

DISCIPLINE REPORT

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Discipline Report

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This is the thirty-eighth periodic report to Fellows, Associates, and Affiliates prepared in accordance with Bylaw 20.12(8). Its primary purpose is to educate and inform all Fellows, Associates, and Affiliates about the disciplinary process and current disciplinary activities. Please send any comments or suggestions for improvements in these reports to me at my Online Directory address. The budget represents the fiscal year ending March 31, 2014, but the information in this report regarding specific cases represents their status following the April 3, 2014, meeting of the Committee on Professional Conduct (CPC).

MEETINGS

Since the last Discipline Report of November 2013, the CPC held one meeting on April 3, 2014, in Toronto, along with five conference calls. A future meeting of the CPC has been scheduled for October 15, 2014, in Montréal.

DISCIPLINARY COSTS (\$000) TO MARCH 31, 2014

	FY 13-14		FY 12-13	
	<i>Actual</i>	<i>Budget</i>	<i>Actual</i>	<i>Budget</i>
Legal costs	122	205	187	205
Other costs	17	85	52	85
Total costs	139	290	239	290
	<i>Actual</i>		<i>Actual</i>	
Costs recovered	0		0	
Cases reviewed	12		12	

CASES

(a) Charges filed and cases completed

There are no cases with respect to which tribunals have been completed since the last periodic report in November 2013.

(b) Cases outstanding where charges have been filed

There are no cases currently outstanding where charges have been filed.

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

(c) Other complaints and information

The CPC has considered 12 complaints or other information that might lead to complaints against 15 Fellows, Associates, or Affiliates.

In three earlier cases and two new cases, the CPC is obtaining further information before deciding how to proceed.

Two new cases were dismissed.

One case that was previously dismissed is being reviewed again as a result of new information.

The CPC had previously referred four cases to three Investigation Teams. Three of the cases are ongoing and one was dismissed.

(d) Summary by practice area

The 12 cases set out above may be summarized by practice area as follows:

	Cases	Individuals
Life	3	3 members
Pension	7	10 members
P&C	0	0 members
Workers' Compensation	0	0 members
Actuarial Evidence	1	1 member
Other	1	1 member

(e) Summary of CPC cases since 1992

In response to an interest that was expressed to the CPC, this Discipline Report includes additional statistics on past CPC cases.

- Since 1992, the CPC has completed 180 cases.
- Of these 180 cases, 103 cases were dismissed, three cases resulted in a private admonishment without going to an Investigation Team, and 74 cases were referred to Investigation Teams.
- Of the 74 cases that were referred to Investigation Teams, 35 cases resulted in no charges being filed, and 39 cases resulted in charges being filed.
- Of the 39 cases that resulted in charges being filed, eight cases resulted in private admonishments, eight

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cases resulted in an admission of guilt and sanctions, and 23 resulted in public Disciplinary Tribunals.

- Of the 23 Disciplinary Tribunal hearings, 21 resulted in either a guilty plea by the Respondent or a finding of guilt by the Disciplinary Tribunal on some or all of the

charges. In the other two cases, the respondents were found not guilty by the Disciplinary Tribunal.

*LIAM MCFARLANE
CHAIR, COMMITTEE ON
PROFESSIONAL CONDUCT*