



The Law Society of  
Upper Canada | Barreau  
du Haut-Canada

# PROFESSIONAL REGULATION

## Executive Director's Report: Analysis of Complaints Received by Professional Regulation in 2014

Prepared by: Lesley Cameron  
Date: April 14, 2016

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This report provides an analysis of complaints against lawyers and paralegals received in the Professional Regulation Division ("Professional Regulation") in 2014.

In **Section A**, the per capita rate of complaints from 2009 to 2014 is discussed

- a) for all licensed lawyers and for all licensed lawyers in private practice
- b) for all licensed paralegals and all licensed paralegals in private practice.

In **Section B**, all complaints against lawyers and paralegals received in Professional Regulation in 2014 are analyzed by

- a) the size of the firm in which the lawyers and paralegals practised; and
- b) the number of years since the lawyers and paralegals were licensed.

In **Section C**, the analysis focuses on the types of complaints against lawyers and paralegals received by Professional Regulation in 2014. The types of complaints received are analyzed by

- a) the size of the firm in which the lawyers and paralegals practised; and
- b) the number of years since the lawyers and paralegals were licensed.

In **Section D**, the analysis focuses on the area of law specified in the complaints against lawyers and paralegals received in Professional Regulation in 2014. The complaints listing an area of law are analyzed by

- a) the size of the firm in which the lawyers and paralegals practised; and
- b) the number of years since the lawyers and paralegals were licensed.

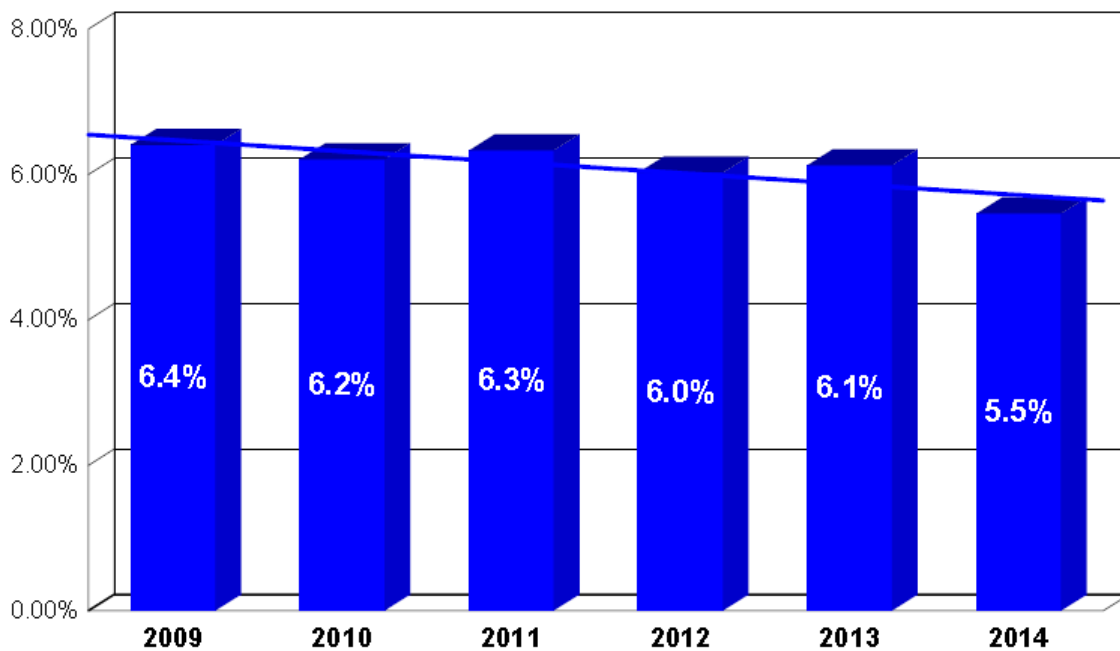
## A. Per Capita Rate of Complaints

In 2014, 4781 complaints were received in Professional Regulation. Of those complaints, 3734 were complaints against lawyers and 543 were complaints against licensed paralegals.

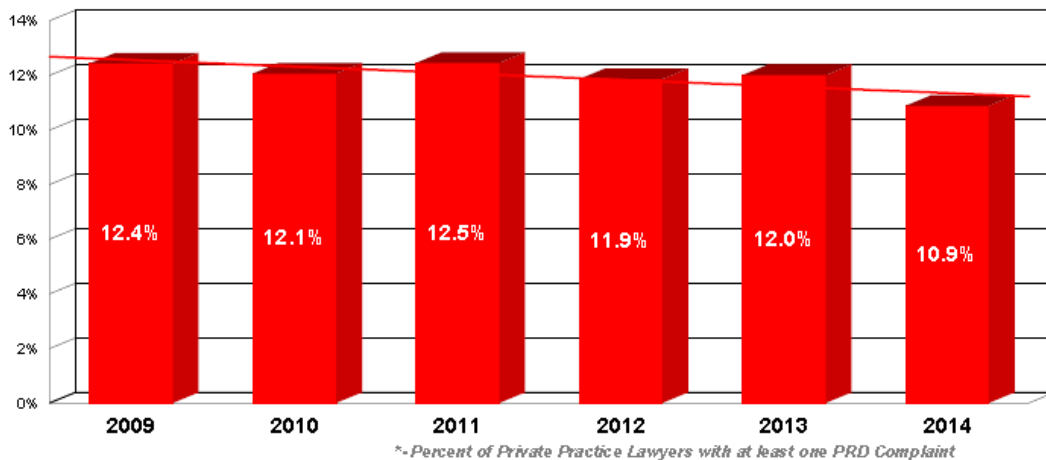
### a) Lawyers

The following two graphs demonstrate a downward trend since 2009 in the percentage of (i) all licensed lawyers and (ii) all licensed lawyers in private practice with at least one complaint in Professional Regulation.

