STATE OF VERMONT -- BOARD OF MEDICAL PRACTICE 2000-2002 PHYSICIAN LICENSE RENEWAL APPLICATION, PAGE ONE OF FIVE

I hereby apply for the renewal of my LICENSE AS A PHYSICIAN for the period from 12/01/00 to 11/30/02.

TWO YEAR RENEWAL FEE: \$350.00

Enclose a check in the amount of \$350.00 made payable to the Vermont Board of Medical Practice. Physicians 80 years of age or older or on full-time active military duty (verification required) are exempt from payment of a renewal fee; however, the physician license renewal application must be completed and submitted. LATE FEE: Applications post-marked or received after 11/30/00 are assessed a \$25.00 late fee.

042-0005419

Philip F. Waterman II, MD 650 Del Prado Blvd, Suite 100 Cape Coral, FL 33990

	ТΛ	

- Please print legibly or type your answers.
- Answer all questions completely; it is not adequate to state that the Board already has the information.
- Use the enclosed Form A to provide explanations to "yes" answers in Section II.
- Make a copy of the completed form and all attachments for your own records.
- Do not delegate this important task to an employee, as false statements on this form are grounds for unprofessional conduct.

#### **SECTION I**

Name: Watern (Last)	nan Phili (First)	P F. (Middle)	(Former)	
Vermont license numb			ame(s), if any, under which you were	
"MAILING ADDRESS" will be public and listed on the Board's website. All addresses must be included.				
MAILING ADDRESS:	(Street)	ado Blud., S	te 100	
CapeCoral	FL.		941-574-8200	
(City)	(State)	(Zip Code)	(Telephone)	
OFFICE ADDRESS: _	Same as (Street)	Above		
(City)	(State)	(Zip Code)	(Telephone)	
HOME ADDRESS:			4	

### STATE OF VERMONT -- BOARD OF MEDICAL PRACTICE 2000 - 2002 PHYSICIAN LICENSE RENEWAL APPLICATION, PAGE TWO OF FIVE

Are you currently active in clinical practice in Vermont?  Did you practice in Vermont during the past 12 months?  Do you intend to practice medicine without hospital privileges?  Yes  No  No
SPECIALTY
Specialty: Gynecology
Subspecialty:
American Specialty Board Certified: Yes No
Specialty: obstetrics/64necology Year Certified: 1981
If applicable, year recertified:
PRACTICE
Do you have hospital privileges? Yes No
List all hospitals where you have, or previously have had, staff privileges. Include full information.
Name Address Dates/From-To Specialty/Subspecialty
Lee Memorial Health System Ft. Myers/Cape Coral, FL. 1978-Prese
Lee Memorial Health System Ft. Myers/Cope Coral, FL. 1978-Present Courf Coast Hospital, Ft. Myers, FL1995-Present Connecology
LICENSE IN OTHER JURISDICTIONS
Do you hold, or have you ever held, a medical license in any other state? Yes No If yes, complete the section below.
State License Number Date Issued Status (Active, Inactive, Other)
Florida ME33129 2/2/2000 Active
Michigan 35137 6/75 New York 123973-1 2/28/2000
New York 123973-1 2/28/2000

# STATE OF VERMONT -- BOARD OF MEDICAL PRACTICE 2000-2002 PHYSICIAN LICENSE RENEWAL APPLICATION, PAGE THREE OF FIVE

SECTION III: "Yes" answers to Questions 1 - 24 require an explanation on the enclosed Form A. *Important note regarding the following questions: "Yes" answers on past renewals must be updated on Form A.* For example, if a previously reported malpractice action has been dismissed, indicate that on Form A. YOU HAVE A CONTINUING OBLIGATION TO UPDATE THE BOARD DURING THE 2000-2002 PERIOD IF THE ANSWER TO ANY OF THE QUESTIONS ON THE NEXT TWO PAGES CHANGE FROM "NO" TO "YES".

(Section III is for the reporting of information which is retained solely by the Board of Medical Practice and is not part of the data base maintained by the Department of Health.)

