

1 APRIL 2018 TO 30 JUNE 2018

COMPLAINTS AND DISCIPLINE

In the April to June 2018 quarter, the FPA received two new complaints, finalised three complaints and have eight ongoing complaints. Of those ongoing complaints, two are currently with the Conduct Review Commission (CRC), one is in the process of finalising the report by the investigating officer to the CRC, four are in the process of seeking submissions from members and/or complainants, while one is in the process of being dismissed.

Two members were also automatically terminated under the FPA constitution during the quarter. One member was terminated by his licensee for a breach of the law and the other member was terminated due to an ASIC banning order.

ACADEMIC MISCONDUCT COMPLAINTS

During the April to June quarter, the FPA Professionalism team received two complaints on academic misconduct. In these instances, the alleged misconduct was for collusion during the assignment of CFP2, Applied Strategies 1. Initially, the academic software – Turnitin – flagged an abnormally high proportion of similar text between the two assignments.

After a thorough investigation, it was proven by the Professional Designations Committee that the students had colluded and academic sanctions were applied.

Students in the CFP® Certification Program are reminded that academic misconduct is taken seriously by the FPA and information on academic misconduct is outlined in the Student Handbook and in the FPA Disciplinary Regulations 2016.

FPA CONFIDENTIAL

Last quarter, we reported that the FPA received eight complaints through the FPA Confidential portal in the 2016-17 financial year. In financial year 2017-18, the FPA received a total of 22 complaints via this service, with the majority being received after the commencement of the Royal Commission hearings.

GUIDANCE AND REASSURANCE

The FPA Professional Accountability team enjoys hearing from you in relation to seeking assistance and guidance. If we are unable to help you, we will likely be able to assist you to find someone who can.

You can contact the team directly by email at: professional.standards@fpa.com.au

9	Complaints ongoing as at 1 April 2018
2	New Complaints
3	Closed Complaints
8	Complaints ongoing as at 30 June 2018
0	Members Suspended
0	Members Expelled (CRC)
2	Members Terminated (Constitution)
0	Other Sanctions (CRC)
2	Referred to Professional Designations Committee for Sanction

