

Member name: Member Name Withheld - PNA
Division: New South Wales
Date of Hearing: 30th April 2010

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

- (a) breached clause 98(2)(b) of the NIA Constitution in that it was alleged the member failed to observe a proper standard of professional care, skill or competence in that it was alleged the member engaged an Auditor for a self-managed superannuation fund who the client did not appoint and it is also alleged that the member failed to provide the degree of service expected by the clients; and
- (b) breached clause 98(2)(f) of the NIA Constitution in that it is alleged that the aforementioned conduct is not in the best interests of the Institute.

Tribunal Decision

The Tribunal resolved that the case as presented against the member in regard to section 98(2)(b) of the NIA Constitution was proven. The case as presented in regard to section 98(2)(f) was not proven.

The Tribunal further resolved that the member is admonished without the name being published; the member is to be subjected to a quality assurance review at his own expense, within three months of the date this determination becomes effective and at a date to be determined by the Executive Officer; and costs of \$500.00 are imposed, payable in thirty days.

Date of Notice: 16th June 2010
Reference: 4321