#### (i) All Licensed Lawyers with at least one complaint in Professional Regulation



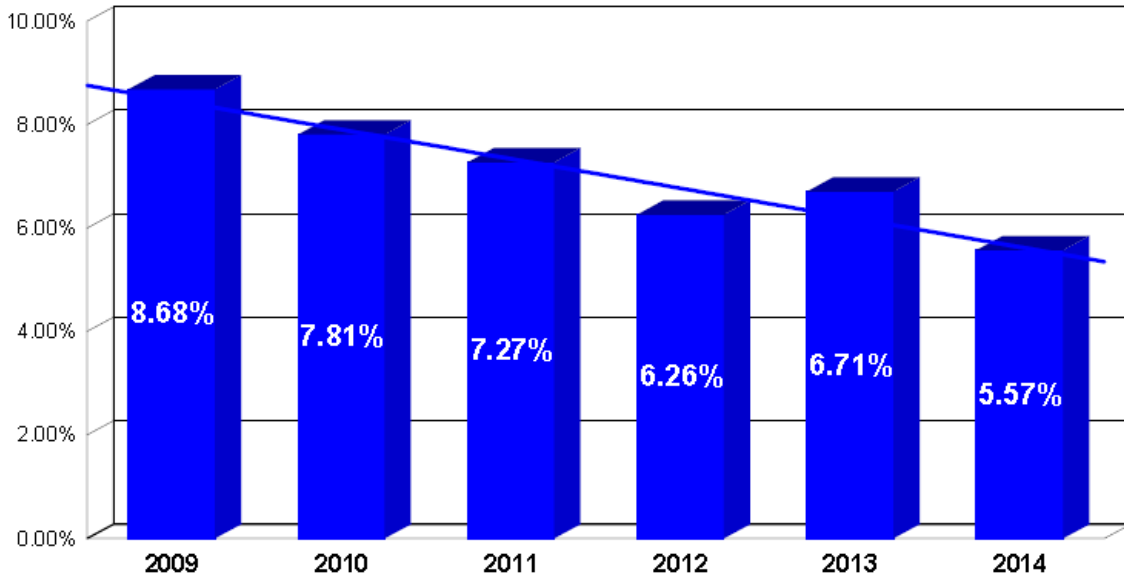
#### (ii) Lawyers in Private Practice with at least one complaint in Professional Regulation



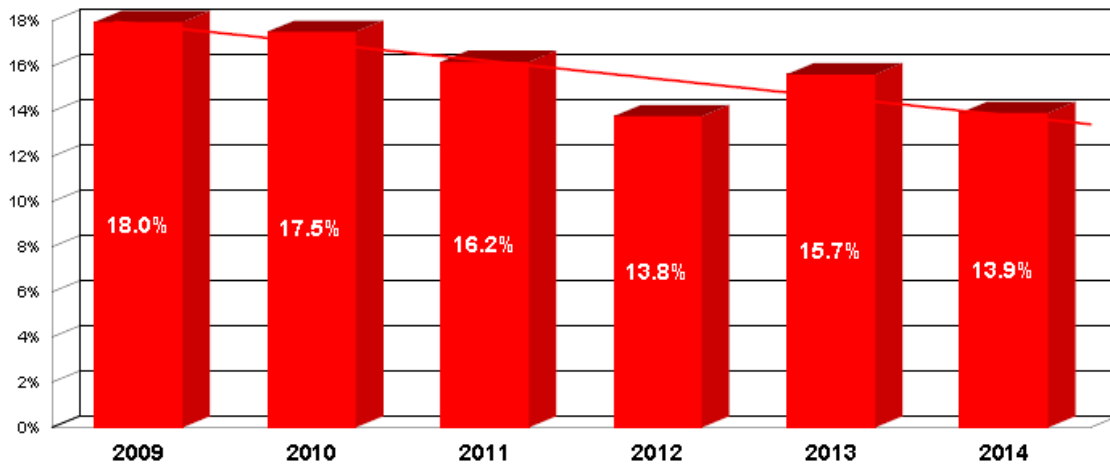
**b) Paralegals**

The following two graphs demonstrate a downward trend since 2009 in the percentage of (i) all licensed paralegals and (ii) all licensed paralegals in private practice with at least one complaint in Professional Regulation.

**(i) All Licensed Paralegals with at least one complaint in Professional Regulation**



**(ii) All Paralegals in Private Practice with at least one complaint in Professional Regulation**



## B. Complaints Received in 2014

### a) Complaints Received in 2014, according to Size of Firm

#### Lawyers

The following graphs analyze the complaints received against lawyers in 2014 according to the size of firm. For lawyers, firm sizes are defined as follows:

- Sole practitioner;
- Firms with 2 to 10 licensees;
- Firms with 11 to 25 licensees;
- Firms with 26 to 50 licensees; and
- Firms with more than 50 licensees.

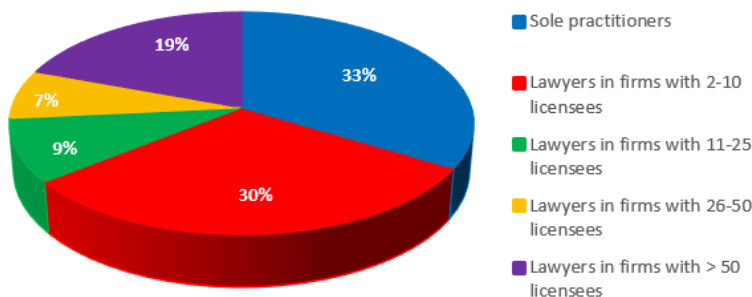
#### Findings

As at December 31, 2014<sup>1</sup>, the Law Society's membership database listed the following number of lawyers in active practice with a firm size (see graph on left below):

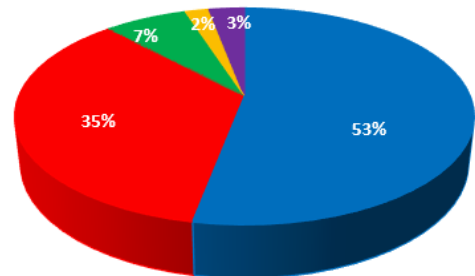
- 33% of lawyers were sole practitioners;
- 30% of lawyers were in firms with 2 to 10 licensees;
- 9% of lawyers were in firms with 11 to 25 licensees;
- 7% of lawyers were in firms with 26 to 50 licensees; and
- 19% of lawyers were in firms with more than 50 licensees.

