and history of a total colectomy. A computed tomography (C.T.) scan of the patient's  
13 head identified possible brain edema in Patient C's right frontal lobe. A magnetic resonance  
14 imaging (MRI) scan of Patient C's brain subsequently identified possible low grade diffuse  
15 astrocytoma in the region. A lumbar puncture was performed as well. Neurosurgery evaluated  
16 Patient C and it was noted that a brain biopsy would be considered if infectious and neurological  
17 workup was negative or equivocal. Patient C also suffered from an acute kidney injury (AKI),  
18 and had hyperglycemia (high blood glucose), but without evidence of diabetic ketoacidosis<sup>16</sup>  
19 (DKA). Although Patient C was given IVF, Patient C and his parents refused insulin.

20 36. On or about June 25, 2018, Respondent admitted Patient C to the hospital to rule out a  
21 brain tumor. Patient C had diabetes mellitus with a reported allergy to insulin ("my throat closed  
22 off") and only diet control therapy. Review of systems was negative. Patient C's vitals and  
23 physical exam were unremarkable. Respondent's assessment and plan included: 1. Brain tumor:  
24 medically stable to undergo general anesthesia and surgery as needed; 2. Diabetes mellitus:  
25 "NOT on insulin due to history allergic reaction," HgbA1c was to be checked for a baseline, and  
26 he would consult endocrinology if hyperglycemia persisted; 3. History of colectomy: Pads and

27  
28 <sup>16</sup> A serious complication of diabetes that occurs when the body produces high levels of  
blood acids called ketones.

1 supportive care were planned. The results of an electrocardiogram (EKG) found normal sinus  
2 rhythm with no significant S.T. or T wave abnormalities. Deep Vein Thrombosis (DVT)  
3 prophylaxis was not documented.

4 37. On or about June 26, 2018, Patient C complained of intermittent spasms in his left  
5 arm. The exam was notable for confusion at times. Patient C's chemistry was at baseline. The  
6 patient's vital signs were unremarkable. Respondent's assessment and plan included a repetition  
7 of the diabetes and history of colectomy documentation from the prior day. In addition,  
8 Respondent wrote brain tumor vs infective encephalitis vs other, and his plan was for a  
9 neurosurgery evaluation with possible need for biopsy. He also documented that he discussed the  
10 patient with neurology who recommended an infectious disease workup.

11 38. On or about June 26, 2018, infectious disease was consulted for antibiotics  
12 management and neurology was consulted for brain mass and neurological symptoms.

13 39. On or about June 27, 2018, Patient C reported fewer episodes of left arm spasms.  
14 Patient C also had borderline tachycardia (at 110), but otherwise his vital signs and exam were  
15 unremarkable. No chemistry panel was documented. Respondent's plan was for a possible brain  
16 biopsy. Patient C was deemed medically stable to undergo general anesthesia and surgery as  
17 needed. Infectious disease and neurological workups were in progress. Although Patient C was  
18 not on insulin due to his history of an allergic reaction and his refusal, his HgbA1c (commonly  
19 referred to as A1c level) was documented at 13.3.<sup>17</sup> His plan was to consult endocrinology if  
20 there was persistent hyperglycemia.

21 40. On or about June 27, 2018, psychiatry was consulted due to "A.H." (presumably  
22 auditory hallucinations). Seroquel®<sup>18</sup> was recommended.

23 41. On or about June 28, 2018, Patient C underwent a right frontal craniotomy procedure  
24 and open biopsy of the right frontal lobe. Respondent saw Patient C on that day and noted that  
25

26 <sup>17</sup> A1c level is the average of the prior three months' blood sugar levels. Normal A1c is  
below 5.7%. A level of 6.4% indicates prediabetes. A level greater than 6.5% indicates diabetes.

27 <sup>18</sup> "Seroquel" is a brand name for quetiapine, which is an atypical antipsychotic drug used  
28 for the treatment of schizophrenia, bipolar disorder, and major depressive disorder. It is a  
dangerous drug pursuant to Business and Professions code section 4022.

1 Patient C underwent the procedure. No chemistry panel was documented on the progress note.  
2 Respondent wrote, "Brain tumor vs infective encephalitis vs othert [sic]." The biopsy and frozen  
3 section were consistent with low grade glioma. Neuro oncology evaluation was to follow.  
4 Respondent again documented Patient C's refusal for insulin administration due to history of  
5 allergic reaction and his plan again was for endocrinology if there was persistent hyperglycemia.

6 42. On or about June 29, 2018, Respondent again documented that Patient C had a biopsy  
7 on the prior day. Hyperglycemia was noted as well. Patient C indulged in food post-surgery and  
8 steroids were started per neuro oncology. Patient C's glucose was 596, bicarbonate was 8, his  
9 anion gap was 23 and his white blood cell count was 12.2. Respondent again wrote that, "Brain  
10 tumor vs infective encephalitis vs othert [sic]," and that the biopsy and frozen section were  
11 consistent with low grade glioma. Respondent again documented Patient C's refusal for insulin  
12 administration due to history of allergic reaction and his plan again was for endocrinology if there  
13 was persistent hyperglycemia. IVF and bicarbonate were planned for the day.

