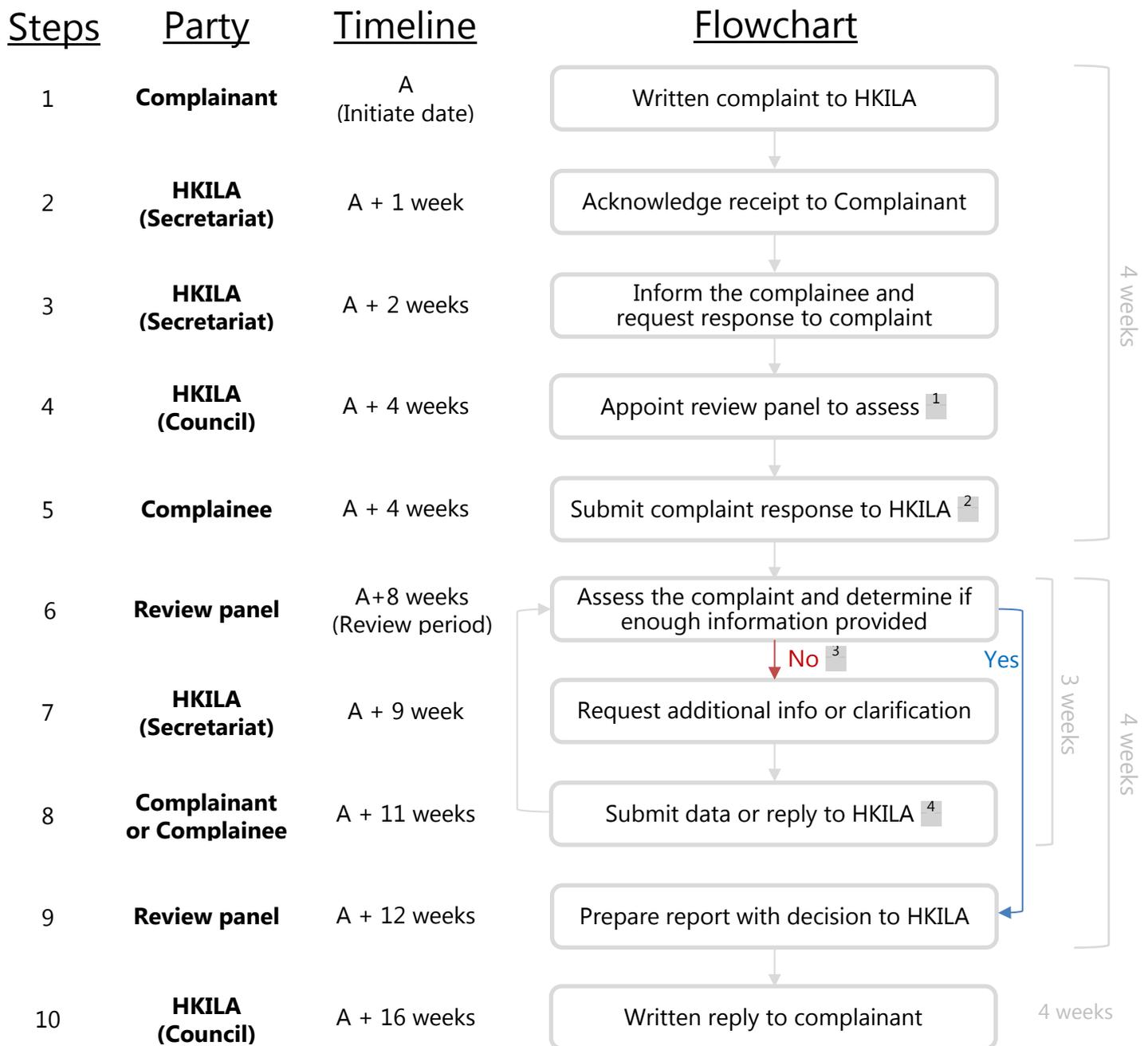


The mechanism for dealing with complaints against HKILA members & Registered Practices



Potential Disciplinary Actions

- | | |
|--|--|
| Major Breach of Code of Conduct | - Removal from Register |
| First Minor Breach of Code of Conduct | - Letter of Censure |
| Second Minor Breach of Code of Conduct | - Letter of Censure with a removal warning upon further breach |
| Third Minor Breach of Code of Conduct | - Removal from Register ⁵ |

Footnotes:

- ¹ Panel shall be 3 HKILA Fellow members or minimum 2 Fellows and 1 Professional member with 10+ years of post-qualification experience.
- ² If no reply, HKILA shall issue a reminder and extend the deadline by 2-weeks, after which the processing will continue based on info available.
- ³ Review panel consideration cycles (ie Step 6) is capped at a maximum of 3 rounds. Where provided info remains inadequate, the complaint is considered an incomplete case and will not justify any disciplinary actions.
- ⁴ If no reply, HKILA shall issue a reminder and extend the deadline by 1-week, further failure to respond by complainant means the case is dropped.
- ⁵ A removed HKILA member may not re-apply for membership within 2 years immediately after the removal.