

Discipline Report

This is the thirteenth periodic report to Members and Associates prepared in accordance with Bylaw 20.12(8) (formerly Bylaw 65.8). Its primary purpose is to educate and inform all Members and Associates about the disciplinary process and current disciplinary activities. Please send any comments on, or suggestions for improvements in, these reports to Brian FitzGerald, chairperson, or myself at our *Yearbook* addresses. Information in this report regarding specific cases represents the status thereof at October 31, 2001.

1. Meetings

The Committee on Professional Conduct held a meeting on September 24, 2001, as well as three telephone conference calls. Future meetings of the committee have been scheduled for March 11, 2002 and June 10, 2002.

2. Disciplinary Costs

	FY 01-02		FY 00-01	
	Actual	Budget	Actual	Budget
Legal costs	57	-	159	-
Incremental costs	7	-	13	-
	64	200	172	225
	Actual		Actual	
Costs recovered	-		-	
No. of cases reviewed	5		7	

3. Cases

(a) Charges laid and cases completed

There are no cases with respect to which tribunals have been completed since the last periodic report in June 2001.

(b) Charges laid

Charges have been laid against a member in connection with various pension plan valuations, which appear to contain

numerous items of non-compliance with applicable standards of practice and/or applicable pension legislation. A Disciplinary Tribunal has been appointed by the chairperson of the Tribunal Panel, in accordance with Bylaw 20.06(1), and arrangements are being made to hear these charges in Montréal.

Please note that pursuant to the Bylaws, the executive director will publish a Notice to the public and the membership approximately 15 days prior to the hearing before the Disciplinary Tribunal. This Notice will include the date, time and place of the hearing and a summary of the charge, but will not disclose the name of the Member or Associate charged.

Any member who wishes to request more information about the charge which has been laid or the tribunal proceeding may obtain that information from the executive director once the Notice has been published.

(c) Other information

Apart from the case mentioned in (b), in the period since the June 2001 report, the committee has considered five complaints, or other information which might lead to complaints, against six members.

One new case has been received for the committee's consideration, but the committee is obtaining further information before deciding how to proceed.

The committee had previously referred the remaining four cases to four investigation teams, whose investigations are continuing.

(d) Summary by Practice Area

The five cases set out in (c) may be summarized by the individual's practice area as follows:

Life	1
Pension	4
P&C and Workers' Compensation	0
Actuarial Evidence	0

Peter Morse