

COMPLAINTS AND DISCIPLINE

In the June to September quarter, the FPA received five new complaints, finalised four complaints and have nine ongoing complaints. Of those ongoing complaints, three 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 processes of being dismissed.

AUTOMATIC TERMINATIONS

Five members were automatically terminated under the FPA Constitution during the quarter. Three members were terminated by their licensee for a breach of the law, while two members were terminated as a result of not meeting the fit and proper person requirements of the FPA Constitution. Over the last period, the FPA has experienced a substantial increase in the number of automatic terminations as a result of licensees pro-actively notifying the FPA about the conduct of their authorised representatives.

FPA CONFIDENTIAL

During the quarter, the FPA received one FPA Confidential complaint about a member. In this instance, the FPA was already aware of the member's conduct and was actively taking action.

8	Complaints ongoing as at 1 July 2018
5	New Complaints
4	Closed Complaints
9	Complaints ongoing as at 30 September 2018
0	Members Suspended
0	Members Expelled (CRC)
5	Members Terminated (Constitution)
0	Other Sanctions (CRC)
0	Referred to Professional Designations Committee for Sanction

GUIDANCE AND REASSURANCE

The Professional Accountability team enjoy 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

The future of advice

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