

AAT

PROFESSIONAL STANDARDS

ORDER BY CONSENT

In the matter of

Tracy Read (10326954)

Misconduct

Tracy Read'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 01 January 2015 and on or around 12 September 2017, she 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 01 January 2015 and on or around 12 September 2017, she 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

Tracy Read is hereby:

- i. Reprimanded. The reprimand will remain live on Mrs Read's file for a period of 24 months.
- ii. Warned that she must ensure she is fully aware of – and complaint with – all guidelines, policies and regulations that govern her membership of AAT. This warning will remain active on her file for 24 months.
- iii. Fined £279.00.

Consent

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

01 March 2018