



AAT

PROFESSIONAL STANDARDS

ORDER BY CONSENT

In the matter of

Andrew Fergie (36135)

Misconduct

Andrew Fergie's professional or personal conduct, was found to be in breach of the *Code of Professional Ethics* and to have posed a risk to the public or was likely to undermine public confidence in the Association or its members; namely:

1. Between on or around 12 November 2014 and on or around 21 May 2018, he provided self-employed accountancy or related services to the public whilst not registered or licensed or approved to provide such services whilst subject to an exemption.
2. Between on or around 12 November 2014 and on or around 21 May 2018, he provided self-employed accountancy or related services to the public without being registered with a supervisory authority for the purposes of Anti Money Laundering.

Finding

Grounds for disciplinary action existed and the matter was suitable for exercise of the Investigations Team's powers under the *Disciplinary Regulations*.

Order

Andrew Fergie is hereby:

- i. Reprimanded. The reprimand will remain live on his file for a period of 24 months from the date of this Order.
- ii. Fined £456.00, with payment to be received within 60 days from the date of this Order (unless otherwise agreed with Professional Standards).
- iii. Warned that he must ensure he is fully aware of – and compliant with – all guidelines, regulations and policies which govern his membership of AAT.

Consent

Andrew Fergie has agreed to submit to the decision of the Investigations Team in accordance with Regulation 6 of the *Disciplinary Regulations*.

25 October 2018