Industry-Related Case Flow

PCP obtains information and opens inquiry

PCP investigates matter, collects and analyzes evidence

Based on preponderance of evidence, PCP determines how to proceed

Lack of evidence of violation

Case is closed with no action; CP receives letter closing case

Evidence of violation

PCP sends CP Statement of Allegations

CP has opportunity to respond to SOA.

PCP makes determination based on preponderance of evidence, including CP’s response, if any

If CP response negates evidence of violation, case is closed with no action; CP receives letter closing case

PCP sends CP Statement of Charges

CP rejects SOC

Matter is referred to Hearing Panel for full Hearing

CP accepts or fails to reject SOC

Matter is referred to Review Panel for approval