#### **DURING THE PAST TWO YEARS:**

1.	Have you ever applied for and been denied a license to practice medicine or any healing art?	YesNo	
2.	Have you ever withdrawn an application for a license to practice medicine or any healing art?	YesNo	
3.	Have you ever voluntarily surrendered or resigned a license to practice medicine or any healing art in lieu of disciplinary action?	Yes No	
4.	Are any formal disciplinary charges pending or has any disciplinary action ever been taken against you by any governmental authority, by any hospital or health care facility, or by any professional medical association (international, national, state or local)?	Yes No	
5.	To your knowledge, are you the subject of an investigation by any <b>other</b> licensing board as of the date of this application?		
6.	Have you ever been denied the privilege of taking an examination before any State Medical Examining Board?	YesNo	
7:	Have you ever discontinued your education, training, or practice for a period of more than three months?	Yes _/ No	
8.	Have you ever been dismissed, suspended, or asked to leave a residency training program(s) before completion?	YesNo	
9.	Have you ever had staff privileges, employment or appointment in a hospital or other health care institution denied, reduced, suspended or revoked; resigned from a medical staff in lieu of disciplinary action; or resigned from a medical staff after a complaint or peer review action has been initiated against you?	Yes/ No	
10	. Have you ever been denied the right to participate or enroll in any system whereby a third party pays all or part of a patient's bill?	Yes _/ No	
11	. Have you ever been notified as a responsible party of a confirmed quality concern (quality of hospital care provided to Medicare patient) by the Peer Review Organization (PRO) in Vermont or elsewhere?	YesNo	
12	. Has any medical malpractice claim been made against you (whether or not a lawsuit was filed in relation to the claim/complaint/demand for damages)?		
13	. Have you ever been turned down for coverage by a malpractice insurance carrier?	Yes /_No	
14	. Has your privilege to possess, dispense or prescribe controlled substances ever been suspended, revoked, denied, restricted by or surrendered to any jurisdiction or federal agency at any time?	Yes No	
15	. Have you, at any time, been a defendant in any criminal proceeding other than minor traffic offenses? (Note: Driving while intoxicated is <i>NOT</i> a minor offense.)	YesNo	
16	. To your knowledge, are you the subject of an investigation for a criminal act?		

## STATE OF VERMONT -- BOARD OF MEDICAL PRACTICE 2000-2002 PHYSICIAN LICENSE RENEWAL APPLICATION, PAGE FOUR OF FIVE

SECTION III CONTINUED: "Yes" answers to Questions 17 through 24 requires an explanation on the enclosed Form A. For purposes of Questions 17 through 24, the following phrases or words are defined below:

"Ability to practice medicine" is to be construed to include all of the following:

- 1. The cognitive capacity to make appropriate clinical diagnoses and exercise reasoned medical judgments, and to learn and keep abreast of medical developments; and
- 2. The ability to communicate those judgments and medical information to patients and other health care providers, with or without the use of aids or devices, such as voice amplifiers; and
- 3. The physical capability to perform medical tasks such as physical examination and surgical procedures, with or without the use of aids or devices, such as corrective lenses or hearing aids.

"Medical condition" includes physiological, mental or psychological conditions or disorders, such as but not limited to orthopedic, visual speech, and hearing impairments, cerebral palsy, epilepsy, muscular dystrophy, multiple sclerosis, cancer, heart disease, diabetes, mental retardation, emotional or mental illness, specific learning disabilities, HIV disease, tuberculosis, drug addition, and alcoholism.

"Chemical substances" is to be construed to include alcohol, drugs, or medications, including those taken pursuant to a valid prescription for legitimate medical purposes and in accordance with the prescriber's direction, well as those used illegally.

"Currently", for purposes of this renewal application, does not mean on the day of, or even in the weeks or months preceding the completion of this application. Rather, it means recently enough so that the use of drugs may have an ongoing impact on one's functioning as a licensee, or within the past two (2) years.

"Illegal use of controlled substances" means the use of controlled substances obtained illegally as well as the use of controlled substances which are not obtained pursuant to a valid prescription or not taken in accordance with the directions of a licensed health care practitioner.

17. Do you have a medical condition which in any way impairs or limits your ability to practice medicine with reasonable skill and safety? If yes, explain on Form A.

18. Does your use of chemical substance(s) in any way impair or limit your ability to practice medicine with reasonable skill and safety? If yes, explain on Form A.

rith

19. Are the limitations or impairments caused by your medical condition reduced or ameliorated because You receive ongoing treatment (with or without medications) or participate in a monitoring program? If yes, explain on Form A.

