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THE INSTITUTE OF
CHARTERED ACCOUNTANTS
OF SRI LANKA

COMPLAINT OF PROFESSIONAL MISCONDUCT * BY A MEMBER OF THE INSTITUTE OF CHARTERED ACCOUNTANTS OF SRI LANKA

This form is used to make a complaint about a member of the Institute of Chartered Accountants of Sri Lanka. All details must be completed.

1. Member's details

Member's name: _____
Employer's Name _____

Employer's Address _____

2. Complainant(s) details

Name: _____

Postal address _____

Telephone: (include area code) _____

Home

Business

Facsimile: (include area code) _____

Email _____

3. Complaints made on behalf of an Organization/ Institution

Are you authorised to do so Yes No

Name: _____

Address _____

Telephone: (include area code) _____

Facsimile: (include area code) _____

E-mail address: _____@_____

Relationship to the Complainant: _____

(if any)

* Within the ambit of the Act of the Institute of Chartered Accountants of Sri Lanka

4. Actions taken by complainant to resolve the issue

Have you taken any action to resolve the issue prior to lodging this form? Yes No.

If you have indicated 'Yes' please give a brief summary of the actions. (You are asked to provide full details about the complaint in the next section).

(If you require extra room please attach additional pages).

5. What is the complaint?

(Please set out, in chronological order, the circumstances giving rise to the complaint. You should make sure the entire background of the complaint is described as clearly as possible and that evidence is attached where applicable.

(If you require extra room please attach additional pages).

6. Attach copies of all correspondence between:

- i. the complainant and the member of the Institute of Chartered Accountants of Sri Lanka; and**
- ii. between the complainant and any third parties**
- iii. any other relevant correspondence, documentation, affidavit and other relevant evidence**

Please list attachments:

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7. Declaration

- 1 I declare to the best of my knowledge and belief that the information and/or documents that I provide are true and correct.
- 2 I understand that the Institute of Chartered Accountants of Sri Lanka may disclose the information in this complaint to the Member and, if required, to any regulatory authority.
- 3 I/we agree that the Member may release all information contained within my client files held by the Member.
- 4 I/we understand that these authorisations remain in force until the matter which is the subject of the authorisation is resolved or until I/we otherwise revoke his authority.
- 5 I/we understand that if the Institute of Chartered Accountants of Sri Lanka finds that this complaint is sufficient to justify a sanction against the Member I/we may be asked to give evidence in a disciplinary Inquiry.
- 6 I/we agree to inform the Institute of Chartered Accountants of Sri Lanka if proceedings in a Court or Tribunal are instituted by or against the Member about whom I am complaining. I understand that the Institute of Chartered Accountants of Sri Lanka may suspend investigation of this complaint until such proceedings are finalised.
- 7 I/we understand that once a complaint is made and notwithstanding that the complainant withdraws complaint, the Institute of Chartered Accountants of Sri Lanka may act on its own accord in assembling evidence or laying the complaint. The Institute of Chartered Accountants of Sri Lanka's may continue to investigate a complaint if there is sufficient evidence available, without the complainant's participation.
- 8 Pursuing this complaint is based on ambit of Act (Code of Professional Conduct and Ethics of the Institute of Chartered Accountants of Sri Lanka).

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Signature

.....

Name

Date: / /200...

This authority must be signed by the actual complainant or proof of proper authority provided where the complainant acts as an agent for a third party. If the complainant is a corporation the person lodging the complaint must be duly authorized by that corporation and proof of such authorization provided to the Institute of Chartered Accountants of Sri Lanka.

Cautionary Notes:

- 1) If the complainant is a member, and if the complaint after investigation by the Ethics Committee is held to be frivolous, malicious and/ or without basis, the complainant may expose himself/ herself to an Investigation for misconduct.
- 2) If the complainant is a member or not a member of the Institute of Chartered Accountants of Sri Lanka, he/she/any other corporate body may be susceptible to a claim for damages by the member complained against if the complainant is held to be the frivolous, malicious or without foundations, by the Ethics Committee and the member complained against is so informed.

Please forward the completed form to:

Secretary / Chief Executive Officer
The Institute of Chartered Accountants of Sri Lanka
No. 30A, Malalasekera Mawatha, Colombo 07