

FUNDAMENTAL PRINCIPLES

A professional Compliance and Cyber Analyst is required to comply with the following fundamental principles: (a) Integrity A professional compliance and cyber analyst should be straightforward and honest in all professional and business relationships. (b) Objectivity A professional compliance and cyber analyst should not allow bias, conflict of interest or undue influence of others to override professional or business judgments. (c) Professional Competence and Due Care A professional compliance and cyber analyst has a continuing duty to maintain professional knowledge and skill at the level required to ensure that a client or employer receives competent professional service based on current developments in practice, legislation and techniques. A professional compliance and cyber analyst should act diligently and in accordance with applicable technical and professional standards when providing professional services. (d) Confidentiality A professional compliance and cyber analyst should respect the confidentiality of information acquired as a result of professional and business relationships and should not disclose any such information to third parties without proper and specific authority unless there is a legal or professional right or duty to disclose. Confidential information acquired as a result of professional and business relationships should not be used for the personal advantage of the professional Compliance and Cyber Analyst or third parties. (e) Professional Behavior A professional compliance and cyber analyst should comply with relevant laws and regulations and should avoid any action that discredits the profession.

BREACHES OF THE CODE OF ETHICS FOR STUDENTS

Breaches of the Code of Ethics for Students amount to a misconduct. Misconduct is construed to mean: (a) Failure to comply with the examinations rules and regulations of the Institute. (b) Unacceptable or improper conduct. (c) Adverse finding by, or sanction or order of, or undertaking to, any tribunal or court or other body or authority. (d) Acts regarded as morally reprehensible. (e) Acts carried out in the performance of a student's professional duties that fall below the expected standard. Below are some examples of misconduct:

- Misappropriation of funds and false compliance and cyber analyst.
- Involvement in acts of violence.
- Misrepresentation of CCCA'S qualifications and / or other qualifications.
- Providing false mortgage references.
- Knowingly causing a company to trade whilst insolvent.
- Insider dealing.
- Use of irregular methods in CCCA examinations.
- Failure to produce accurate financial statements and / or tax returns.
- Failure to submit financial statements and / or tax returns to the appropriate authorities.
- Inadequate record keeping.

- Acting as an auditor when not qualified to do so.
- Failure to reply appropriately, or at all, to correspondence from CCCA, a client, employer or a superseding authority.
- Failure to provide adequate advice.
- Financial mismanagement.
- Acting in conflict of interest.
- Breach of duty of confidentiality.
- Defamation (as determined by a competent court).
- Disruptive behavior.
- Failure to comply with a court order.

DUTIES OF THE STUDENT

It shall be the duty of the student: (a) To observe the rules and regulations of the Institute. (b) To cooperate with and submit to the Institute's disciplinary procedures and those of any organisation to which a complaint may have been referred. (c) To report to the Institute any facts or matters which cause a student to reasonably believe that another student may have been involved in misconduct.

INVESTIGATIONS: It shall be the responsibility of the Council to ensure that complaints against a student are thoroughly and fairly investigated and determined, and that appropriate sanctions are imposed if such complaints are upheld.

SANCTIONS: 1. After evaluating the evidence adduced, the Council may dismiss the complaint, where no grounds of a disciplinary action are disclosed. 2. Where the ground of disciplinary action is disclosed, Council may impose any or a combination of the following sanctions: (a) Admonish the student. (b) Suspend a student from the course for a period not exceeding five years. (c) Impose a fine. (d) Require the student to compensate any party that may have suffered a loss or injury as a result of the student's misconduct. (e) Dismiss the student from the course. 3. The Council's course of action may be published in the Institute's magazine.