It is expected that the breakdown of lawyers who received complaints in Professional Regulation would mirror the above breakdown. However, as shown in the graph on the right, below, while sole practitioners constitute 33% of all practising lawyers, 53% of complaints against lawyers that are received in Professional Regulation involve lawyers in sole practice.

Lawyers in practice, by size of firm (%)



Lawyers in practice against whom a complaint was made in 2014, by size of firm (%)



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<sup>1</sup> As at December 31, 2014, there were 23,987 lawyers in active practice with a firm size designated in the Law Society's membership database

## Paralegals

The following graphs analyze the complaints received against paralegals in 2014 according to the size of firm. For paralegals, firm sizes are defined as follows:

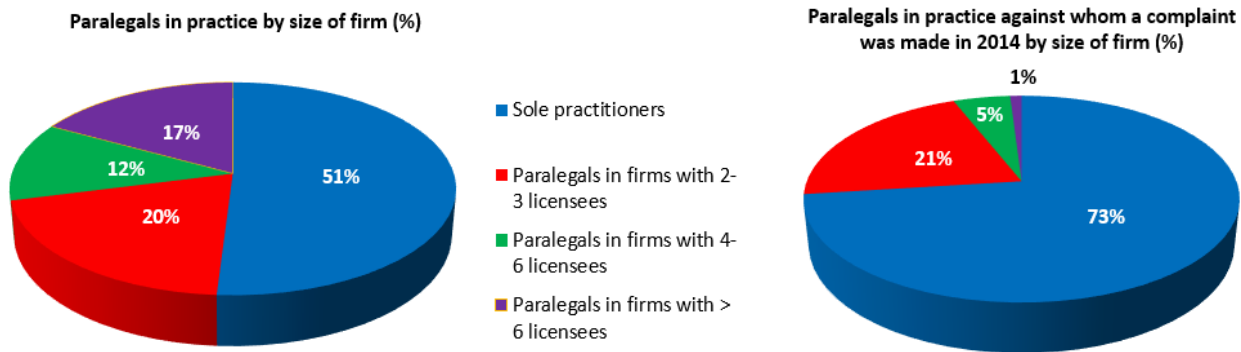
- Sole practitioner;
- Firms with 2 to 3 licensees;
- Firms with 4 to 6 licensees; and
- Firms with more than 6 licensees.

## **Findings**

As at December 31, 2014<sup>2</sup>, the Law Society's membership database listed the following number of paralegals in active practice with a firm size (see graph to left, below):

- 51% of paralegals were sole practitioners;
- 20% of paralegals were in firms with 2 to 3 licensees;
- 12% of paralegals were in firms with 4 to 6 licensees; and
- 17% of paralegals were in firms with more than 6 licensees.

It is expected that the breakdown of paralegals who received complaints in Professional Regulation would mirror the above breakdown. However, as shown in the graph to the right, below, while sole practitioners constitute 51% of all practising paralegals, over 70% of complaints against paralegals that were received in Professional Regulation involve paralegals practising in this group.



## **b) Complaints Received in 2014, according to Years in Practice**

### Lawyers

The following graphs analyze the complaints received against lawyers in 2014 according to the years since they were licensed (i.e. years in practice). For lawyers, the years in practice are grouped as follows:

- 0 – 5 years in practice;

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<sup>2</sup> As at December 31, 2014, there were 3,254 paralegals in active practice with a firm size designated in the Law Society's membership database.

- 6 – 10 years in practice;
- 11 – 15 years in practice;
- 16 – 20 years in practice;
- 21 – 25 years in practice;
- 26 – 30 years in practice; and
- Over 30 years in practice

**Findings**

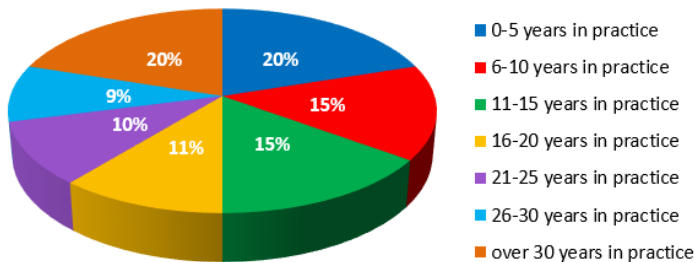
As at December 31, 2014<sup>3</sup>, the breakdown of all lawyers in active practice by years of practice was (see graph to left, below):

- 20% of all lawyers had been practising between 0 – 5 years;
- 15% of all lawyers had been practising between 6 – 10 years;
- 15% of all lawyers had been practising between 11 – 15 years;
- 11% of all lawyers had been practising between 16 – 20 years;
- 10% of all lawyers had been practising between 21 – 25 years;
- 9% of all lawyers had been practising between 26 – 30 years; and
- 20% of all lawyers had been practising for more than 30 years.

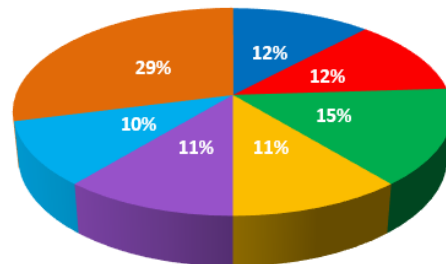
It is expected that the breakdown of lawyers who received complaints in Professional Regulation would mirror the above breakdown. However, as shown in the graph to the right, below:

- Lawyers who have been in practice for up to 5 years make up 20% of all lawyers practising. However, this group only received 12% of all complaints received in Professional Regulation.
- At the other end of the spectrum, lawyers who have been in practice for more than 30 years received 29% of all complaints received in Professional Regulation. This group only constitutes 20% of all lawyers practising.

**Lawyers in practice by years in practice (%)**



**Lawyers in practice against who a complaint was made in 2014 by years in practice (%)**



<sup>3</sup> As at December 31, 2014, there were 37,204 lawyers in active practice.

