

2009 Complaints

In 2009 the IPA received 60 complaints. Of these Thirty five (35) related to complaints about professional conduct, ten (10) Complaints related to members failing to have a Professional Practice Certificate, another ten (10) involved referrals from the ATO in relation to the audit of SMSF, four (4) cases were investigated as a result of breaches discovered as a result of a Professional practice Quality Assurance review (PPQA), one matter involved an ASIC ban on a member who was a liquidator and another matter came as a result of legal action taken against a member. One matter related to both an investigation in relation to professional conduct and a failure to abide by the IPA's professional requirements to have a PPC.

Break down of types of cases:

- 10 No PPC cases (including 1 no PPC and Prof Conduct)
 - 10 ATO SMSF Auditor referrals
 - 4 PPQA
 - 1 ASIC Action to ban as liquidator
 - 1 Legal action by Court
 - 35 Professional Conduct complaints (including 1 no PPC and Prof Conduct)
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- The breakdown by State of the Member complained of is:

• NSW –	17
• Vic –	14
• Qld –	10
• SA –	9
• WA –	8
• Tas –	1
• NT –	1
• ACT –	0

Of the 60 matters in 2009, those finalised:

- 42 finalised no case to answer
- 18 Cases referred to Disciplinary Tribunal