

# Discipline Report

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This is the fortieth 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.

## Meetings

Since the last Discipline Report of November 2014, the Committee on Professional Conduct (CPC) held two conference calls. A future meeting of the CPC will be scheduled for fall 2015 in Montréal.

## Disciplinary Costs (\$000) to March 31, 2015

	FY 14–15		FY 13–14	
	Actual	Budget	Actual	Budget
Legal costs	97	85	122	205
Other costs	11	85	17	85
Total costs	<b>108</b>	<b>170</b>	<b>139</b>	<b>290</b>
	Actual		Actual	
Costs recovered	0		0	
Cases reviewed	12		12	

## Cases

### (a) Charges filed and cases completed

There have been no new cases heard and completed by a Disciplinary Tribunal in the fiscal year ending March 31, 2015.

### (b) Cases outstanding where charges have been filed

There were charges filed in one case in the last fiscal year, which is currently being heard by a Disciplinary Tribunal.

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 discussed 12 cases against 18 Fellows, Associates, or Affiliates including the one mentioned above.

Two new complaints and/or information were received for the CPC's consideration. In one of the new cases, the CPC decided to subsequently dismiss the matter. In the other case, the CPC is obtaining more information before deciding how to proceed.

One previous case that had been dismissed was reviewed again to consider new information but has been dismissed again. One other previous case being reviewed was dismissed. In three earlier cases, the CPC is still obtaining further information before deciding how to proceed. One earlier case, upon obtaining more information, has developed into two cases currently being reviewed.

The CPC had previously referred two cases to two Investigation Teams. One case was dismissed and the other investigation is ongoing.

### (d) Summary by practice area

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

	Cases	Individuals
Life	2	2 members
Pension	7	13 members
P&C	0	0 members
Workers' Compensation	0	0 members
Actuarial Evidence	1	1 member
Other	2	2 members

### (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 183 cases.
- Of these 183 cases, 105 cases were dismissed, three cases resulted in a private admonishment without going to an Investigation Team, and 75 cases were referred to Investigation Teams.
- Of the 75 cases that were referred to Investigation Teams, 35 cases resulted in no

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charges being filed, and 40 cases resulted in charges being filed.

- Of the 40 cases that resulted in charges being filed, eight cases resulted in private admonishments, nine 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