

1 OCTOBER 2018 TO 31 DECEMBER 2018

COMPLAINTS AND DISCIPLINE

In the October to December 2018 quarter, the FPA received five new complaints, finalised six complaints and have eight ongoing complaints. Of those ongoing complaints, two are currently with the Conduct Review Commission (CRC), two are in the process of finalising the report by the investigating officer to the CRC, two are in the process of seeking submissions from members and/or complainants, while two are in the process of being assessed by the investigating officer.

AUTOMATIC TERMINATIONS

Four members were also automatically terminated under the FPA Constitution during the quarter. All four members were terminated for a breach of the law.

Over the last two quarters, 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.

SANCTIONS

For the quarter October to December 2018, the FPA issued two Infringement Notices to members, following a finding of a minor instance of unsatisfactory conduct.

FPA CONFIDENTIAL

No FPA Confidential complaints were received for the October to December 2018 quarter.

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| 9 | Complaints ongoing as at 1 October 2018 |
| 5 | New Complaints |
| 6 | Closed Complaints |
| 8 | Complaints ongoing as at 31 December 2018 |
| 0 | Members Suspended |
| 0 | Members Expelled (CRC) |
| 4 | Members Terminated (Constitution) |
| 2 | 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