20. Are the limitations or impairments caused by your medical condition reduced or ameliorated because of the field of practice, the setting or the manner in which you have chosen to practice? If yes, explain on Form A.

- 21. Have you ever been diagnosed as having or have you ever been treated for pedophilia, exhibitionism, or voyeurism? If yes, explain on Form A.
- 22. Are you currently engaged in the illegal use of controlled substances?

23. If yes to 22, are you currently participating in a supervised rehabilitation program or professional assistance program which monitors you in order to assure that you are not illegally using controlled substances? If yes, explain on Form A. NIA

24. Have you been diagnoses with or have you been treated for bipolar disorder, schizophrenia, paranoia, or any other psychotic disorder?

# STATE OF VERMONT - BOARD OF MEDICAL PRACTICE-PAGE FIVE OF FIVE SECTION IV

# APPLICANT'S STATEMENT REGARDING CHILD SUPPORT, TAXES, UNEMPLOYMENT COMPENSATION CONTRIBUTIONS PAGE FIVE OF FIVE

You must answer questions 1, 2, and 3.

#### Regarding Child Support

Title 15 § 795 requires that: A professional license or other authority to conduct a trade or business may not be issued or renewed unless the person certifies that he or she is in good standing with respect to or in full compliance with a plan to pay any and all child support payable under a support order as of the date the application is filed. "Good standing" means that less than one-twelfth of the annual support obligation is overdue; or liability for any support payable is being contested in a judicial or quasi-judicial proceeding; or he or she is in compliance with a repayment plan approved by the office of child support or agreed to by the parties; or the licensing authority determines that immediate payment of support would impose an unreasonable hardship. (15 V.S.A. § 795)

1.	You must check one of the two statements below regarding child support regardless whether or not you have children:
	I hereby certify that, as of the date of this application: (a) I am not subject to any support order or (b) I am subject to a support order and I am in good standing with respect to it, or (c) I am subject to a support order and I am in full compliance with a plan to pay any and all child support due under the order.
	or
	I hereby certify that I am <u>NOT</u> in good standing with respect to child support dues as of the date of this application and I hereby request that the licensin authority determine that immediate payment of child support would impose an unreasonable hardship. Please forward an "Application for Hardship' <b>Regarding Taxes</b>
standing	§ 3113 requires that: A professional license or other authority to conduct a trade or business may not be issued or renewed unless the person certifies that he or she is in goo with the Department of Taxes."Good standing" means that no taxes are due, the tax liability is on appeal, the taxpayer is in compliance with a payment plan approved by this issued or renewed unless the person certifies that he or she is in goo with the Department of Taxes, or the licensing authority determines that immediate payment of taxes would impose an unreasonable hardship. (32 V.S.A. § 3113)
2.	You must check one of the two statements below regarding taxes:
	I hereby certify, under the pains and penalties or perjury, that I am in good standing with respect to or in full compliance with a plan to pay any and at taxes due to the State of Vermont as of the date of this application. (The maximum penalty for perjury is fifteen years in prison, a \$10,000.00 fine of both).
	or
	I hereby certify that I am <u>NOT</u> in good standing with respect to taxes due to the State of Vermont as of the date of this application and I hereby request that the licensing authority determine that immediate payment of taxes would impose an unreasonable hardship. Please forward an "Application for Hardship".
declarati payments payments contribut	atter into, extend or renew any contract for the provision of goods, services, or real estate space with any employing unit unless such employing unit shall first sign a written into, under the pains and penalties of perjury, that the employing unit is in good standing with respect to or in full compliance with a plan to pay any and all contributions or in lieu of contributions due as of the date such declaration is made. For the purposes of this section, a person is in good standing with respect to any and all contributions in lieu of contributions payable if: (1) no contributions or payments in lieu of contributions are due and payable; (2) the liability for any contributions or payments in lieu of contributions or payments in lieu of contributions approved by the Commissioner; or (4) in the case of a licensee, the agency find irring immediate payment of contributions or payments in lieu of contributions due and payable would impose an unreasonable hardship.
3.	You <u>must</u> check one of the three statements below regarding unemployment contributions or payments in lieu of unemployment contributions
_	I hereby certify, under the pains and penalties or perjury, that I am in good standing with respect to or in full compliance with a payment plan approve by the Commissioner of Employment and Training to pay any and all unemployment contributions or payments in lieu of unemployment contribution to the Vermont Department of Employment and Training due as of the date of this application. (The maximum penalty for perjury is 15 years in prison a \$10,000.00 fine or both.)
	or
	I hereby certify that I am <u>NOT</u> in good standing with respect to unemployment contributions or payments in lieu of unemployment contributions du to the Vermont Department of Employment and Training as of the date of this application and I hereby request that the licensing authority determine that requiring immediate payment of unemployment contributions or payments in lieu of unemployment contributions would impose an unreasonable hardship. Please forward an Application for Hardship.
	or
	I hereby certify that 21 V.S.A. § 1378 is not applicable to me because I am not now, nor have I ever been, an employer.
Social S	Security #* Date of Birth _
Departi	lisclosure of your social security number is mandatory, it is solicited by the authority granted by 42 U.S.C. § 405 (c)(2)(C), and will be used by the ment of Taxes and the Department of Employment and Training in the administration of Vermont tax laws, to identify individuals affected by such by the Office of Child Support.
	STATEMENT OF APPLICANT

