



KAREN ECKSTEIN  
LIMITED



# Professional Friend<sup>®</sup>

The Disciplinary and  
Complaint Support Service



### **Are you the subject of a complaint or disciplinary investigation by your professional body?**

Do you feel alone, unsupported, not know where to turn to for advice or support? Afraid of doing or saying the wrong thing and worried what the outcome might be? Frightened of career ending outcomes or significant fines and publicity?

What if you could turn to an expert team who had over 40 years' combined experience of dealing with these issues? Would that give you peace of mind, knowing that you were being supported by specialists who were non-judgmental, supportive, and practical?

Would you feel more confident about your situation if you were helped by advisers who provided an experienced and caring service, designed to help you through the disciplinary process, advising you on what to expect, how to respond, likely outcomes, and strategies to employ?





If you want to feel protected and reassured by the advice you get through what is, we appreciate a difficult time, then our friendly and supportive, yet realistic and straightforward approach could be just what you need.

You will gain confidence from the fact that we have helped members from ACCA, ICAEW, Bar Mutual, Law Society and many more- from advising on initial complaints, through to negotiating Consent Orders, to full Disciplinary Tribunals.

If you also want to know that the insurance implications are not overlooked, then you can be secure in our expertise in insurance issues. We will advise you so that you can ensure that any steps taken don't impact adversely on your PII insurance and also ascertain whether your policy provides funds to assist you in the defence of any professional complaint.





### But don't take our word for it!

Hear what some brokers have to say about the service we have provided to their clients:-

**Professional Indemnity broker:** *"In my opinion, there isn't anyone out there more qualified than Karen to handle these issues. I would recommend her to any Accountant facing a complaint or investigation by their professional body"*

**Professional indemnity broker:** *"I have worked with Karen and her team for many years and know they have the expertise to understand the intricacies of the regulatory regime. Those specialising in the regulatory regime often don't understand how Professional Indemnity Policies work. Karen is a rare breed. She knows how a PII Policy works and understands the interplay between the two, when a complaint or disciplinary issue warrants notification to PII insurers, to avoid policy notification issues for the Insured and also when an Insured professional might benefit from the 'costs' cover that may be available to him/her under his policy and how to seek it. In addition, Karen can winkle out any professional negligence issues that may arise in any complaint or disciplinary matter and tread the delicate path between the two.*

*I have seen Insureds enter into Consent Orders with their regulator, in order, they think, to bring a difficult time to an end - only to find that their professional indemnity insurer has then taken issue with them for doing so without insurer's consent- as they have inadvertently, breached Policy conditions, which in turn has compromised their insurance cover.*

*I have absolutely no issues in knowing that – with Karen and her Team – my Insureds are in safe hands."*



If you are facing a disciplinary complaint from your professional body and would like support, then please get in touch for a free initial consultation.

Our contact details are [Karen@kareneckstein.co.uk](mailto:Karen@kareneckstein.co.uk) or **07973627039**

We would be happy to help you through this difficult time.

**We also offer a client complaint service: -**

**We can provide you with**

- A complaints policy compliant with your regulatory obligations, together with a supporting process
- A complaints response service- we can investigate complaints made by clients (so that issues are independently reviewed) and provide you with a draft response and advice on relevant next steps (including insurance notification issues)
- A complaints review service- analysing root causes of complaints and recommending steps to prevent the root causes recurring.

If you would like to know more about our client complaint service and how this can improve your overall client experience, then please get in touch for a free initial consultation on [risk@kareneckstein.co.uk](mailto:risk@kareneckstein.co.uk), we would love to help you.

For more information please contact us at  
**Karen@kareneckstein.co.uk** or **07973627039**