

General information about making a complaint about a Member

- a) Before making a complaint against a Member, if possible, it is important that you attempt to discuss your concerns directly with the Member in an attempt to reach a resolution.
- b) The Tax Institute is not in a position to investigate a complaint that primarily concerns a fee dispute.
- c) The Tax Institute may only take disciplinary action against a Member and cannot award any form of damages.

The following are considered a Disciplinary Event:

- a) engaging in conduct which:
 - is unbecoming of a Member;
 - is prejudicial to or not in the best interests of the Institute; and/or
 - brings discredit on The Tax Institute;
- b) engaging in derogatory or discriminatory conduct or harassment of any type;
- c) failing to observe a proper standard of professional care, skill or competence;
- d) failing to comply with a written direction issued by the National Council in accordance with the Constitution or By-Laws of the Institute regarding good conduct or administration of the Institute;
- e) being the subject of an adverse finding in relation to his or her professional conduct, competence or recognition by any body or authority having jurisdiction or competence to do so;
- f) being convicted of a Serious Offence;
- g) being found to have acted dishonestly in any civil proceedings in a court in Australia or elsewhere;
- h) involuntarily ceasing to be a director by virtue of the *Corporations Act 2001* (Cth) (**Corporations Act**) or being prohibited from being a director by reason of any order made under the Corporations Act;
- i) becoming bankrupt or assigning his or her estate or entering into a deed of arrangement for the benefit of his or her creditors;
- j) failing to comply with the Constitution or any By-Law of the Institute, including the Code of Professional Conduct (By-Law 15);
- k) failing to assist an Investigator to the extent required by the By-Laws in the carrying out of an investigation of a Complaint;
- l) acting contrary to the By-Laws, hindering or obstructing an Investigator in the carrying out of an investigation of a Complaint;
- m) failing to acknowledge or comply with a reasonable written direction of the Institute prior to, or in the course of, the carrying out of an investigation of a Complaint; and
- n) for any reason, ceasing to be a person of good fame, integrity and character.

Complaint process

Any complaint against a Member of The Tax Institute will only be considered if it is made in writing and the identity of the complainant and the Member is stated. On receipt of the complaint, you will be contacted and advised of further procedures. You will also be notified on conclusion of the complaint. Once lodged the completed complaint form may be shown to the Member for their review and to allow the Member to provide any evidence for their rebuttal. The time taken to investigate a complaint will vary from case to case and will depend on multiple factors.

Complaints must be lodged for the attention of the Complaints Officer in one of the following ways:

- o) **at the office** of The Tax Institute, Level 37, 100 Miller Street, North Sydney, NSW, 2060
- p) **by registered mail** to The Tax Institute, Level 37, 100 Miller Street, North Sydney, NSW, 2060
- q) **by email** to The Tax Institute: complaints@taxinstitute.com.au

Privacy notice

Please refer to the below link that sets out The Tax Institute's Privacy policy. By submitting this form you acknowledge that you have read, understood and agree to be bound by the Privacy policy of The Tax Institute. taxinstitute.com.au/footer/privacy-copyright-and-disclaimer

1 Complainant's details

Title: Mr Mrs Miss Ms Other (please specify)

First name: Last name:

Postal address:

Suburb/City: State: Postcode:

Country:
(if outside Australia)

Telephone: Mobile:

Email*:

*Correspondence will be sent to you at this email address unless otherwise specified

2 Details of the Member

Title: Mr Mrs Miss Ms Other (please specify)

First name: Last name:

Postal address:

Suburb/City: State: Postcode:

Country:
(if outside Australia)

Telephone: Mobile:

Email:

3 Complaint details

Please indicate when you engaged the Member and what you engaged the Member to do. Set out in chronological order the areas of concern in relation to the complaint.

Date:	What the Member did	Why are you dissatisfied?

Are there any other issues you wish to raise?

4 Attempts to resolve the complaint

Have you previously attempted to resolve the dispute directly with the Member?

Yes No

If yes, advise of the date/s contact was made and the outcome. If yes, advise of the date/s contact was made and the outcome.

Date:	Outcome

If no, why not?

5 What outcomes are you seeking?

Please note that outcomes relate to disciplinary action regarding a Member's status and professional standing only. Any legal action and outcomes must be lodged through the applicable course of legal action, we are unable to provide damages or compensation through the complaints process.

6 Complainant's signature

Signature:

Date of
signature:

DD/MM/YYYY

7 Supporting documents

Please supply all relevant supporting documents with your submission.

Attach supporting files

Collection notice: The Tax Institute (TTI) complies with its obligations under the Privacy Act 1988 (Cth) with respect to how it handles personal information. For information on how TTI collects, uses, holds and discloses personal information, please see its privacy policy at taxinstitute.com.au. [You can also request TTI's consultants to provide you with a copy of TTI Privacy Policy.] By submitting your application to TTI, you confirm that you have read TTI's Privacy Policy and you consent to your personal information being collected, used and held by TTI and disclosed to third parties in accordance with TTI's Privacy Policy.

To lodge your complaint

Email complaints@taxinstitute.com.au
Mail/In Person L37, 100 Miller Street North Sydney NSW 2060

Submit form

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