



Protocol "A"

COMPLAINT AND DISCIPLINARY PROCEDURE

1. Any person may file a complaint against an FCI by delivering to the Board, a signed written statement of allegations which thoroughly and specifically details the alleged violations of these By-Laws, or adopted Code of Ethics, which the Complainant feels deserves to be considered for disciplinary action.
2. The signed written statement of allegations shall be directed to the Board Chairperson unless said Board Chairperson is the subject of the complaint or is the person filing the complaint, in which case the statement of allegations shall be directed to the Vice-Chairperson of the Board who will then perform any subsequent duties and responsibilities these protocols assign to the Board Chairperson.
3. Any member of the Complaint and Disciplinary Committee who files or is the subject of a filed statement of allegations shall be replaced on the committee, at least until the final disposition of the Complaint.
4. Any Board member, who either files or is the subject of a filed statement of allegations, shall relinquish their voting privilege on any and all matters related to the Complaint.
5. The Board Chairperson or their designee, upon receipt of the statement of allegations, shall deliver it to the Chairperson of the Complaint and Disciplinary Committee, and also notify the FCI, who is the subject of the complaint, that a statement of allegations has been filed against them. The notification to the subject FCI shall be made by certified US Mail sent to the subject's last address registered with the Board, and shall include a copy of the signed written statement of allegations.
6. The Chairperson or the their designee of this committee shall make an attempt to have personal contact with the subject of the Complaint within no more than five (5) business days after receipt of the complaint, and shall establish a mutually agreeable time, place, date and manner, for an in-person or telephone conference meeting involving all members of the committee, the subject of the Complaint and the individual(s) who submitted the signed written statement of allegations. This meeting shall take place within fifteen (15) days after contact. Either party may request and be granted an extension of time for up to an additional fifteen (15) days for this meeting.
7. Within ten (10) days of the meeting, the committee shall submit to the Board a written report of its hearings and investigations. This report shall include a summary of its hearings, investigations, determination and any recommended disciplinary action. If the determination and /or recommended disciplinary action is not arrived at unanimously the report shall include the basis of both the majority and minority determination and recommended disciplinary action. The disciplinary action recommended by the committee may be a letter of

censure, a written warning, a written reprimand, suspension of the FCI designation for a specified period of time or revocation of the FCI designation.

8. Within five (5) days of the Board's receipt of the committee's report, the Board shall notify the subject of the complaint, by Certified US Mail sent to the last address registered with the Board, of the disposition of the complaint and the appeal process available to the individual.
9. The subject FCI may, within fifteen (15) days of receipt of notice of the Board's disposition of the complaint, request that the Board grant an appeal hearing of that disposition. This request must be made in writing, by certified mail, to the Chairperson of the Board. If such an appeal hearing request is made, the Chairperson of the Board or designee and the subject of the Complaint shall establish a mutually agreeable time, place, date and manner for an in-person or telephone conference meeting to which shall be invited; the Board, the Complainant, the Complaint and Disciplinary Committee and the subject FCI, together with any of the subject FCI's advocates or witnesses. The appeal hearing shall be held within ten (10) of the receipt by the Board of the request.
10. Within five (5) days after the appeal hearing the Board shall meet and make a final determination of the appeal. The subject of the complaint shall be notified of the Board's final disposition by certified US Mail sent to the subject's last address registered with the Board.
11. All cases of disciplinary action, sanctions, warnings or reprimands shall require a majority vote and sanctions of suspension or revocation of the FCI designation, shall require a two-thirds (2/3) vote.
12. Decisions rendered by the Board, including the results of any Appeal Hearing, shall be final.

Approved and adopted by the FBCI on 12/02/2006