14 43. On or about June 30, 2018, Respondent again documented that Patient C had a biopsy  
15 on the prior day and that he was hyperglycemic and had apparently indulged in food post-surgery  
16 and that steroids were started per neuro oncology. Patient C's morning labs showed glucose of  
17 386, serum bicarbonate of 11 with anion gap of 18. (Overnight labs from the day prior, on or  
18 about June 30, 2018, revealed glucose of 432, serum bicarbonate of 13 and anion gap of 20.)  
19 Respondent again wrote that, "Brain tumor vs infective encephalitis vs othert [sic]," and that  
20 "Neurosurgery evaluation and possible need for biopsy by [Dr. B.]" He again noted that the  
21 biopsy and frozen section were consistent with low grade glioma. Respondent again documented  
22 the patient's refusal for insulin administration due to history of allergic reaction. His plan was to  
23 give IVF and bicarbonate and monitor labs and to stop Seroquel®.

24 44. On or about July 1, 2018, Patient C's serum glucose level was 436 and his potassium  
25 was 3.5. His serum bicarbonate was 17, and the anion gap was 16. Respondent again wrote that  
26 the patient had brain "tumor vs infective encephalitis vs othert [sic]," and "Neurosurgery  
27 evaluation and possible need for biopsy by [Dr. B.]" and that there was a frozen section  
28 consistent with glioma. He also again wrote that Seroquel® was stopped, the patient not on

1 insulin due to a history of an allergic reaction and his plan was to wean off IVF and bicarbonate.  
2 45. On or about July 2, 2018, Patient C's serum glucose level was 563 and his anion gap  
3 was 15. The patient's bicarbonate was 17, his sodium was 128 and his creatinine was 1.48.  
4 Respondent again documented that Patient C was not on insulin due to his history of an allergic  
5 reaction, and that IVF and bicarbonate would be weaned off. His assessment again included  
6 "brain tumor vs infective encephalitis vs othert [sic]," and "Neurosurgery evaluation and possible  
7 need for biopsy by [Dr. B.]" The patient's family reported recurrent seizures and an EEG  
8 negative for acute seizures was explained to family.

9 46. On or about July 3, 2018, a nursing note at 09:45, documented "inform [Respondent]"  
10 about Patient C's critically high glucose level of 578. The plan was to give NS. Endocrinology  
11 saw Patient C and Patient C was transferred to ICU for an insulin drip after discussion with  
12 endocrinology. Respondent's progress note for that same day at 10:04 indicated that Patient C's  
13 serum glucose was 578, his bicarbonate was 19 and his anion gap was 15. Again, Respondent's  
14 assessment included "brain tumor vs infective encephalitis vs othert [sic]," and "Neurosurgery  
15 evaluation and possible need for biopsy by [Dr. B.]" He again wrote that the family reported  
16 recurrent seizure activity and that he explained to Patient C and family that the EEG was  
17 negative for acute seizures. He again documented that Patient C refused insulin. Endocrinology  
18 and allergy consults were also documented. Respondent again documented that Seroquel®, IVF  
19 and bicarbonate were stopped. He acknowledged that Patient C was to be transferred to ICU.  
20 On that same day, an allergist consulted for insulin desensitization in the ICU.

21 47. On or about July 4, 2018, the intensivist documented that the patient was off the  
22 insulin drip.

23 48. On or about July 5, 2018, Respondent saw Patient C. His potassium was noted to be  
24 at 3.4. Respondent's assessment included brain glioma and poorly controlled diabetes/borderline  
25 DKA. His plan was to continue anti-epileptic drugs (AED) per neurology. Seroquel® was  
26 stopped. Levemir (a long-acting insulin) and goals per endocrinology were charted as well.

27 49. On or about June 25, 2018 and thereafter, Respondent committed gross negligence by  
28 failing to maintain adequate and accurate records in connection with this care and treatment of

1 Patient C. For example, he documented that Patient C's family reported recurrent seizures to  
2 Respondent and he explained that the EEG was negative for seizures, however, he failed to  
3 document any explanation about any relevant symptoms of Patient C. He also failed to perform  
4 and/or document an adequate informed consent with Patient C regarding any risk, benefit and  
5 alternatives relating to Patient C's refusal of insulin treatment. Portions of Respondent's notes  
6 appeared to have been copied and pasted on occasions exhibited by typographical errors and  
7 abnormal findings in the records that were often not addressed in the assessment and plan, such as  
8 hyponatremia and leukocytosis. Conflicting information often co-existed in the same notes. For  
9 example, in a chart note dated July 3, 2018, Respondent wrote, "Neurosurgery evaluation and  
10 possible need for biopsy by [Dr. B]," and "right frontal craniotomy open brain biopsy with  
11 fluorescein guidance and frozen section consistent with low grade glioma." These issues may  
12 potentially cause errors in patient care after shift change.

13 50. On or about June 25, 2018 and thereafter, Respondent committed gross negligence by  
14 failing to adequately treat Respondent's diabetic ketoacidosis.

