

Discipline Report

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This is the forty-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.

Meetings

Since the last *Discipline Report* of November 2018, the Committee on Professional Conduct (CPC) held one meeting and three conference calls. The next CPC meeting is scheduled for October 17, 2019, in Montréal.

Disciplinary Costs (\$000) to March 30, 2019

	FY 18–19		FY 17–18	
	Budget	Actual	Budget	Actual
Routine legal costs	75	48	75	69
Non-routine legal costs	0*	85	0*	12
Other costs	0*	53	0*	22
Total costs	75	186	75	103
	Actual		Actual	
Costs recovered	0		0	
No. of cases reviewed	11		16	

*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

A charge was filed against a former Fellow of the Institute. A guilty plea was submitted and a joint submission of penalty heard by the appointed Disciplinary Tribunal. Notice of the charge and referral of the charge to a Disciplinary Tribunal was published on May 30, 2018, in accordance with Bylaw 20.04(3.1). A notice to the membership of the details of the hearing was

sent out on February 12, 2019. The decision of the Disciplinary Tribunal on the penalty will be published following the completion of the appeal period.

(b) Cases outstanding where charges have been filed

No charges have been 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

Since the last report, the CPC discussed 10 cases against 13 Fellows, Associates, or Affiliates including the case noted above.

In one earlier case and two new cases, the CPC is still obtaining further information before deciding how to proceed. Two new cases were dismissed following CPC review.

One earlier case is still under review by an Investigation Team and in three earlier cases the investigation teams have completed their review and the CPC will be finalizing its decisions. One earlier case has been dismissed.

(d) Summary by practice area

The 11 cases set out above may be summarized by practice area as follows:

	Cases	Individuals
Life	6	6 members
Pension	2	4 members
P&C	0	0 members
Workers' Compensation	0	0 members
Actuarial Evidence	2	2 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:

- Since 1992, the CPC has completed 216 cases.

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- Of these 216 cases, 134 cases were dismissed, three cases resulted in a private admonishment without going to an Investigation Team (IT), and 79 cases were referred to ITs.
- Of the 79 cases that were referred to ITs, 38 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

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
