

Public

NEW YORK
state department of
HEALTH

Nirav R. Shah, M.D., M.P.H.
Commissioner

Sue Kelly
Executive Deputy Commissioner

May 31, 2011

CERTIFIED MAIL - RETURN RECEIPT REQUESTED

Michael G. Bass, Esq.
NYS Department of Health
ESP-Corning Tower-Room 2512
Albany, New York 12237

Winthrop Spiridon Risk II, M.D.
811 5th Avenue SE
Cedar Rapids, IA 52403

Winthrop Spiridon Risk II, M.D.

REDACTED

RE: In the Matter of Winthrop Spiridon Risk II, M.D.

Dear Parties:

Enclosed please find the Determination and Order (No. 11-134) of the Hearing Committee in the above referenced matter. This Determination and Order shall be deemed effective upon the receipt or seven (7) days after mailing by certified mail as per the provisions of §230, subdivision 10, paragraph (h) of the New York State Public Health Law.

Five days after receipt of this Order, you will be required to deliver to the Board of Professional Medical Conduct your license to practice medicine together with the registration certificate. Delivery shall be by either certified mail or in person to:

Office of Professional Medical Conduct
New York State Department of Health
Hedley Park Place
433 River Street - Fourth Floor
Troy, New York 12180

If your license or registration certificate is lost, misplaced or its whereabouts is otherwise unknown, you shall submit an affidavit to that effect. If subsequently you locate the requested items, they must then be delivered to the Office of Professional Medical Conduct in the manner noted above.

As prescribed by the New York State Public Health Law §230, subdivision 10, paragraph

(i), (McKinney Supp. 2007) and §230-c subdivisions 1 through 5, (McKinney Supp. 2007), "the determination of a committee on professional medical conduct may be reviewed by the Administrative Review Board for professional medical conduct." Either the licensee or the Department may seek a review of a committee determination.

Request for review of the Committee's determination by the Administrative Review Board stays penalties other than suspension or revocation until final determination by that Board. Summary orders are not stayed by Administrative Review Board reviews.

All notices of review must be served, by certified mail, upon the Administrative Review Board and the adverse party within fourteen (14) days of service and receipt of the enclosed Determination and Order.

The notice of review served on the Administrative Review Board should be forwarded to:

James F. Horan, Esq., Administrative Law Judge
New York State Department of Health
Bureau of Adjudication
Hedley Park Place
433 River Street, Fifth Floor
Troy, New York 12180

The parties shall have 30 days from the notice of appeal in which to file their briefs to the Administrative Review Board. Six copies of all papers must also be sent to the attention of Mr. Horan at the above address and one copy to the other party. The stipulated record in this matter shall consist of the official hearing transcript(s) and all documents in evidence.

Parties will be notified by mail of the Administrative Review Board's Determination and Order.

Sincerely,

REDACTED

James F. Horan, Acting Director
Bureau of Adjudication

JFH:cah
Enclosure

STATE OF NEW YORK : DEPARTMENT OF HEALTH
STATE BOARD FOR PROFESSIONAL MEDICAL CONDUCT

IN THE MATTER
OF
WINTHROP SPIRIDON RISK II, M.D.

DETERMINATION
AND
ORDER
BPMC #11-134

COPY

A hearing was held on May 17, 2011, at the offices of the New York State Department of Health ("the Petitioner"). A Notice of Referral Proceeding and a Statement of Charges, both dated February 23, 2011, were served upon the Respondent, Winthrop Spiridon Risk II, M.D.

Pursuant to Section 230(10)(e) of the Public Health Law, **Michael R. Golding, M.D.**, Chair, **Eleanor C. Kane, M.D.**, and **Janet M. Miller, R.N.**, duly designated members of the State Board for Professional Medical Conduct, served as the Hearing Committee in this matter. **David A. Lenihan, Esq.**, Administrative Law Judge, served as the Administrative Officer. The Petitioner appeared by **James E. Dering, Esq.**, General Counsel, by **Michael G. Bass, Esq.**, of Counsel. The Respondent, **Winthrop Spiridon Risk II, M.D.**, did appear, *pro se*, by telephone. Evidence was received and transcripts of these proceedings were made. After consideration of the entire record, the Hearing Committee issues this Determination and Order.

STATEMENT OF CASE

This case was brought pursuant to Public Health Law Section 230(10) (p). The statute provides for an expedited hearing when a licensee is charged solely with a violation of Education Law Section 6530(9). In such cases, a licensee is charged with misconduct based upon a prior criminal conviction in New York State or another jurisdiction, or upon a prior administrative adjudication regarding conduct that would amount to professional misconduct, if committed in New York. The scope of an expedited hearing is limited to a determination of the nature and severity of the penalty to be imposed upon the licensee.

