

<b>Offences under the <i>Legal Profession Act 2007</i> (Tas)</b>		<b>Section</b>	<b>Penalty</b>
<b>Unqualified Legal Practice</b>			
	A person must not engage in legal practice in this jurisdiction unless the person is an Australian legal practitioner	13(1)(a)	200 penalty units Or imprisonment for a term not exceeding 2 years, or both
	A person must not represent or advertise that the person is entitled to engage in legal practice unless the person is an Australian legal practitioner	14(1)	100 penalty units
	A director, officer, employee or agent of a body corporate must not represent or advertise that the body corporate is entitled to engage in legal practice unless the body corporate is an incorporated legal practice or a complying community legal centre	14(2)	100 penalty units
	A disqualified person, or a person convicted of a serious offence, must not seek to become a lay associate of a law practice unless the person first informs the law practice of the disqualification or conviction	17(4)	50 penalty units
	A law practice must comply with any conditions imposed on an approval by the Board or the Supreme Court	18(4)	100 penalty units
<b>Practising certificates and Professional Indemnity Insurance</b>			
	A person commits an offence if – (a) the person is a local legal practitioner; and (b) the person engages in legal practice in this jurisdiction; and (c) the person fails to comply with a condition imposed under section 45(3) on the person's practising certificate.	46(1)	50 penalty units
	If a person must, under a condition imposed under section 45(3) on the person's local practising certificate, be covered by professional indemnity insurance and the person becomes aware that the person will not be covered by professional indemnity insurance that complies with the requirements prescribed by the regulations or the Indemnity Rules, the person must advise the prescribed authority in an approved form of that fact as soon as possible, but no later than 7 days after the day the person becomes aware of that fact	46(2)	50 penalty units
	The holder of a current local practising certificate must not contravene (in this jurisdiction or elsewhere) a condition to which the certificate is subject	62	100 penalty units

	The practitioner must comply with a notice, requiring the practitioner to return the local practising certificate to the prescribed authority, unless the practitioner has a reasonable excuse.	78(3)	20 penalty units
<b>Interstate Practitioners</b>			
	An interstate legal practitioner must not engage in legal practice in this jurisdiction, or represent or advertise that the practitioner is entitled to engage in legal practice in this jurisdiction, unless the practitioner – (a) is covered by professional indemnity insurance that – (i) covers legal practice in this jurisdiction; and (ii) has been approved under or complies with the requirements of the corresponding law of the practitioner's home jurisdiction; and (iii) is for at least \$1.5 million (inclusive of defence costs), unless (without affecting subparagraph (i) or (ii)) the practitioner engages in legal practice solely as or in the manner of a barrister; or (b) is employed by a corporation, other than an incorporated legal practice, and the only legal services provided by the practitioner in this jurisdiction are in-house legal services.	79(1)	100 penalty units
	An interstate legal practitioner must not contravene a condition (on practice) imposed under this section	81(5)	100 penalty units
<b>Removal from Roll</b>			
	If a local lawyer's name has been removed from an interstate roll, the lawyer must, as soon as practicable, give the Supreme Court, the Board and the prescribed authority a written notice of the removal.	100(1)	50 penalty units
	If a local legal practitioner's name has been removed from an interstate roll, the practitioner must, as soon as practicable, give the Supreme Court, the Board and the prescribed authority a written notice of the removal.	100(2)	50 penalty units
	If an order is made under a corresponding law recommending that the name of a local lawyer be removed from the local roll, the lawyer must, as soon as practicable, give the Supreme Court, prescribed authority and Board written notice of the order.	101(1)	50 penalty units

