

AAT

Discipline and Conduct Panel

ORDER BY CONSENT

In the matter of

Mrs Iris Chaplain (Membership number 226239)

Misconduct

Mrs Iris Chaplain'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 an unspecified date in September 2016 until on or around 07 January 2020, she provided self-employed accountancy or related services to the public whilst not licensed or approved to provide such services whilst subject to an exemption.
2. Between on or around an unspecified date in September 2016 until on or around 07 January 2020, 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

Mrs Iris Chaplain is hereby:

- i. Fined £895.00
- ii. Reprimanded to lay on record for 36 months

Consent

Mrs Iris Chaplain has agreed to submit to the decision of the Investigations Team in accordance with Regulation 6 of the *Disciplinary Regulations*.

29 April 2020