

## Discipline Report

This is the seventeenth periodic report to Members, Associates and Affiliates prepared in accordance with Bylaw 20.12(8). Its primary purpose is to educate and inform all Members, Associates and Affiliates about the disciplinary process and current disciplinary activities. Please send any comments on or suggestions for improvements in these reports to the Executive Director or myself at our *Yearbook* addresses. Information in this report regarding specific cases represents the status thereof at October 31, 2003.

### 1. Meetings

The Committee on Professional Conduct held formal meetings on June 6 and September 23, 2003. The committee also held one telephone conference call. Future meetings of the committee have been scheduled for December 5, 2003 and March 30, 2004.

### 2. Disciplinary Costs (\$000) to September 30, 2003

	FY 03-04		FY 02-03	
	Actual	Budget	Actual	Budget
Legal costs	87	–	216	–
Other costs	9	–	33	–
	<b>96</b>	<b>300</b>	<b>249</b>	<b>180</b>
	Actual		Actual	
Costs recovered	40		–	
No. of cases reviewed	13		20	

### 3. Cases

#### (a) Charges laid and cases completed

Since the last periodic report in May 2003, one case has been completed. A Discipline Bulletin was distributed in September 2003 with respect to this matter.

There is also one case with respect to which charges have been laid. A Disciplinary Tribunal has been appointed by the

Chairperson of the Tribunal Panel, in accordance with Bylaw 20.06(1), and arrangements are being made to hear these charges.

Please note that pursuant to the Bylaws, the Executive Director will publish a Notice to the public and the membership approximately 15 days prior to any hearing before a Disciplinary Tribunal. This Notice will include the date, time and place of the hearing and a summary of the charge, but will not disclose the name of the Member, Associate or Affiliate charged.

Anyone who wishes to request more information about the disciplinary process may obtain that information from the Executive Director.

#### (b) Complaints and information

Apart from the cases mentioned in (a), in the period since the May 2003 report, the committee has considered 11 complaints, or other information which might lead to complaints, against 12 Members, Associates or Affiliates.

One new case has been received for the committee's consideration, but the committee is obtaining further information before deciding how to proceed.

In one earlier case, after consideration, the committee decided not to proceed with the information received. In another earlier case, after consideration, the committee decided to refer the complaint to an Investigation Team.

The committee had previously referred the remaining eight cases to six Investigation Teams, whose investigations are continuing.

#### (c) Summary by Practice Area

The 13 cases set out above may be summarized by practice area as follows:

Life	4
Pension	7
P&C	2
Workers' Compensation	0
Actuarial Evidence	0

**Peter Morse**  
Chairperson, Committee on Professional Conduct