	If an order is made under a corresponding law in relation to a local legal practitioner that – (a) the practitioner's local practising certificate be suspended or cancelled; or (b) a local practising certificate not be granted to the practitioner for a period; or (c) conditions be imposed on the practitioner's local practising certificate – the practitioner must, as soon as practicable, give the prescribed authority and Board written notice of the order.	101(2)	50 penalty units
	If foreign regulatory action has been taken in relation to a local lawyer, the lawyer must, as soon as practicable, give the Supreme Court, Board and prescribed authority written notice of the action taken.	102(1)	50 penalty units
	If foreign regulatory action has been taken in relation to a local legal practitioner, the practitioner must, as soon as practicable, give the Board and prescribed authority written notice of the action taken.	102(2)	50 penalty units
<b>Incorporated legal practices</b>			
	A corporation must not engage in legal practice in this jurisdiction if it is in default of this section.	115(2)	500 penalty units
	A corporation must not, without reasonable excuse, represent or advertise that the corporation is an incorporated legal practice unless a notice in relation to the corporation has been given under section 115.	116(1)	500 penalty units
	A director, officer, employee or agent of a corporation must not, without reasonable excuse, represent or advertise that the corporation is an incorporated legal practice unless a notice in relation to the corporation has been given under section 115.	116(2)	100 penalty units
	A corporation must, within the prescribed period after it ceases to engage in legal practice in this jurisdiction as an incorporated legal practice, give the prescribed authority a written notice, in the approved form, of that fact.	117(1)	50 penalty units
	An incorporated legal practice contravenes this subsection if it does not have any legal practitioner directors for a period exceeding 7 days.	120(1)	500 penalty units
	If an incorporated legal practice ceases to have any legal practitioner directors, the incorporated legal practice must notify the prescribed authority as soon as possible.	120(2)	500 penalty units
	An incorporated legal practice must not provide legal services in this jurisdiction during any period it is in default of director requirements under this section.	120(3)	100 penalty units

	Each legal practitioner director of the incorporated legal practice, and any employee who is an Australian legal practitioner and who provides the services on behalf of the practice, must ensure that a disclosure, complying with the requirements of this section and the regulations made for the purposes of this section, is made to the person in connection with the provision of the services.	123(2)	50 penalty units
	An incorporated legal practice is guilty of an offence if a person who is a disqualified person – (a) is an officer or employee of the incorporated legal practice (whether or not the person provides legal services) or is an officer or employee of a related body corporate; or (b) is a partner of the incorporated legal practice in a business that includes the provision of legal services; or (c) shares the receipts, revenue or other income arising from the provision of legal services by the incorporated legal practice; or (d) is engaged or paid in connection with the provision of legal services by the incorporated legal practice.	129(1)	100 penalty units
	A corporation that provides legal services in contravention of a disqualification under this section is guilty of an offence.	132(6)	500 penalty units
	A person (whether or not an officer or an employee of an incorporated legal practice) must not cause or induce or attempt to cause or induce – (a) a legal practitioner director; or (b) another Australian legal practitioner who provides legal services on behalf of an incorporated legal practice – to contravene this Act, the regulations, the legal profession rules or his or her professional obligations as an Australian legal practitioner.	143	100 penalty units
<b>Multi-disciplinary partnerships</b>			
	A legal practitioner partner must, before starting to provide legal services in this jurisdiction as a member of a multi-disciplinary partnership, give the prescribed authority written notice, in the approved form, of his or her intention to do so.	146	50 penalty units

	Each legal practitioner partner of the multi-disciplinary partnership, and any employee of the partnership who is an Australian legal practitioner and who provides the services on behalf of the partnership, must ensure that a disclosure, complying with the requirements of this section and the regulations made for the purposes of this section, is made to the person in connection with the provision of the services.	152(2)	50 penalty units
	A legal practitioner partner of a multi-disciplinary partnership must not knowingly – (a) be a partner of a disqualified person in the multi-disciplinary partnership; or (b) share with a disqualified person the receipts, revenue or other income arising from the provision of legal services by the multi-disciplinary partnership; or (c) employ or pay a disqualified person in connection with the provision of legal services by the multi-disciplinary partnership.	157	100 penalty units
	A person (whether or not a partner, or an employee, of a multi-disciplinary partnership) must not cause or induce or attempt to cause or induce – (a) a legal practitioner partner; or (b) an employee of a multi-disciplinary partnership who provides legal services and who is an Australian legal practitioner – to contravene this Act, the regulations, the legal profession rules or his or her professional obligations as an Australian legal practitioner.	159	100 penalty units
<b>Foreign Lawyers</b>			
	A person must not practise foreign law in this jurisdiction unless the person is – (a) an Australian-registered foreign lawyer; or (b) an Australian legal practitioner.	165(1)	200 penalty units
	The person must comply with the notice, unless the person has a reasonable excuse.	201(3)	20 penalty units
	A locally registered foreign lawyer must not contravene a condition to which the registration is subject.	207	100 penalty units
<b>Trust Accounts and Trust Money</b>			
	A law practice that receives trust money to which this Part applies must maintain a general trust account in this jurisdiction.	241(1)	100 penalty units