15 a) Respondent committed gross negligence when he administered bicarbonate therapy  
16 to Patient C while Patient C was refusing arterial blood gases. This controversial  
17 treatment is potentially harmful. If the pH changes rapidly, electrolyte derangement  
18 can occur, such as hypokalemia or hypocalcemia, causing potential risks of cardiac  
19 arrhythmia and seizures. Despite the danger, Respondent failed to adequately  
20 monitor Patient C while undergoing this controversial treatment. Respondent  
21 should have advised Patient C to undergo insulin therapy and fluid replacement,  
22 starting with isotonic saline followed by adequate monitoring with laboratory  
23 findings and treatment.

24 b) Respondent committed gross negligence in connection with his care for Patient C  
25 and Patient C's refusal of insulin treatment. Respondent failed to adequately  
26 discuss and/or document, Patient C's diagnosis and the benefits, risks and  
27 alternatives to insulin administration for Patient C's DKA. Respondent failed to  
28 adequately engage Patient C in the informed consent process, including by failing to

1 engage Patient C in an adequate discussion of the diagnosis as well as the risks,  
2 benefits and alternative treatment options. In particular, the risks of not using  
3 insulin for DKA, including coma or death, should have been adequately discussed  
4 and documented. Additionally, Respondent failed to adequately assess and/or  
5 document Patient C's capacity to make medical decisions. Further, if the patient  
6 had a diminished capacity to make medical decisions, Respondent should have  
7 sought a surrogate decision maker for Patient C. Despite documenting on multiple  
8 days that endocrinology would be consulted if hyperglycemia was persistent,  
9 Respondent never referred Patient C for an endocrinology consult. Instead, the  
10 neurosurgeon consulted endocrinology to educate and convince Patient C to start the  
11 insulin drip.

## 12 SECOND CAUSE FOR DISCIPLINE

### 13 (Repeated Negligent Acts)

14 51. Respondent is subject to disciplinary action under Code section 2234, subdivision (c)  
15 of the Code, in that Respondent committed repeated negligent acts in connection with his  
16 provision of medical services to Patients A, B and C. The circumstances are as follows:

17 52. The allegations of the First Cause for Discipline are incorporated herein by reference  
18 as if fully set forth, and represent repeated negligent acts.

### 19 Patient C

20 53. In addition, on or about June 25, 2018 and thereafter, Respondent was negligent when  
21 he failed to adequately perform and/or document, an appropriate preoperative consultation for  
22 Patient C. Respondent documented that Patient C was medically stable to undergo a brain biopsy.  
23 However, his medical records failed to include an adequate preoperative evaluation, including  
24 any assessment of the Patient C's exercise capacity. There was an EKG which appeared to be  
25 normal, but Patient C had poorly controlled diabetes (which is associated with increased mortality  
26 from coronary artery disease). Patients should be evaluated for preoperative cardiac and  
27 pulmonary risk. There are several risk models estimating the cardiac risks based on information  
28 from the history, physical examination, electrocardiogram, and type of surgery. All patients

1 should also be asked about their exercise capacity as part of the preoperative evaluation as  
2 exercise capacity is an important determinant of overall perioperative risk.

3 **THIRD CAUSE FOR DISCIPLINE**

4 **(Failure to Maintain Adequate and Accurate Records)**

5 54. Respondent is subject to disciplinary action under Code section 2266, of the Code, in  
6 that he failed to maintain adequate and accurate records relating to the provision of medical  
7 services to Patients A, B and C. The circumstances are as follows:

8 55. The allegations of the First, Second and Third Causes for Discipline, inclusive, are  
9 incorporated herein by reference as if fully set forth and represent Respondent's failure to  
10 maintain adequate and/or accurate medical records. Respondent's medical records for these  
11 patients often lacked the pertinent positives and negatives for the applicable conditions and  
12 portions of the chart notes appeared to have been copied and pasted into the record of a patient  
13 from other portions of the patient's record. In addition, often a patient's abnormal findings were  
14 not adequately addressed in Respondent's chart notes, including his assessments and plans. His  
15 chart notes also contained conflicting information within the same note.

16 **PRAYER**

17 **WHEREFORE**, Complainant requests that a hearing be held on the matters herein alleged,  
18 and that following the hearing, the Medical Board of California issue a decision:

19 1. Revoking or suspending Physician's and Surgeon's Certificate Number A 96421,  
20 issued to Niceto Lopez, M.D.;

21 2. Revoking, suspending or denying approval of his authority to supervise physician  
22 assistants and advanced practice nurses;

23 3. Ordering him to pay the Board the costs of the investigation and enforcement of this  
24 case, and if placed on probation, the costs of probation monitoring; and

25 //

26 //

27 4. Taking such other and further action as deemed necessary and proper.

28

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28

DATED: MAR 10 2023



REJI VARGHESE  
Interim Executive Director  
Medical Board of California  
Department of Consumer Affairs  
State of California

*Complainant*

LA2020602718  
Lopez FAA .docx