In the instant case, the Respondent is charged with professional misconduct pursuant to Education Law §6530(9)(b) – by having been found guilty of improper professional practice by the State of Iowa, where the conduct upon which the finding was based would, if committed in New York state, constitute professional misconduct under the laws of New York state.

The Respondent is also charged with professional misconduct pursuant to Education Law §6530(9)(d) – by having disciplinary action taken by a duly authorized professional disciplinary agency of another state where the conduct resulting in the surrender would, if committed in New York state, constitute professional misconduct under the laws of New York state.

Copies of the Notice of Referral Proceeding and the Statement of Charges are attached to this Determination and Order as Appendix 1.

WITNESSES

For the Petitioner: None

For the Respondent: Winthrop Spiridon Risk II, M.D., by telephone.

FINDINGS OF FACT

The following Findings of Fact were made after a review of the entire record in this matter. Numbers below in parentheses refer to exhibits, denoted by the prefix "Ex." These citations refer to evidence found persuasive by the Hearing Committee in arriving at a particular finding. Conflicting evidence, if any, was considered and rejected in favor of the cited evidence. All Hearing Committee findings were unanimous.

1. **Winthrop Spiridon Risk II, M.D.**, did appear, *pro se*, by telephone, and was duly served with process and was notified of the hearing on March 1, 2011. (Petitioner's Exhibit 2.)
2. **Winthrop Spiridon Risk II, M.D.**, the Respondent, was authorized to practice medicine in New York State on June 27, 2002, by the issuance of license number 225347 by the New York State Education Department (Petitioner's Ex. 4).
3. On or about April 9, 2010 the Iowa Board of Medicine, (hereinafter "Iowa Board"), by Settlement Agreement, CITED Respondent for violating the standards of practice for appropriate pain management when he prescribed excessive controlled substances to numerous patients, including patients with known drug abuse histories who exhibited drug seeking behavior in violation of the laws and rules governing the

practice of medicine in Iowa. Further, the Iowa Board WARNED Respondent that such practice in the future may result in further formal disciplinary action, including suspension or revocation of his Iowa medical license. Respondent was placed on 5 years of PROBATION, was restricted from treating patients for chronic pain and prescribing controlled substances unless and until he demonstrated that he is able to do so and receive prior written approval from the Iowa Board, was required to successfully complete a comprehensive competency evaluation at the Center for Personalized Educational for Physicians in Denver, Colorado, and was fined \$10,000.

VOTE OF THE HEARING COMMITTEE

SPECIFICATIONS

FIRST SPECIFICATION

"Respondent violated New York Education Law §6530(9)(b) by having been found guilty of improper professional practice or professional misconduct by a duly authorized professional disciplinary agency of another state where the conduct upon which the finding was based would, if committed in New York state, constitute professional misconduct under the laws of New York state, in that Respondent...."

VOTE: Sustained (3-0)

SECOND SPECIFICATION

"Respondent violated New York Education Law §6530(9)(d) by having disciplinary action taken by a duly authorized professional disciplinary agency of another state, where the conduct resulting in the surrender would, if committed in New York state, constitute professional misconduct under the laws New York state, in that Respondent...."

VOTE: Sustained (3-0)

HEARING COMMITTEE DETERMINATION

The Respondent did appear at the hearing, by telephone without counsel. The Administrative Law Judge, after considering the documentary evidence, which included an Affidavit of Personal Service of the Notice of Referral Proceeding and the Statement of Charges (Petitioner's Exhibit 2), ruled that the Petitioner had met the requirements of law for service of process, that jurisdiction had been established over the Respondent, and that the hearing could proceed. The record in this case indicates that Respondent had been charged in Iowa with prescribing excessive controlled substances to numerous patients, including patients with known drug abuse histories who exhibited drug-seeking behavior.

The record shows that the Iowa Board WARNED Respondent that such practice in the future may result in further formal disciplinary action, including suspension or

revocation of his Iowa medical license. In addition to this warning, the Respondent was placed on 5 years of PROBATION by the state of Iowa and was restricted from treating patients for chronic pain and prescribing controlled substances unless and until he demonstrated that he is able to do so and receive prior written approval from the Iowa Board. Furthermore, Iowa required the Respondent to successfully complete a comprehensive competency evaluation at the Center for Personalized Educational for Physicians in Denver, Colorado, and pay a fine of \$10,000.