	A law practice that is required to maintain a general trust account in this jurisdiction must establish and maintain the account in accordance with the regulations.	241(2)	100 penalty units
	Subject to section 249 (Trust money received in the form of cash), as soon as practicable after receiving trust money, a law practice must deposit the money in a general trust account of the practice unless – (a) the practice has a written direction by an appropriate person to deal with it otherwise than by depositing it in the account; or (b) the money is controlled money; or (c) the money is transit money; or (d) the money is the subject of a power given to the practice or an associate of the practice to deal with the money for or on behalf of another person.	242(1)	100 penalty units
	Subject to section 249, a law practice that has received money that is the subject of a written direction mentioned in subsection (1)(a) must deal with the money in accordance with the direction – (a) within the period (if any) specified in the direction; or (b) subject to paragraph (a), as soon as practicable after it is received.	242(2)	100 penalty units
	The law practice must keep a written direction mentioned in subsection (1)(a) for the period prescribed by the regulations.	242(3)	50 penalty units
	A law practice must – (a) hold trust money deposited in a general trust account of the practice exclusively for the person on whose behalf it is received; and (b) disburse the trust money only in accordance with a direction given by the person.	243(1)	50 penalty units
	The law practice must account for the trust money as required by the regulations.	243(3)	50 penalty units
	A law practice must not withdraw trust money from a general trust account otherwise than by cheque or electronic funds transfer.	244(1)	50 penalty units
	As soon as practicable after receiving controlled money, a law practice must deposit the money in the account specified in the written direction relating to the money.	245(1)	50 penalty units

	The law practice must hold controlled money deposited in a controlled money account in accordance with subsection (1) exclusively for the person on whose behalf it was received.	245(2)	50 penalty units
	The law practice that holds controlled money deposited in a controlled money account in accordance with subsection (1) must not disburse the money except in accordance with – (a) the written direction mentioned in that subsection; or (b) a later written direction given by or on behalf of the person on whose behalf the money was received.	245(3)	50 penalty units
	The law practice must maintain the controlled money account, and account for the controlled money, as required by the regulations.	245(4)	50 penalty units
	The law practice must keep a written direction mentioned in this section for the period prescribed by the regulations.	245(5)	50 penalty units
	The law practice must ensure that the controlled money account is used for the deposit of controlled money received on behalf of the person referred to in subsection (2), and not for the deposit of controlled money received on behalf of any other person, except to the extent that the regulations otherwise permit.	245(6)	50 penalty units
	A law practice must not withdraw controlled money from a controlled money account otherwise than by cheque or electronic funds transfer.	246(1)	30 penalty units
	Subject to section 249, a law practice that has received transit money must pay or deliver the money as required by the instructions relating to the money – (a) within the period (if any) specified in the instructions; or (b) subject to paragraph (a), as soon as practicable after it is received.	247(1)	50 penalty units
	The law practice must account for the money as required by the regulations.	247(2)	50 penalty units
	Subject to section 249, a law practice must ensure that trust money that is the subject of a power given to the practice or an associate of the practice is dealt with by the practice or associate only in accordance with the power relating to the money.	248(1)	50 penalty units
	The law practice must account for the money in the way prescribed by the regulations.	248(2)	50 penalty units
	A law practice must deposit general trust money received in the form of cash in a general trust account of the practice.	249(1)	50 penalty units

