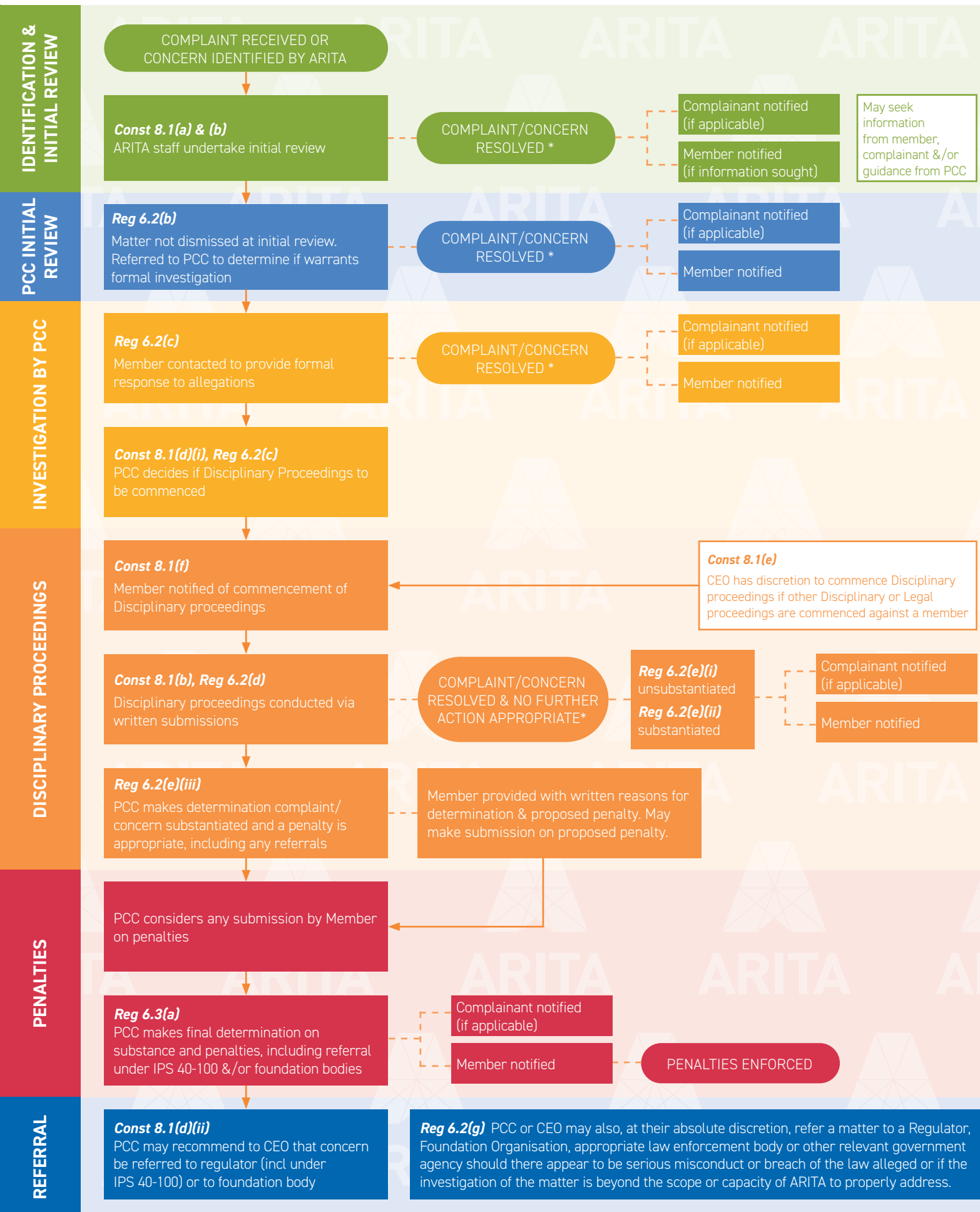


Conduct investigation process

May 2021 – version 1.0



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Key	
*	May require remedial action by Member or firm
Complaints	ARITA is unable to consider complaints regarding commercial disputes or matters before the Court
Concerns	Matters identified to or by ARITA about the professional conduct of a Member as a practitioner other than by way of a complaint, such as media articles & general feedback from external parties
Timeframe	The majority of conduct matters are addressed within 3 months, delays in obtaining information & more complex matters (such as those warranting Disciplinary Proceedings) may require additional time

Penalties that may be imposed:

- termination of Membership, or suspension of Membership for a period;
- a reprimand, which will also be recorded on the Member's disciplinary record and may be taken into account in considering penalties should the Member be subject to any future Company Disciplinary Proceedings;
- a direction that the Member attend specified CPE or other courses;
- a requirement that the Member source peer review by another Member nominated by the PCC or its delegate;
- limitations on the Member's professional practice;
- attaching one or more conditions to the Member's Membership;
- the payment of compensation, damages or reparations to any person or organisation;
- forgoing payment of any future remuneration from the engagement or activity the subject of the Disciplinary or Legal Proceedings;
- a requirement to reimburse remuneration paid to the Member or the Member's Firm as a consequence of the engagement the subject of the Disciplinary or Legal Proceedings; and
- the imposition of a financial penalty which requires the Member to pay a sum of money by way of fine, compensation or damages to ARITA or to another person or organisation.

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