

# Discipline Report

Canadian  
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This is the fiftieth 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 2019, the Professional Conduct Board (PCB) (previously called the Committee on Professional Conduct) held three conference calls. The next meeting of the PCB will be scheduled for the fall.

## Disciplinary costs (\$000) to March 30, 2020

	FY 19–20		FY 18–19	
	Budget	Actual	Budget	Actual
Routine legal costs	55	75	48	75
Non-routine legal costs*	220		85	
Other costs*	33		53	
Total costs	308	75	186	75
	Actual		Actual	
Costs recovered	56		0	
No. of cases reviewed	16		17	

\*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 cases where files were charged, and the case completed since the last report.

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

A charge was filed against a former Fellow of the Institute. The case was heard by the appointed disciplinary tribunal on June 8–10, 2020. Notice of

the disciplinary tribunal hearing was published on May 22, 2020, in accordance with Bylaw 20.06(6). The decision of the disciplinary tribunal has not yet been finalized.

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 PCB discussed eight cases against 13 Fellows, Associates, or Affiliates including the case noted above.

In two earlier cases and one new case, the PCB is still obtaining further information before deciding how to proceed. A criminal conviction disclosure was brought to the attention of the PCB by the CIA's Professionalism and Credential Monitoring Board but subsequently dismissed following a review of the situation.

Three earlier cases involving eight actuaries are under review by investigation teams.

### (d) Summary by practice area

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

	Cases	Individuals
Life	3	3 members
Pension	1	6 members
P&C	0	0 members
Workers' compensation	0	0 members
Actuarial evidence	2	2 members
Other	2	2 members

### (e) Summary of CPC/PCB cases since 1992

In response to an interest that was expressed to the PCB, this report includes additional statistics on past CPC/PCB cases:

- Since 1992, the CPC/PCB has completed 223 cases.



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- Of these 223 cases, 136 cases were dismissed, three cases resulted in a private admonishment without going to an investigation team (IT), and 83 cases were referred to ITs.
- Of the 83 cases that were referred to ITs, 38 cases resulted in no charges being filed, and 46 cases resulted in charges being filed.
- Of the 46 cases that resulted in charges being filed, 11 cases resulted in private admonishments, 10 cases resulted in an admission of guilt and sanctions, and 25 resulted in public disciplinary tribunals.
- Of the 25 disciplinary tribunal hearings, 23 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.

**Louis Martin**  
Chair, Professional Conduct Board

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