	A law practice must deposit transit money received in the form of cash in a general trust account of the practice before the money is otherwise dealt with in accordance with the instructions relating to the money.	249(4)	50 penalty units
	A law practice must deposit trust money that is received in the form of cash and is the subject of a power in a general trust account (or a controlled money account in the case of controlled money) of the practice before the money is otherwise dealt with in accordance with the power.	249(5)	50 penalty units
	A law practice must not, otherwise than as permitted by subsection (2), mix trust money with other money.	251(1)	50 penalty units
	An Australian legal practitioner is guilty of an offence if he or she, without reasonable excuse, causes – (a) a deficiency in any trust account or trust ledger account; or (b) a failure to pay or deliver any trust money.	253(1)	200 penalty units
	As soon as practicable after a legal practitioner associate of a law practice becomes aware that there is an irregularity in any of the practice's trust accounts or trust ledger accounts, the associate must give written notice of the irregularity to – (a) the prescribed authority; and (b) if a corresponding authority is responsible for the regulation of the accounts concerned, the corresponding authority.	254(1)	50 penalty units
	If an Australian legal practitioner believes on reasonable grounds that there is an irregularity in connection with the receipt, recording or disbursement of any trust money received by a law practice of which the practitioner is not a legal practitioner associate, the practitioner must, as soon as practicable after forming the belief, give written notice of it to – (a) the prescribed authority; and (b) if a corresponding authority is responsible for the regulation of the accounts relating to the trust money concerned, the corresponding authority.	254(2)	50 penalty units
	A law practice must keep in permanent form trust records in relation to trust money received by the practice.	255(1)	100 penalty units



	<p>The law practice must keep the trust records –</p> <ul style="list-style-type: none"> <li>(a) in accordance with the regulations; and</li> <li>(b) in a way that at all times discloses the true position in relation to trust money received for or on behalf of any person; and</li> <li>(c) in a way that enables the trust records to be conveniently and properly investigated or externally examined; and</li> <li>(d) for a period determined in accordance with the regulations.</li> </ul>	255(2)	100 penalty units
	<p>A law practice must not knowingly receive money or record receipt of money in the practice's trust records under a false name.</p>	256(1)	100 penalty units
	<p>If a person on whose behalf trust money is received by a law practice is commonly known by more than one name, the practice must ensure that the practice's trust records record all names by which the person is known.</p>	256(2)	100 penalty units
	<p>A person of whom a requirement is made under subsection (7) –</p> <ul style="list-style-type: none"> <li>(a) must comply with the requirement; and</li> <li>(b) must not, in purported compliance with the requirement, give information that he or she knows is false or misleading in a material particular.</li> </ul>	258(8)	20 penalty units
<b>Investigations and External Examinations</b>			
	<p>The investigator must not disclose information in the report or acquired in carrying out the investigation except –</p> <ul style="list-style-type: none"> <li>(a) to the practice that, or person who, is a subject of the investigation or report; or</li> <li>(b) as is necessary for properly conducting the investigation and making the report of the investigation; or</li> <li>(c) as provided in section 587 (Permitted disclosure of confidential information); or</li> <li>(d) to the Board.</li> </ul>	263(2)	50 penalty units
	<p>A law practice must at least once in each financial year have its trust records examined by an external examiner appointed in accordance with the regulations.</p>	266(1)	100 penalty units

	<p>The law practice must appoint an external examiner to examine the practice's trust records –</p> <p>(a) in respect of the period since an external examination was last conducted; and</p> <p>(b) in respect of each period thereafter, comprising a completed period of 12 months or any remaining partly completed period, during which the practice continued to hold trust money.</p>	269(2)	50 penalty units
	<p>The law practice must lodge with the prescribed authority –</p> <p>(a) a report of each examination under subsection (2) within 60 days after the end of the period to which the examination relates; and</p> <p>(b) a statutory declaration in the approved form within 60 days of ceasing to hold trust money.</p>	269(3)	20 penalty units
	<p>The examiner must not disclose information in the report or acquired in carrying out the examination, unless permitted to do so under subsection (3) or under section 587 (Permitted disclosure of confidential information) or if otherwise required to do so by law.</p>	271(2)	20 penalty units
	<p>An ADI at which a trust account is maintained must report any deficiency in the account to the prescribed authority as soon as practicable after becoming aware of the deficiency.</p>	275(1)	50 penalty units
	<p>An ADI at which a trust account is maintained must report a suspected offence in relation to the trust account to the prescribed authority as soon as practicable after forming the suspicion.</p>	275(2)	50 penalty units
	<p>An ADI must furnish to the prescribed authority reports about trust accounts in accordance with the regulations.</p>	275(3)	50 penalty units
	<p>An ADI at which a trust account is maintained must without charge –</p> <p>(a) produce for inspection or copying by an investigator or external examiner any records relating to the trust account or trust money deposited in the trust account; and</p> <p>(b) provide the investigator or external examiner with full details of any transactions relating to the trust account or trust money –</p> <p>on demand by the investigator or external examiner and on production to the ADI of evidence of the appointment of the investigator or the external examiner in relation to the law practice concerned.</p>	275(4)	50 penalty units