## Paralegals

The following graphs analyze the complaints received against paralegals in 2014 according to the years since being licensed (i.e. years in practice). For paralegals, the years in practice are grouped as follows:

- 0 to 1 year since licensed;
- 2 to 3 years since licensed;
- 4 to 5 years since licensed; and
- More than 5 since licensed.

## Findings

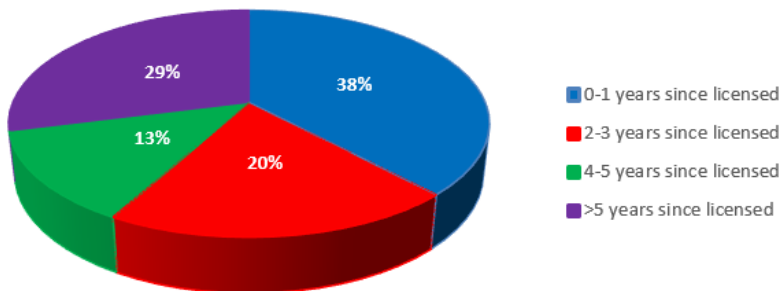
As at December 31, 2014<sup>4</sup>, the breakdown of all paralegals in active practice by years since being licensed was (see graph at left, below):

- 38% of all paralegals had been licensed between 0 to 1 year;
- 20% of all paralegals had been licensed between 2 to 3 years;
- 13% of all paralegals had been licensed for 4 to 5 years; and
- 29% of all paralegals had been licensed for more than 5 years.

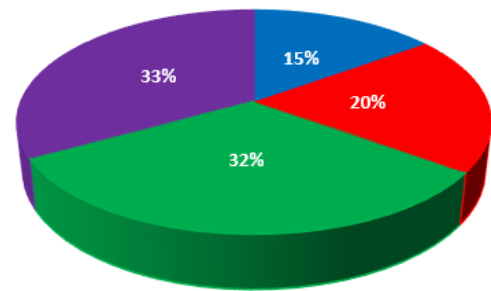
It is expected that the breakdown of paralegals who received complaints in Professional Regulation would mirror the above breakdown. However, as shown in the graph at right, below:

- Paralegals who have been licensed to provide legal services for up to 1 year make up 38% of all licensed paralegals. However, this group only received 15% of all complaints received in Professional Regulation.
- Paralegals who have been licensed for 4 to 5 years received 32% of all complaints received in Professional Regulation while only constituting 13% of all paralegals.

Paralegals in practice by years since licensed (%)



Paralegals in practice against whom a complaint was made in 2014 by years since licensed (%)



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<sup>4</sup> As at December 31, 2014, there were 5,360 paralegals in active practice.

### C. TYPES OF COMPLAINTS

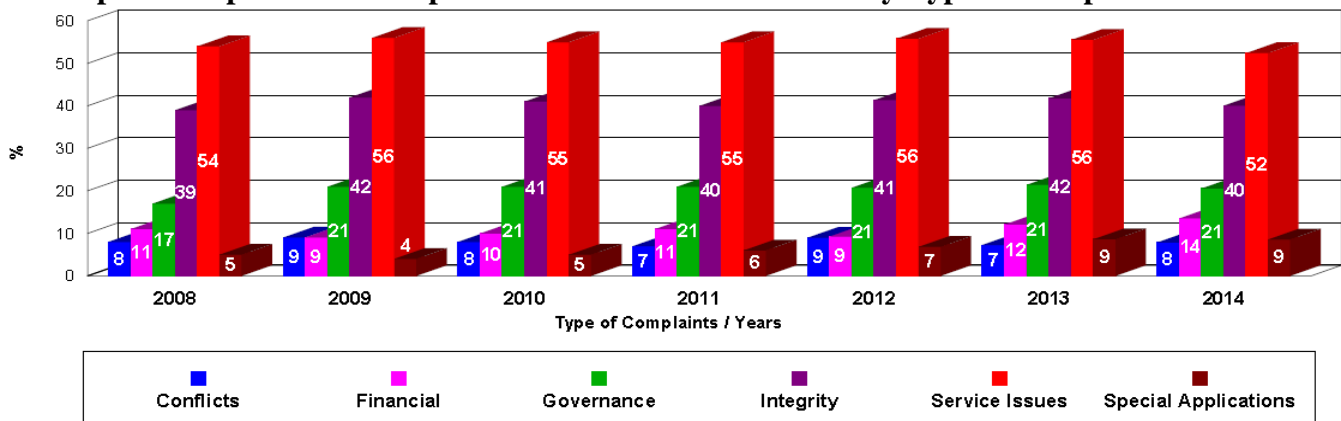
#### a) Complaints Received in 2008 to 2014 by Type of Complaint

Allegations raised in complaints received by Professional Regulation are classified according to a set of 6 case types. A list of these case types (and the corresponding allegations associated with the case types) is found at **Appendix A**.

The following chart and graph show the breakdown of complaints received in 2008, 2009, 2010, 2011, 2012, 2013 and 2014 by type of complaint. Note that one complaint can have more than one case type and, therefore, the percent for each year can total more than 100.

|   | 2008          | 2009          | 2010          | 2011          | 2012          | 2013          | 2014          |
|---|---------------|---------------|---------------|---------------|---------------|---------------|---------------|
| <b>Total Number of Complaints received per year</b>   | <b>6796</b>   | <b>6876</b>   | <b>6762</b>   | <b>6608</b>   | <b>6528</b>   | <b>6442</b>   | <b>6155</b>   |
| <b>Total Number of Complaints listing a case type</b> | <b>4094</b>   | <b>4165</b>   | <b>4210</b>   | <b>4026</b>   | <b>4138</b>   | <b>4244</b>   | <b>4250</b>   |
| Conflicts   | 8%<br>(328)   | 9%<br>(354)   | 8%<br>(327)   | 7%<br>(306)   | 9%<br>(372)   | 7%<br>(309)   | 8%<br>(334)   |
| Financial   | 11%<br>(455)  | 9%<br>(357)   | 10%<br>(414)  | 11%<br>(480)  | 9%<br>(381)   | 12%<br>(513)  | 14%<br>(574)  |
| Governance  | 17%<br>(716)  | 21%<br>(883)  | 21%<br>(902)  | 21%<br>(881)  | 21%<br>(859)  | 21%<br>(909)  | 21%<br>(875)  |
| Integrity   | 39%<br>(1613) | 42%<br>(1741) | 41%<br>(1734) | 40%<br>(1623) | 41%<br>(1712) | 42%<br>(1773) | 40%<br>(1701) |
| Service Issues  | 54%<br>(2198) | 56%<br>(2316) | 55%<br>(2321) | 55%<br>(2252) | 56%<br>(2310) | 56%<br>(2357) | 52%<br>(2230) |
| Special Applications                                  | 5%<br>(189)   | 4%<br>(173)   | 5%<br>(229)   | 6%<br>(274)   | 7%<br>(282)   | 9%<br>(366)   | 9%<br>(365)   |
| Other Issues  | 5%<br>(213)   | 6%<br>(236)   | 5%<br>(202)   | 3%<br>(152)   | 4%<br>(171)   | 4%<br>(164)   | 3%<br>(146)   |