I certify that the information stated by me in this application is true and accurate to the best of my knowledge and that providing false information or omission of

information is unlawful and may jeopardize my license/certification/registration status.

Signature of Applicant

## PHILIP F. WATERMAN II, M.D.

Gynecology, Infertility & Genetics 650 DEL PRADO BOULEVARD, SUITE 100 CAPE CORAL, FLORIDA 33990

FELLOW .
AMERICAN COLLEGE OF
OBSTETRICS AND GYNECOLOGY &
AMERICAN COLLEGE OF SURGEONS

TELEPHONE 941 / 574-8200 FAX 941 / 574-8928

### TO WHOM IT MAY CONCERN:



Philip F. Waterman II, M.D.

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

In the Matter of

Phillip F. Waterman, MD. (Respondent)

A proceeding to review a Determination by a Committee (Committee) from the Board for Professional Medical Conduct (BPMC)



Administrative Review Board (ARB)

Determination and Order No. 99-279

Before ARB Members Grossman, Lynch, Shapiro, Price and Briber Administrative Law Judge James F. Horan drafted the Determination

For the Department of Health (Petitioner):

Paul R. Maher, Esq. Bruce D. Lamb, Esq.

For the Respondent:

In this proceeding pursuant to N.Y. Pub. Health Law § 230-c (4)(a)(McKinney's Supp. 1999-2000), we consider whether to impose a sanction against the Respondent's New York Medical License, following a sister state's (Florida) determination disciplining the Respondent for record keeping violations. After a hearing below, a BPMC Committee voted against imposing any penalty, due to mitigating factors in the case. The Petitioner now asks the ARB to modify that Determination and censure and reprimand the Respondent. The Respondent asks that the ARB consider whether the record keeping violations actually constituted misconduct under New York Law. After considering the record and the briefs from the parties, we affirm the Committee Determination sustaining the misconduct charge and imposing no penalty. We hold that the Respondent received an appropriate sanction for his misconduct from the penalty against him in the Florida proceeding.

# Committee Determination on the Charges

In the Amended Statement of Charges in this proceeding, the Petitioner alleged that the Respondent violated N. Y. Educ. Law §§ 6530(9)(d) (McKinney Supp. 1999) by committing professional misconduct, because:

- the duly authorized professional disciplinary agency from a sister state, Florida, took action against the Respondent's License in that state, for,
- conduct that would constitute professional misconduct, if the Respondent had committed such conduct in New York.

