



IPA INSTITUTE OF PUBLIC ACCOUNTANTS

Member Name: Member Name Withheld - MIPA

Division: New South Wales

Date of Hearing: 19th October 2012

=====
The IPA Investigations Review Officer and the IPA Investigations Officer resolved that the member had a case to answer for having:

- (a) breached Clause 98(2)(a) of the IPA Constitution in that it was alleged the member breached Institute By-law 9.1.2 in that the member had not taken out a Professional Practice Certificate despite providing financial planning services and holding a statutory registration, in particular registration with the Australian Securities and Investments Commission as an authorised representative; and
- (b) breached Clause 98(2)(f) of the IPA Constitution in that it was alleged that the aforementioned constitutes conduct that is not in the best interests of the Institute.

Tribunal Decision

The Tribunal of 19th October 2012 resolved that the case as presented against the member under section 98(2)(a) of the IPA Constitution is proven; and the case as presented under section 98(2)(f) of the IPA Constitution is not proven.

The Tribunal further resolved that the member is admonished with the name not being published.

Date of Notice: 7th January 2013

Reference: 6454