

Disciplinary Tribunal

Member Name: Member Name Withheld – FIPA FFA
Division: New South Wales
Date of Hearing: 15 September 2017

The IPA Disciplinary Tribunal of 15 September 2017 considered submissions made by the member in relation to the following admitted breaches by the member:

- a) Breached clause 98(2)(a) of the IPA Constitution as the member breached the IPA By-Laws clauses 2.1.2 and 2.1.3 and in particular APES 110 - Code of Ethics for Professional Accountants. The Australian Securities & Investments Commission accepted an enforceable undertaking from the member following concerns about the appropriateness of advice provided under the member's Australian financial services licence to clients relating to self-managed superannuation funds;
 - b) Breached clause 98(2)(b) of the IPA Constitution as the member failed to observe a proper standard of professional care, skill or competence. The above constitutes a failure to observe a proper standard of professional care, skill or competence;
- and
- c) Breached clause 98(2)(f) of the IPA Constitution as the member engaged in conduct which is not in the best interests of the IPA. The above constitutes conduct that is not in the best interests of the IPA.

The Tribunal further resolved that the member is admonished.

Date of Notice: 9 November 2017

Reference: 0417