**Graph of the percent of complaints received in 2008 to 2014 by Type of Complaint**



As the graph demonstrates, the distribution of the types of complaints is similar in each of the seven years: the highest proportion of complaints received related to Services Issues while the lowest proportion of complaints received raised Conflict Issues.



## b) Types of Complaints Received in 2014, according to Size of Firm

This section analyzes the distribution of the various types of complaints received against lawyers and paralegals by firm size. A breakdown of the total number of complaints received in each case type is attached at **Appendix B**.

### Lawyers

The following graphs analyze the types of complaints received against lawyers in 2014 according to the size of firm. As noted previously, for lawyers, firm sizes are defined as follows:

- Sole practitioner;
- Firms with 2 to 10 licensees;
- Firms with 11 to 25 licensees;
- Firms with 26 to 50 licensees; and
- Firms with more than 50 licensees.

The following chart sets out the complaints received against lawyers by types of complaints in the five groups (see also Appendix B).

|   | Sole Practitioners   | Small Firms (2-10)   | Medium Firms (11-25) | Large Firms (26-50)  | X- Large Firms (over 50) |
|---|----------------------|----------------------|----------------------|----------------------|--------------------------|
|   | Number (% of Total*) | Number (% of Total*) | Number (% of Total*) | Number (% of Total*) | Number (% of Total*)     |
| <b>Total Complaints</b>                 | <b>1384 (100%)</b>   | <b>909 (100%)</b>    | <b>196 (100%)</b>    | <b>56 (100%)</b>     | <b>76 (100%)</b>         |
| Complaints alleging Conflict issue      | 162 (12%)            | 94 (10%)             | 22 (11%)             | 5 (9%)               | 10 (13%)                 |
| Complaints alleging Financial issue     | 179 (13%)            | 77 (8%)              | 16 (8%)              | 1 (2%)               | 1 (1%)                   |
| Complaints alleging Governance issue    | 196 (14%)            | 83 (9%)              | 25 (13%)             | 1 (2%)               | 0 (0%)                   |
| Complaints alleging Integrity issue     | 673 (49%)            | 426 (47%)            | 79 (40%)             | 36 (64%)             | 48 (63%)                 |
| Complaints alleging Service issue       | 888 (64%)            | 614 (68%)            | 121 (62%)            | 28 (50%)             | 33 (43%)                 |
| Complaints alleging Other issue         | 56 (4%)              | 53 (6%)              | 13 (7%)              | 3 (5%)               | 7 (9%)                   |
| Complaints alleging Special Application | 17 (1%)              | 5 (<1%)              | 0 (0%)               | 0 (0%)               | 0 (0%)                   |

\* As one complaint may contain more than one allegation, percentages will not total 100%.

The graphs below compare the percent of complaints that we expected to find for lawyers in the particular size of firm with the percent of complaints that was actually observed.

### Expected Findings

The calculation of the “expected finding” was based on the number of lawyers in active practice with a firm size designated in the Law Society’s membership database as at December 31, 2014.<sup>5</sup>

As of that date:

- 33% of lawyers were sole practitioners. Hence it was expected that 33% of complaints received would be against sole practitioners;

<sup>5</sup> As at December 31, 2014, there were 23,987 lawyers in active practice with a firm size designated in the Law Society’s database.

- 30% of lawyers were in firms with 2 to 10 licensees. Hence it was expected that 30% of complaints received would be against lawyers in these firms;
- 9% of lawyers were in firms with 11 to 25 licensees. Hence it was expected that 9% of complaints received would be against lawyers in these firms; and
- 7% of lawyers were in firms with 26 to 50 licensees. Hence it was expected that 7% of complaints received would be against lawyers in these firms.
- 19% of lawyers were in firms with more than 50 licensees. Hence it was expected that 19% of complaints received would be against lawyer in these firms.

**Summary of Observed Findings**

In the graphs that follow, a significant finding is noted by an asterisk (\*) beside the firm size.

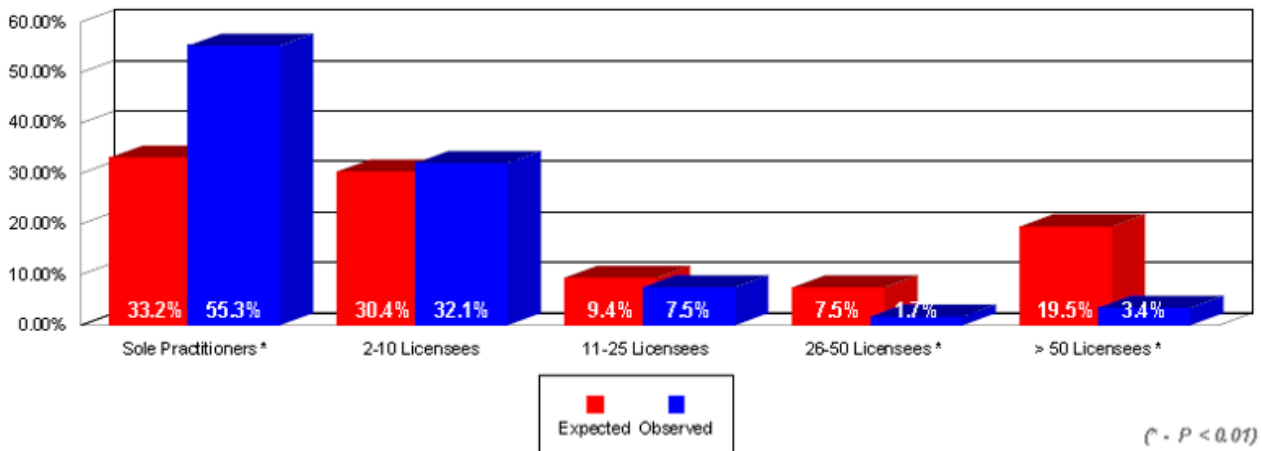
As in previous years:

- with respect to lawyers in sole practice, the observed percent of complaints received was significantly higher for all types of complaints than the percent that was expected.
- with respect to lawyers in larger firms (i.e. 26 to 50 licensees and > 50 licensees), the observed percent of complaints received was significantly lower for all types of complaints than the percent that was expected.

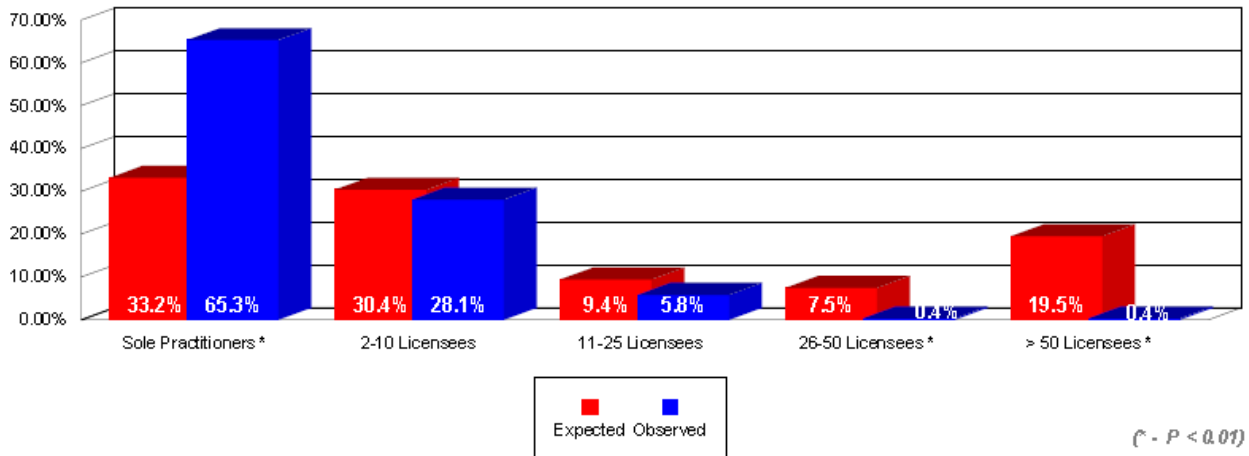
With respect to lawyers practising in firms with 2 to 10 licensees, the observed percent of complaints received was significantly higher than the percent that was expected only in complaints raising service issues. The differences noted between the observed and expected findings for the other types of complaints were not significant.

With respect to lawyers practising in firms with 11 to 25 licensees, the observed percent of complaints received was significantly lower than the percent that was expected in complaints raising governance and integrity issues. The differences noted between the observed and expected findings for other issues were not significant.

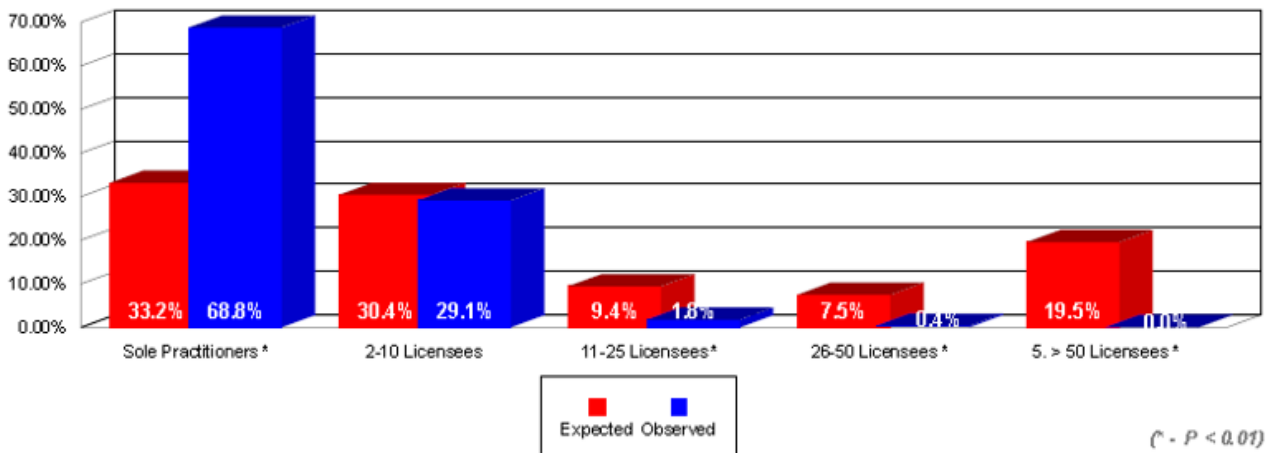
***Percent of complaints against Lawyers raising Conflict Issues received in 2014, by firm size***