The Florida action resulted from a Consent Agreement that the Respondent entered into with the Florida Board of Medicine (Florida Board). The Petitioner contended that the Respondent's misconduct in Florida would constitute misconduct if committed in New York, under the following categories:

- Practicing medicine with negligence on more than one occasion, a violation under N. Y. Educ. Law § 6530(3)(McKinney Supp. 1999-2000);
- practicing medicine with gross negligence, a violation under N. Y. Educ. Law §6530(4)(McKinney Supp. 1999-2000);
- practicing medicine with incompetence on more than one occasion, a violation under N. Y. Educ. Law § 6530(5)(McKinney Supp. 1999-2000);
- practicing medicine with gross incompetence, a violation under N. Y. Educ. Law § 6530(6)(McKinney Supp. 1999-2000);
- performing professional services without authorization, a violation under N. Y. Educ. Law § 6530(26) (McKinney Supp. 1999-2000); and.
- failing to maintain accurate records, a violation under N. Y. Educ. Law § 6530(32) (McKinney Supp. 1999-2000).

An expedited hearing (Direct Referral Proceeding) ensued pursuant to N.Y. Pub. Health Law §230(10)(p)(McKinney Supp. 1999-2000), before a BPMC Committee, who rendered the

Determination which the ARB now reviews. In such a Direct Referral Proceeding, the statute limits the Committee to determining the nature and severity for the penalty to impose against the licensee, see In the Matter of Wolkoff v. Chassin, 89 N.Y.2d 250 (1996).

The Committee found that the Florida Board began an action against the Respondent's Florida License, charging misconduct in the Respondent's treatment for an Obstetrics patient. The Respondent and the Florida Board settled that action through the Florida Consent Agreement, in which the Respondent neither admitted nor denied that the allegations in the Administrative Complaint. Through the Consent Agreement, the Respondent agreed to accept the following penalty:

- a Letter of Concern from the Florida Board,
- an Order that the Respondent spend three days with a Perinatologist, observing technique and treatment of fetus and maternal patients in early gestational stages;
- twenty hours continuing medical education (CME) in pre-natal risks, and,
- a Six Thousand Dollar (\$6,000.00) Fine.

The Respondent did admit that the facts alleged in the Administrative Complaint would, if proved, constitute violations of Chapter 458, Florida Statutes.

The Committee determined that the Florida Consent Agreement constituted a disciplinary action by a sister state. They then discussed whether they could make a determination that the Respondent's conduct in Florida would constitute misconduct in New York, without any admissions by the Respondent to the Florida charges in the Consent Agreement. The Committee held that they could make such a determination, because the Respondent waived an adjudication in Florida by entering into a stipulation of settlement. The Committee held that the Consent Agreement, that included a penalty, raised the inference that the allegations against the Respondent held some validity, Matter of Hatfield v. Dept. of Health, 245 A.D.2d 703, 665

N.Y.S.2d 755 (Third Dept. 1997). The Committee determined further that the Respondent's Florida conduct would amount to failing to maintain accurate records if the Respondent had committed such conduct in New York.

The Committee voted to impose no penalty against the Respondent. The Committee concluded that the Florida conduct occurred in 1992 and involved only a single patient. The Committee also noted that the Respondent gave up practicing Obstetrics and limited his practice to gynecology in 1994, that the Respondent complied with the educational provisions in the Florida Agreement, that he will comply with the fine payment terms within the applicable time limits and that no other blemish appears on the Respondent's record other than the case at issue.

### Review History and Issues

The Committee rendered their Determination on November 10, 1999. This proceeding commenced on November 18, 1999, when the ARB received the Petitioner's Notice requesting a Review. The record for review contained the Committee's Determination, the hearing record, the Petitioner's brief and the Respondent's response brief. The record closed when the ARB received the response brief on December 21, 1999.

The Petitioner argues that the ARB should impose an appropriate penalty to ensure that the Respondent recognizes fully the misconduct he has committed. The Petitioner contends that the ARB would meet our responsibility to protect the public by ordering a censure and reprimand in this case. In response, the Respondent calls our attention to the differing standards between New York and Florida over which record keeping violations constitute misconduct. The Respondent also argues that the Committee acted within their authority under N. Y. Pub. Health Law § 230-a (McKinney Supp. 1999-2000), by imposing no penalty against the Respondent.

### Determination

The ARB has considered the record and the parties' briefs. We affirm the Committee's Determination that the Respondent's conduct in Florida would amount to failing to maintain accurate records. We also affirm the Committee's Determination to impose no penalty in this case.