<b>Trust Money - Miscellaneous</b>		
A law practice (other than an incorporated legal practice) must not receive trust money if a principal holds an Australian practising certificate which does not authorise the receipt of trust money.	276(1)	200 penalty units
An incorporated legal practice must not receive trust money unless – (a) at least one legal practitioner director of the practice holds an Australian practising certificate authorising the receipt of trust money; or (b) a person is holding an appointment under section 120 (Incorporated legal practice without legal practitioner director) in relation to the practice and the person holds an Australian practising certificate authorising the receipt of trust money; or (c) the money is received during any period during which the practice – (i) does not have any legal practitioner directors; and (ii) is not in default of director requirements under section 120 – so long as there was, immediately before the start of that period, at least one legal practitioner director of the practice who held an Australian practising certificate authorising the receipt of trust money.	276(2)	200 penalty units
When money entrusted to a law practice is or becomes non-trust money, the practice must, in accordance with this section and the regulations, notify the person who entrusted the money to the practice that – (a) the money is not treated as trust money for the purposes of this Act and is not subject to any supervision, investigation or audit requirements of this Act; and (b) a claim against the Guarantee Fund under this Act cannot be made in respect of the money.	279(2)	50 penalty units
A law practice must in accordance with the regulations notify the prescribed authority of the details required by the regulations of each account maintained at an ADI in which the law practice or any legal practitioner associate of the law practice holds money entrusted to the practice or legal practitioner associate.	280(1)	50 penalty units
<b>Legal Costs - Agreements and Assessments</b>		
A law practice must not enter into a costs agreement in contravention of this section.	308(5)	100 penalty units

	A law practice must not enter into a costs agreement under which the amount payable to the law practice, or any part of that amount, is calculated by reference to the amount of any award or settlement or the value of any property that may be recovered in any proceedings to which the agreement relates.	309(1)	100 penalty units
	A person who neglects or fails without reasonable cause – (a) to attend in obedience to a summons under subsection (1); or (b) to be sworn or make an affirmation; or (c) to answer relevant questions; or (d) to produce any relevant documents or records when required to do so under that subsection – is guilty of an offence.	326(2)	10 penalty units
	A person who fails to comply with a notice under subsection (1) is guilty of an offence and is liable on summary conviction to a fine.	367(4)	Not exceeding 100 penalty units
	A person who neglects or fails, without reasonable cause, to produce any relevant documents or records when required to do so under subsection (2) is guilty of an offence.	376(3)	10 penalty units
	A claimant must notify the Trust of the receipt or recovery of a payment referred to in subsection (1)(b) within 60 days after the receipt or recovery.	385(3)	50 penalty units
	A law practice must not engage in, administer or facilitate a mortgage investment scheme unless the mortgage investment scheme is conducted by a separate legal entity which does not form part of the law practice.	413(1)	100 penalty units
	An Australian legal practitioner who knows that an associate has contravened this section must notify the Board in writing of that fact within 21 days after becoming aware of the contravention.	413(3)	50 penalty units
<b>Regulatory Bodies - the Board, Disciplinary Tribunal</b>			
	If, after it has completed a hearing under this Part, the Board is satisfied that an Australian legal practitioner is guilty of unsatisfactory professional conduct, the Board may make a determination that the Australian legal practitioner pay a fine as it may specify.	454(2)(b)	Not exceeding 50 penalty units