The record goes on to show that, in April of 2010, the Respondent agreed to the above charges and signed a Consent Order agreeing with the above Iowa punishments. The Iowa Consent Order is part of the record herein as Exhibit # 5. The Respondent, in his telephone testimony, did not dispute the facts as presented by the Department and acknowledged that he did enter the above Consent Order and testified that he wanted an un-restricted New York license. The Department's attorney indicated that the Department wanted punishment at least as severe as that meted out by the State of Iowa.

The panel reviewed all the facts and circumstances in this case, and took into account the Consent Order and the testimony of the Respondent and concluded that revocation was in order because of the great risk created by the Respondent's prescribing excessive controlled substances to patients with known drug abuse histories. The panel based its determination on the documentation in the record. The panel considered the full range of penalties available and was unanimous that revocation would be the proper penalty. Accordingly, as to the penalty to be imposed, the Hearing Committee determined that the people of New York State would be protected by a revocation of the Respondent's license.

ORDER

IT IS HEREBY ORDERED THAT:

1. The specifications of professional misconduct, as set forth in the Statement of Charges, are **SUSTAINED**
2. The license of the Respondent to practice medicine in New York State is revoked.
3. This Order shall be effective upon service on the Respondent in accordance with the requirements of Public Health Law Section 230(10)(h).

DATED: ~~Margaretville, New York~~ New York, N.Y.
May 27, 2011

REDACTED

Michael R. Golding, M.D., Chair,

**Eleanor C. Kane, M.D.
Janet M. Miller, R.N.**

To:

Michael G. Bass, Esq.
Attorney for Petitioner
Associate Counsel
NYS Department of Health
Bureau of Professional Medical Conduct
Corning Tower Building, Room 2512
Albany, New York 12237

Winthrop Spiridon Risk II, M.D.
811 5th Avenue SE
Cedar Rapids, IA 52403

Winthrop Spiridon Risk II, M.D.
REDACTED

APPENDIX I



IN THE MATTER
OF
WINTHROP SPIRIDON RISK II, M.D.
CO-10-05-2949-A

NOTICE OF
REFERRAL
PROCEEDING

TO: WINTHROP SPIRIDON RISK II, M.D.
811 5th Avenue SE
Cedar Rapids, IA 52403

WINTHROP SPIRIDON RISK II, M.D.
REDACTED

PLEASE TAKE NOTICE THAT:

An adjudicatory proceeding will be held pursuant to the provisions of New York Public Health Law §§230(10)(p) and New York State Administrative Procedures Act §§301-307 and 401. The proceeding will be conducted before a committee on professional conduct of the State Board for Professional Medical Conduct (Committee) on the 21st day of April, 2011, at 10:00 a.m., at the offices of the New York State Department of Health, Hedley Park Place, 433 River Street, 5th Floor, Troy, NY 12180.

At the proceeding, evidence will be received concerning the allegations set forth in the Statement of Charges, that is attached. A stenographic record of the proceeding will be made and the witnesses at the proceeding will be sworn and examined.

You may appear in person at the proceeding and may be represented by counsel who shall be an attorney admitted to practice in New York state. You may produce evidence and/or sworn testimony on your behalf. Such evidence and/or sworn testimony shall be strictly limited to evidence and testimony relating to the nature and severity of the penalty to be imposed upon the licensee. Where the charges are based on the conviction of state law crimes in other jurisdictions, evidence may be offered that would show that the conviction would not be a crime in New York State. The Committee also may limit the number of witnesses whose testimony will be received, as well as the length of time any witness will be permitted to testify.

If you intend to present sworn testimony, the number of witnesses and an estimate of the time necessary for their direct examination must be submitted to the New York State Department of Health, Division of Legal Affairs, Bureau of Adjudication, Hedley Park Place, 433 River Street, Fifth Floor South, Troy, NY 12180, ATTENTION: HON. JAMES F. HORAN, ACTING DIRECTOR, BUREAU OF ADJUDICATION (Telephone: (518-402-0748), (henceforth "Bureau of Adjudication") as well as the Department of Health attorney indicated below, no later than ten (10) days prior to the scheduled date of the Referral Proceeding, as indicated above.

Pursuant to the provisions of New York Public Health Law §230(10)(p), you shall file a written answer to each of the charges and allegations in the Statement of Charges not less than ten (10) days prior to the date of the hearing. Any charge or allegation not so answered shall be deemed admitted. You may wish to seek the advice of counsel prior to filing such answer. The answer shall be filed with the Bureau of Adjudication, at the address indicated above, and a copy shall be forwarded to the attorney for the Department of Health, whose name appears below. You may file a written brief and affidavits with the Committee. Six (6) copies of all papers you submit must be filed with the Bureau of Adjudication at the address indicated above, no later than fourteen (14) days prior to the scheduled date of the Referral Proceeding, and a copy of all papers must be served on the same date on the Department of Health attorney, indicated below. Pursuant to §301(5) of the State Administrative Procedure Act, the Department, upon reasonable notice, will provide, at no charge, a qualified interpreter of the deaf to interpret the proceedings to, and the testimony of, any deaf person. Pursuant to the terms of New York State Administrative Procedure Act §401 and 10 N.Y.C.R.R. §51.8(b), the Petitioner demands, hereby, disclosure of the evidence that Respondent intends to introduce at the hearing, including the names of witnesses, a list of and copies of documentary evidence, and a description of physical and/or other evidence that cannot be photocopied.

