

Discipline Report

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This is the forty-third 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 June 2016, the Committee on Professional Conduct (CPC) held two conference calls and one meeting. The next meeting of the CPC is scheduled for March 24, 2017 in Montréal.

Disciplinary Costs (\$000) to October 31, 2016

	FY 16–17		FY 15–16	
	Budget	Actual	Budget	Actual
Routine legal costs	75	39	103	71
Non-routine legal costs	0*	38	0	173
Other costs	0*	11	0	41
Total costs	75	88	103	285
	Actual		Actual	
Costs recovered	0		0	
No. of cases reviewed	19		12	

*Note: Non-routine legal costs and other costs are now paid from a discipline reserve of \$750,000.

Cases

(a) Charges filed and cases completed

There were no Disciplinary Tribunals convened since the last Discipline Report.

(b) Cases outstanding where charges have been filed

There were no cases with charges filed since the last report.

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 19 cases against 20 Fellows, Associates, or Affiliates.

Three new complaints and/or information were received for the CPC's consideration and are being reviewed. The CPC is obtaining more information before deciding how to proceed.

In three earlier cases, the CPC is still obtaining further information before deciding how to proceed. Nine cases were reviewed and dismissed.

Two earlier cases have now been referred to Investigation Teams for further review.

The CPC had previously referred two cases to Investigation Teams which were subsequently dismissed.

(d) Summary by practice area

The 19 cases set out above may be summarized by practice area as follows:

	Cases	Individuals
Life	3	3 members
Pension	12	12 members
P&C	0	0 members
Workers' Compensation	0	0 members
Actuarial Evidence	1	2 members
Other	3	3 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 202 cases.
- Of these 202 cases, 121 cases were dismissed, three cases resulted in a private admonishment without going to an Investigation Team, and 78 cases were referred to Investigation Teams.
- Of the 78 cases that were referred to Investigation Teams, 37 cases resulted in no charges being filed, and 41 cases resulted in charges being filed.

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- Of the 41 cases that resulted in charges being filed, nine cases resulted in private admonishments, eight cases resulted in an admission of guilt and sanctions, and 24 resulted in public Disciplinary Tribunals.
- Of the 24 Disciplinary Tribunal hearings, 22 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.

Doug Brooks
Chair, Committee on Professional Conduct