	<p>The Tribunal may make an order imposing a fine on any person who, if required to do so under subsection (1), neglects or fails, without reasonable excuse –</p> <p>(a) to comply with a summons; or</p> <p>(b) to make an oath or affirmation; or</p> <p>(c) to produce or authorise another person to produce any documents or records when required to do so; or</p> <p>(d) to answer any question when lawfully required to do so; or</p> <p>(e) to assist the Board in an investigation.</p>	466(3)	Not exceeding 50 penalty units
	<p>The Tribunal may make an order imposing a fine on any person who –</p> <p>(a) obstructs, hinders or interrupts the proceedings of the Tribunal; or</p> <p>(b) threatens or insults a member of the Tribunal; or</p> <p>(c) gives an answer or makes a statement which, to that person's knowledge, is false or misleading.</p>	467(7)	Not exceeding 50 penalty units
	<p>A person who contravenes an order made under subsection (2) is guilty of an offence and is liable on summary conviction to a penalty.</p>	470(3)	Not exceeding 50 penalty units
<b>Managers</b>			
	<p>After service on a person (other than the supervisor, an ADI or the Board) of a notice of the appointment of a supervisor of trust money of a law practice and until the appointment is terminated, the person must not –</p> <p>(a) deal with any of the practice's trust money; or</p> <p>(b) sign any cheque or other instrument drawn on a trust account of the practice; or</p> <p>(c) authorise the withdrawal or transfer of funds from a trust account of the practice.</p>	527(2)	100 penalty units
	<p>After service on a law practice of a notice of the appointment of a manager for the practice and until the appointment is terminated, a legal practitioner associate of the practice who is specified or referred to in the notice must not participate in the affairs of the practice except under the direct supervision of the manager.</p>	533(1)	100 penalty units

	<p>After service on a person of a notice of the appointment of a manager for a law practice and until the appointment is terminated, the person must not –</p> <p>(a) deal with any of the practice’s trust money; or</p> <p>(b) sign any cheque or other instrument drawn on a trust account of the practice; or</p> <p>(c) authorise the withdrawal or transfer of funds from a trust account of the practice – but this subsection does not apply to a legal practitioner associate referred to in subsection (1), an ADI or the manager or receiver for the practice.</p>	533(3)	100 penalty units
<b>Receivers</b>			
	<p>After service on a law practice of a notice of the appointment of a receiver for the practice and until the appointment is terminated, a legal practitioner associate of the practice who is specified or referred to in the notice must not participate in the affairs of the practice.</p>	540(1)	100 penalty units
	<p>After service on a person of a notice of the appointment of a receiver for a law practice and until the appointment is terminated, the person must not –</p> <p>(a) deal with any of the practice’s trust money; or</p> <p>(b) sign any cheque or other instrument drawn on a trust account of the practice; or</p> <p>(c) authorise the withdrawal or transfer of funds from a trust account of the practice – but this subsection does not apply to an ADI or the receiver or manager for the practice.</p>	540(3)	100 penalty units
	<p>If a person has notice that a receiver has been appointed for a law practice and the person is under an obligation to deliver regulated property to the practice, the person must deliver the property to the receiver.</p>	544(2)	50 penalty units
	<p>A person who is subject to a requirement under subsection (1) must comply with the requirement.</p>	546(2)	100 penalty units
	<p>On an examination of a person under this section, the person must answer all questions that the Court allows to be put to the person.</p>	547(2)	50 penalty units
	<p>A person must not, with intent to defeat the operation of this Part, and whether before or after appointment of a receiver, destroy, conceal, remove from one place to another or deliver into the possession, or place under the control, of another person any regulated property of a law practice for which a receiver has been or is likely to be appointed.</p>	551(1)	Imprisonment for a term not exceeding 5 years

