

Discipline Report

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This is the forty-fifth 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 2017, the Committee on Professional Conduct (CPC) held one meeting. The next meeting of the CPC is scheduled for spring 2018 in Montréal.

Disciplinary Costs (\$000) to September 30, 2017

	FY 17-18		FY 16-17	
	Budget	Actual	Budget	Actual
Routine legal costs	72	47	75	68
Non-routine legal costs	0	0	0*	38
Other costs	0	0	0*	11
Total costs	72	47	75	120
	Actual		Actual	
Costs recovered	0		0	
No. of cases reviewed	16		28	

*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 (DTs) convened since the last 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 16 cases against 20 Fellows, Associates, or Affiliates.

Two new complaints and/or information were received for the CPC's consideration. The CPC is obtaining more information before deciding how to proceed in these two cases.

In seven earlier cases, the CPC is still obtaining further information before deciding how to proceed.

Four earlier cases have been dismissed.

Three earlier cases have been referred to an investigation team.

(d) Summary by practice area

The 16 cases set out above may be summarized by practice area as follows:

	Cases	Individuals
Life	6	6 members
Pension	8	12 members
P&C	1	1 member
Workers' Compensation	0	0 members
Actuarial Evidence	0	0 members
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:

- Of these 206 cases, 125 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.
- Of the 41 cases that resulted in charges being filed, nine cases resulted in private admonishments, eight cases resulted in an

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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.

Steve Eadie
Chair, Committee on Professional Conduct