YOU ARE ADVISED, HEREBY, THAT THE ATTACHED CHARGES WILL BE MADE PUBLIC FIVE (5) BUSINESS DAYS AFTER THEY ARE SERVED.

Department attorney: Initial here _____

The proceeding may be held whether or not you appear. Please note that requests for adjournments must be made in writing to the Bureau of Adjudication, at the address indicated above, with a copy of the request to the attorney for the Department of Health, whose name appears below, at least five (5) days prior to the scheduled date of the proceeding. Adjournment requests are not routinely granted. Claims of court engagement will require detailed affidavits of actual engagement. Claims of illness will require medical documentation. Failure to obtain an attorney within a reasonable period of time prior to the proceeding will not be grounds for an adjournment.

The Committee will make a written report of its findings, conclusions as to guilt, and a determination. Such determination may be reviewed by the administrative review board for professional medical conduct.

SINCE THESE PROCEEDINGS MAY RESULT IN A DETERMINATION THAT SUSPENDS OR REVOKES YOUR LICENSE TO PRACTICE MEDICINE IN NEW YORK STATE AND/OR IMPOSES A FINE FOR EACH OFFENSE CHARGED, YOU ARE URGED TO OBTAIN AN ATTORNEY TO REPRESENT YOU IN THIS MATTER.

DATED: Albany, New York
February 23, 2011

REDACTED

PETER D. VAN BUREN
Deputy Counsel
Bureau of Professional Medical Conduct

Inquiries should be addressed to:

Michael G. Bass
Assistant Counsel
Bureau of Professional Medical Conduct
Corning Tower – Room 2512
Empire State Plaza
Albany, NY 12237
(518) 473-4282

IN THE MATTER
OF
WINTHROP SPIRIDON RISK II, M.D.
CO-10-05-2949-A

STATEMENT
OF
CHARGES

WINTHROP SPIRIDON RISK II, M.D., Respondent, was authorized to practice medicine in New York state on June 27, 2002, by the issuance of license number 225347 by the New York State Education Department.

FACTUAL ALLEGATIONS

A On or about April 9, 2010 the Iowa Board of Medicine, (hereinafter "Iowa Board"), by Settlement Agreement, CITED Respondent for violating the standards of practice for appropriate pain management when he prescribed excessive controlled substances to numerous patients, including patients with known drug abuse histories who exhibited drug seeking behavior in violation of the laws and rules governing the practice of medicine in Iowa. Further, the Iowa Board WARNED Respondent that such practice in the future may result in further formal disciplinary action, including suspension or revocation of his Iowa medical license. Respondent was placed on 5 years of PROBATION, was restricted from treating patients for chronic pain and prescribing controlled substances unless and until he demonstrated that he is able to do so and receive prior written approval from the Iowa Board, was required to successfully complete a comprehensive competency evaluation at the Center for Personalized Educational for Physicians in Denver, Colorado, and was fined \$10,000.

B. The conduct resulting in the Iowa Board disciplinary action against Respondent would constitute misconduct under the laws of New York State, pursuant to the following sections of New York State law:

1. New York Education Law Sec. 6530(3) (negligence on more than one occasion);
and/or
2. New York Education Law Sec. 6530(4) (gross negligence).

SPECIFICATIONS
FIRST SPECIFICATION

Respondent violated New York Education Law §6530(9)(b) by having been found guilty of improper professional misconduct by a duly authorized professional disciplinary agency of another state where the conduct upon which the finding was based would, if committed in New York state, constitute professional misconduct under the laws of New York state, in that Petitioner charges:

1. The facts in Paragraphs A and B.

SECOND SPECIFICATION

Respondent violated New York Education Law §6530(9)(d) by having disciplinary action taken by a duly authorized professional disciplinary agency of another state, where the conduct resulting in the disciplinary action would, if committed in New York state, constitute professional misconduct under the laws of New York state, in that Petitioner charges:

2. The facts in Paragraphs A and B.

DATED: *February 23* 2011
Albany, New York

REDACTED

PETER D. VAN BUREN
Deputy Counsel
Bureau of Professional Medical Conduct