<b>General</b>		
<p>An ADI must, at the request of an external intervener for a law practice, disclose to the intervener without charge –</p> <p>(a) whether or not the practice, or an associate of the practice specified by the intervener, maintains or has maintained an account at the ADI during a period specified by the intervener; and</p> <p>(b) details identifying every account so maintained.</p>	560(1)	50 penalty units
<p>An ADI at which an account of a law practice or associate of a law practice is or has been maintained must, at the request of an external intervener for the law practice and without charge –</p> <p>(a) produce for inspection or copying by the intervener, or a nominee of the intervener, any records relating to any such account or money deposited in any such account; and</p> <p>(b) provide the intervener with full details of any transactions relating to any such account or money.</p>	560(2)	50 penalty units
<p>If an external intervener believes, on reasonable grounds, that trust money has, without the authorisation of the person who entrusted the trust money to the law practice, been deposited into the account of a third party who is not an associate of the law practice, the ADI at which the account is maintained must disclose to the intervener without charge –</p> <p>(a) whether or not a person specified by the intervener maintains or has maintained an account at the ADI during a period specified by the intervener; and</p> <p>(b) the details of any such account.</p>	560(3)	50 penalty units
<p>A person must not, without reasonable excuse, obstruct an external intervener exercising a power under this Act.</p>	565(1)	50 penalty units

<b>Requirements relating to documents, information and other assistance</b>			
	A person who is subject to a requirement under subsection (1) must comply with the requirement.	571(2)	50 penalty units
	A person who is subject to a requirement under subsection (1) or (2) must comply with the requirement.	572(3)	50 penalty units
	The investigator must, at the reasonable request of a person apparently in charge of the premises or any other person on the premises, produce evidence of his or her appointment.	575(4)	50 penalty units
	An investigator executing a warrant must, at the reasonable request of a person apparently in charge of the premises or any other person on the premises, produce the warrant.	576(6)	20 penalty units
	A person requested to do anything under subsection (1)(j) must not, without reasonable excuse, fail to comply with the request.	577(5)	50 penalty units
<b>Investigations - Miscellaneous</b>			
	A person must not, without reasonable excuse, obstruct an investigator exercising a power under this Act.	584(1)	100 penalty units
	A person must not, with intent to prevent, hinder or otherwise interfere with the carrying out of a trust account investigation, trust account examination, complaint investigation or ILP compliance audit, and whether before or after the appointment of an investigator, destroy, conceal, remove from one place to another or deliver into the possession, or place under the control, of another person any information or document that may provide evidence of a contravention of this Act, the regulations or the legal profession rules.	585(1)	Imprisonment for a term not exceeding 5 years



<b>Confidentiality of Regulatory bodies</b>			
	<p>Subject to this section, a member of the Board, a member of a committee of the Board or a person employed or engaged on work related to the affairs of the Board must not divulge information that comes to his or her knowledge by virtue of that office or position except –</p> <p>(a) in the course of, and for a purpose related to, carrying out the duties of that office or position; or</p> <p>(b) as may be authorised by or under this Act or any other Act; or</p> <p>(c) in evidence before a court in which proceedings arising from matters subject to a report of the Board have been brought.</p>	602(1)	100 penalty units
	<p>A member of the Tribunal or a person employed or engaged on work related to the affairs of the Tribunal must not divulge any information gained by virtue of that office or position except –</p> <p>(a) in the course of and for a purpose related to carrying out the duties of the office or position; or</p> <p>(b) as may be authorised by this Act or any other Act; or</p> <p>(c) as may be required by a court in relation to proceedings before the court.</p>	614(1)	100 penalty units
	<p>A relevant person must not disclose to any other person, whether directly or indirectly, any personal information obtained by reason of being a relevant person.</p>	647(1)	25 penalty units
	<p>Subject to this section, a member of a prescribed authority or a person employed or engaged on work related to the affairs of the prescribed authority must not divulge information that comes to his or her knowledge by virtue of that office or position except –</p> <p>(a) in the course of, and for a purpose related to, carrying out the duties of that office or position; or</p> <p>(b) as may be authorised by or under this Act or any other Act; or</p> <p>(c) in evidence before a court in which proceedings, arising from matters subject to a report of the Board, have been brought.</p>	655(1)	100 penalty units

**Hearings**

Subject to this section, a member of a prescribed authority or a person employed or engaged on work related to the affairs of the prescribed authority must not divulge information that comes to his or her knowledge by virtue of that office or position except –  
(a) in the course of, and for a purpose related to, carrying out the duties of that office or position; or  
(b) as may be authorised by or under this Act or any other Act; or  
(c) in evidence before a court in which proceedings, arising from matters subject to a report of the Board, have been brought.

Schedule 1  
5(6)

10 penalty units