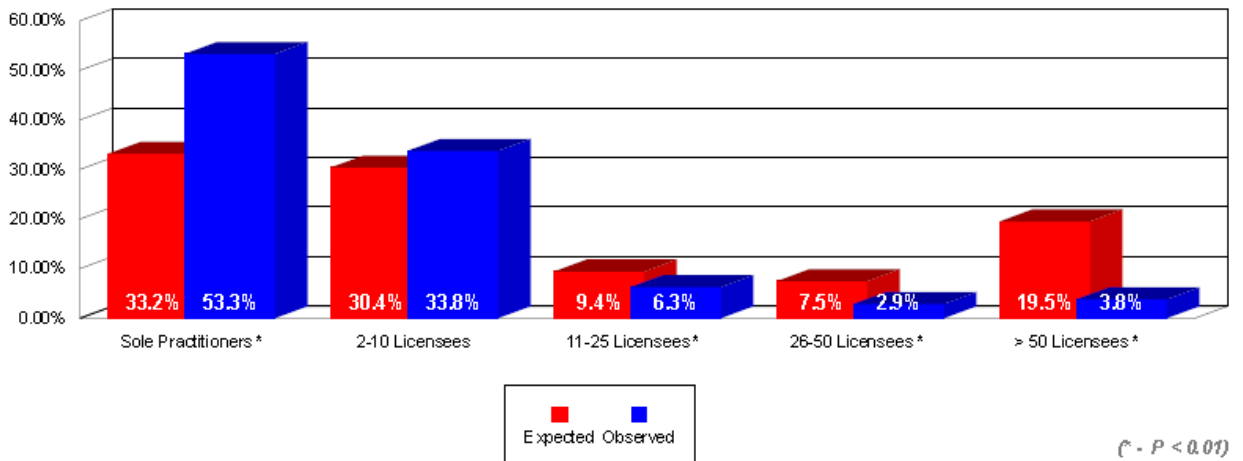
*Percent of complaints against Lawyers raising Financial Issues received in 2014, by firm size*



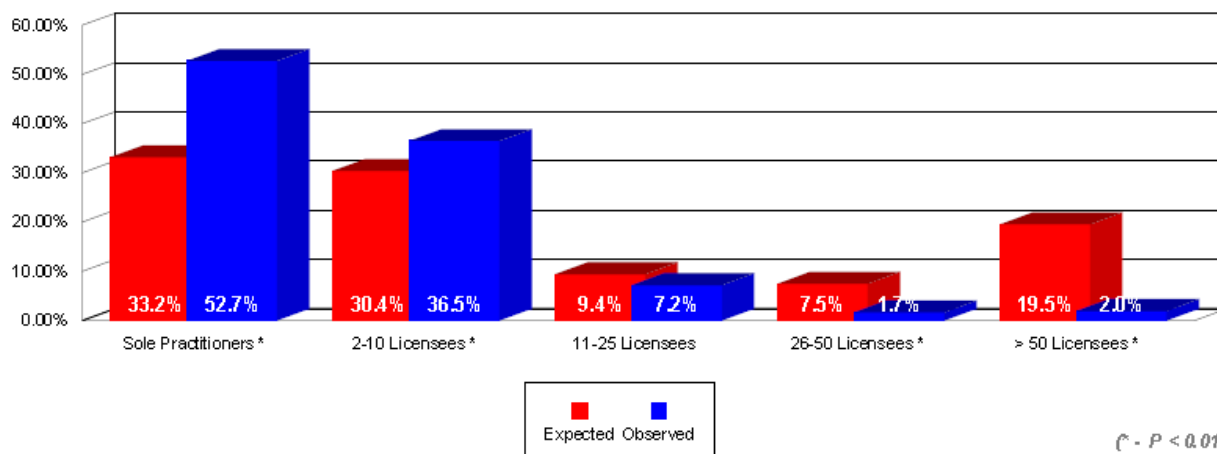
*Percent of complaints against Lawyers raising Governance Issues received in 2014, by firm size*



*Percent of complaints against Lawyers raising Integrity Issues received in 2014, by firm size*



*Percent of complaints against Lawyers raising Services Issues received in 2014, by firm size*



**Paralegals**

The following graphs analyze the types of complaints received against paralegals in 2014, according to the size of firm. As noted previously, for paralegals, firm sizes are defined as follows:

- Sole practitioner;
- Firms with 2 to 3 licensees;
- Firms with 4 to 6 licensees; and
- Firms with more than 6 licensees.

The following chart sets out the complaints received against paralegals by types of complaints in the four groups (see also Appendix B).

|   | Sole Practitioners      | Firms with 2-3 licensees | Firms with 4- 6 licensees | Firms with > 6 licensees |
|---|-------------------------|--------------------------|---------------------------|--------------------------|
|   | Number<br>(% of Total*) | Number<br>(% of Total*)  | Number<br>(% of Total*)   | Number<br>(% of Total*)  |
| <b>Total Complaints</b>                 | <b>336 (100%)</b>       | <b>74 (100%)</b>         | <b>35 (100%)</b>          | <b>11 (100%)</b>         |
| Complaints alleging Conflict issue      | 7 (2%)                  | 2 (3%)                   | 3 (9%)                    | 1 (9%)                   |
| Complaints alleging Financial issue     | 17 (5%)                 | 8 (11%)                  | 0 (0%)                    | 0 (0%)                   |
| Complaints alleging Governance issue    | 81 (24%)                | 15 (20%)                 | 11 (31%)                  | 3 (27%)                  |
| Complaints alleging Integrity issue     | 118 (35%)               | 55 (74%)                 | 20 (57%)                  | 8 (73%)                  |
| Complaints alleging Service issue       | 128 (38%)               | 40 (54%)                 | 15 (43%)                  | 4 (36%)                  |
| Complaints alleging Other issue         | 2 (<1%)                 | 1 (1%)                   | 1 (3%)                    | 1 (9%)                   |
| Complaints alleging Special Application | 1 (<1%)                 | 1 (1%)                   | 0 (0%)                    | 0 (0%)                   |

\* As one complaint may contain more than one allegation, percentages will not total 100%.

The graphs below compare the percent of complaints that we expected to find for paralegals in the particular size of firm with the percent of complaints that was actually observed.

### **Expected Findings**

The calculation of the “expected finding” was based on the number of paralegals in active practice with a firm size designated in the Law Society’s membership database as at December 31, 2014.<sup>6</sup> As of that date:

- 51% of paralegals were sole practitioners. Hence it was expected that 51% of complaints received would be against paralegals in sole practice;
- 20% of paralegals were in firms with 2 to 3 licensees. Hence it was expected that 20% of complaints received would be against paralegals in these firms;
- 12% of paralegals were in firms with 4 to 6 licensees. Hence it was expected that 12% of complaints received would be against paralegals in these firms; and
- 17% of paralegals were in firms with more than 6 licensees. Hence it was expected that 17% of complaints received would be against paralegals in these firms.