Record Keeping Charge: The Respondent argued that the standards for record keeping violations differed between New York and Florida, thus raising the question whether the Respondent's Florida conduct would amount to misconduct under New York Law. The Respondent's brief (page 2) states that Florida may discipline a physician for failing to keep written medical records justifying the course of treatment of the patient. Respondent's counsel pointed out at hearing that the New York standard provides for discipline for failure to maintain an accurate record. He argued that nothing in the Florida Administrative Complaint mentioned inaccurate records [Hearing Transcript page 32].

Under N. Y. Educ. Law § 6530 (32)(McKinney Supp. 1999-2000) professional misconduct includes failing to maintain a record for each patient that accurately reflects the evaluation and treatment of the patient. The New York Courts have ruled that a record fails to reflect evaluation and treatment accurately, if the record fails to convey objectively meaningful medical information concerning the patient treated to other physicians, <u>Bogdan v. N.Y.S. Bd. For Prof. Med. Cond.</u>, 195 A.D.2d 86, 606 N.Y.S.2d 381 (Third Dept. 1993). The Florida Administrative Compliant alleged that the Respondent failed to record notes documenting genetic counseling and failed to obtain a signed consent for amniocentesis [Petitioner Exhibit 1, Florida Administrative Complaint page 4]. The Committee held that by entering that Florida Consent Agreement, the Respondent raised the inference that the allegations against him held some validity, Matter of Hatfield v. Dept. of Health, (supra).

We hold that the Florida charges and the inference, that the Respondent's stipulation raised, produced evidence sufficient to prove that the Respondent prepared an incomplete record for the patient at issue. That incomplete record would fail to convey objectively meaningful information about that patient's condition to a subsequent treating physician. We hold this sufficient to prove that the Respondent's conduct, for which Florida disciplined him, would constitute failure to maintain a record that accurately reflected the evaluation and treatment for that patient under New York Law.

Penalty: The Petitioner argued that the Committee's determination to impose no penalty in this case failed to ensure the Respondent's awareness about his inappropriate conduct. We disagree. The Respondent has already completed CME and observation under the Florida penalty and will complete paying a Six Thousand Dollar Fine (\$6000.00). In addition, to defend the New York action, the Respondent undertook the expenses to engage counsel and to travel to New York for the hearing. We hold that these actions by the Respondent have ensured his awareness about his conduct.

The ARB also disagrees with the Petitioner's assertion that the public's protection requires any additional sanction. An appropriate penalty for record keeping deficiencies would include some retraining. The Respondent has already completed CME and observation in Florida. This incident also constituted the only misconduct in this Respondent's career and the Respondent has ceased practicing Obstetrics. We see no useful purpose to any further sanction against the Respondent.

### <u>ORDER</u>

NOW, with this Determination as our basis, the ARB renders the following ORDER:

- 1. The ARB <u>AFFIRMS</u> the Committee's Determination that the Respondent committed professional misconduct.
- 2. The ARB the <u>AFFIRMS</u> Committee's Determination to impose no sanction against the Respondent.

Robert M. Briber Sumner Shapiro Winston S. Price, M.D. Stanley L. Grossman, M.D. Therese G. Lynch, M.D.

Robert M. Briber, an ARB Member, concurs in the Determination and Order in the Matter of Dr. Waterman.

Dated: January 17, 2000

Sumner Shapiro, an ARB Member concurs in the Determination and Order in the Matter of Dr. Waterman.

Dated: JANUARY 24, 2000

**Sumner Shapiro** 

Winston S. Price, M.D., an ARB Member concurs in the Determination and Order in the Matter of Dr. Waterman.

Dafed: 2/11 , 2000

Winston S. Price, M.D.

Stanley L. Grossman, an ARB Member concurs in the Determination and Order in the Matter of Dr. Waterman.

Dated: Tebray 18 2000

Stanley L Grossman, M.D.

DD I Lassman M.D.

Therese G. Lynch, M.D., an ARB Member concurs in the Determination and Order in the Matter of Dr. Waterman.

Dated: Jan 19 2000

Therese G. Lynch, M.D.

109 State Street Montpelier, VT 05609-1106 Tel.: (802) 828-2673

Fax: (802) 828-5450



## **State of Vermont Board of Medical Practice**

January 21, 2000

Philip F. Waterman, II, M.D. 650 Del Prado Blvd, Suite 100 Cape Coral, Florida 33990



