



Disciplinary Tribunal

Member Name: Hieu Trung Tran FIPA

Division: New South Wales

Date of Hearing: 28 February 2014

The IPA Board Disciplinary Tribunal of 28 February 2014 determined that the following case presented against the member was proven:

- a) Breached clause 98(2)(a) of the IPA Constitution as the member breached the IPA By-Laws clauses 2.1.2 and 2.1.3. The member failed to carry out or perform adequately and properly the duties or functions of an approved auditor, or is otherwise not a fit and proper person to be an approved auditor. The member was disqualified from being an approved auditor of a regulated superannuation entity under subsection 131(1) of the Superannuation Industry (Supervision) Act 1993 on 10 December 2012;
 - b) Breached clause 98(2)(a) of the IPA Constitution as the member breached the IPA By-Laws in particular clause 7.1.6 which constitutes a breach of clause 98(2)(h) of the IPA Constitution. The member failed to comply with a reasonable request made by an Officer of the Institute as the member failed to respond to letters from the Investigations Officer;
 - c) Breached clause 98(2)(b) of the IPA Constitution as the member failed to observe a proper standard of professional care, skill or competence. The above constitutes a failure to observe a proper standard of professional care;
 - d) Breached clause 98(2)(f) of the IPA Constitution as the member is guilty of conduct which is not in the best interests of the IPA. The above constitutes conduct that is not in the best interests of the IPA;
- and
- e) Breached clause 98(2)(h) of the IPA Constitution as the member failed to comply with a reasonable request made by an Officer of the IPA. The member has not responded to letters from the Investigations Officer.

The Tribunal further resolved that Mr Tran's membership of the IPA is forfeited and costs of \$500.00 are imposed.

Date of Notice: 14 April 2014

Reference: 5214