### **Summary of Observed Findings**

In the graphs that follow, a significant finding is noted by an asterisk (\*) beside the firm size.

The number of complaints which raised conflicts or financial issues were too few to make any assessment of the differences between expected and observed findings.

Licensed paralegals providing legal services as sole practitioners received a significantly higher percent of complaints raising governance and service issues than was expected.

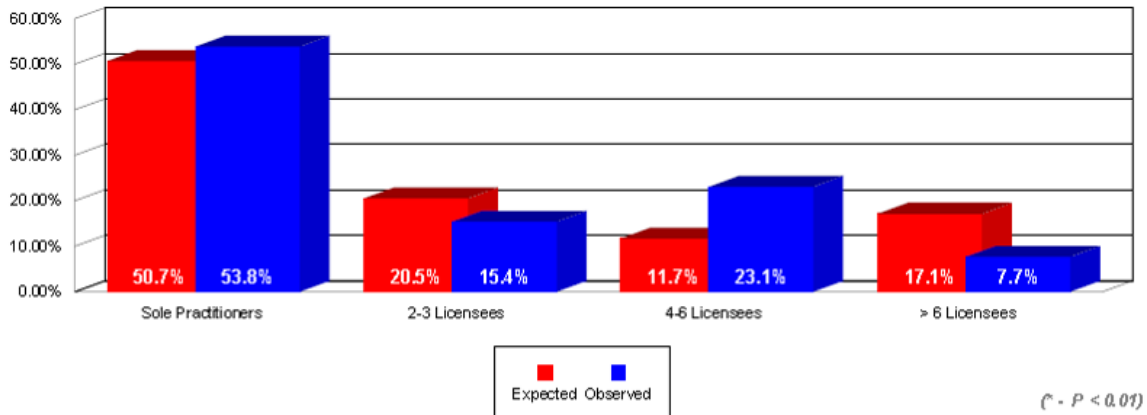
With respect to licensed paralegals in firms with 2 to 3 and 4 to 6 licensees, no significant differences between expected and observed findings were noted in any type of complaint.

With respect to licensed paralegals in firms with more than 6 licensees, the observed percent of complaints received was significantly lower than the percent that was expected for governance, integrity and services issues.

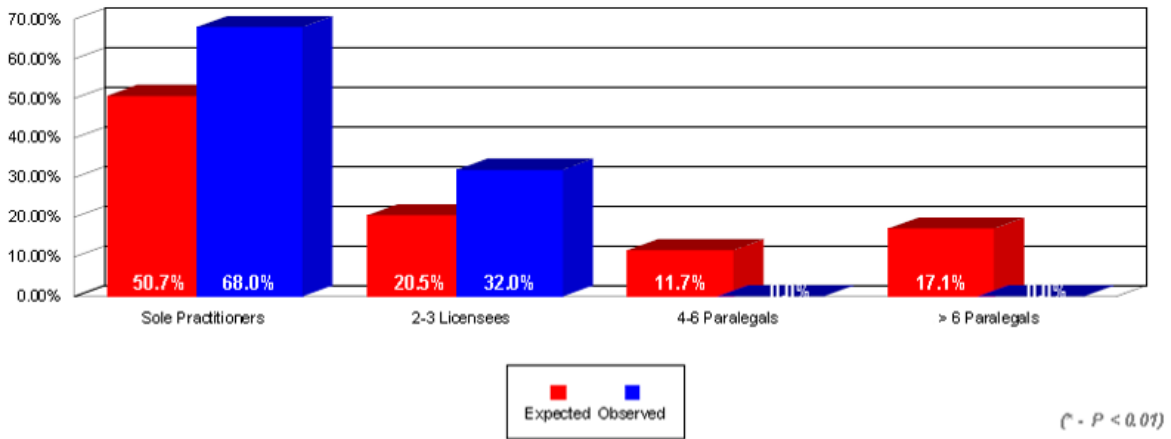
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<sup>6</sup> As at December 31, 2014, there were 3,254 licensed paralegals in active practice with a firm size designated in the Law Society’s database.

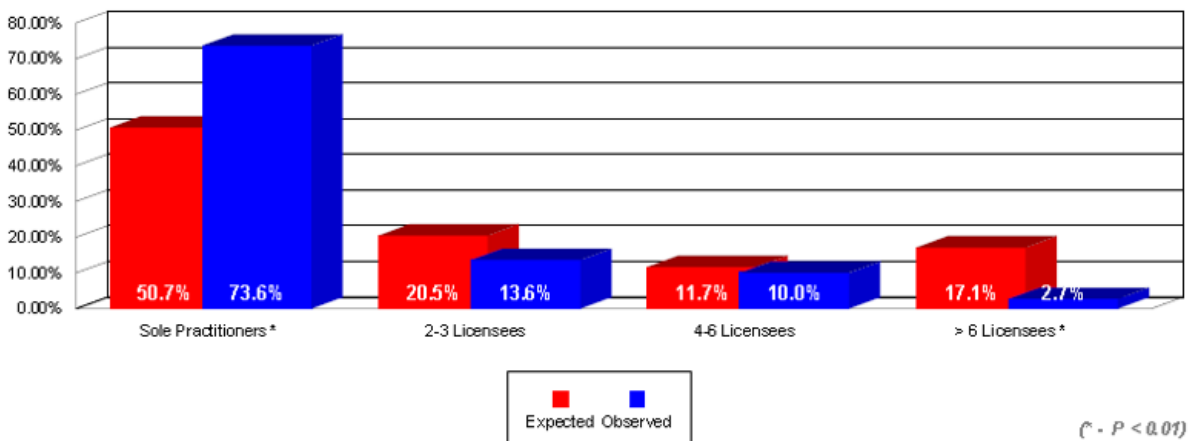
*Percent of complaints against Paralegals raising Conflict Issues received in 2014, by firm size*



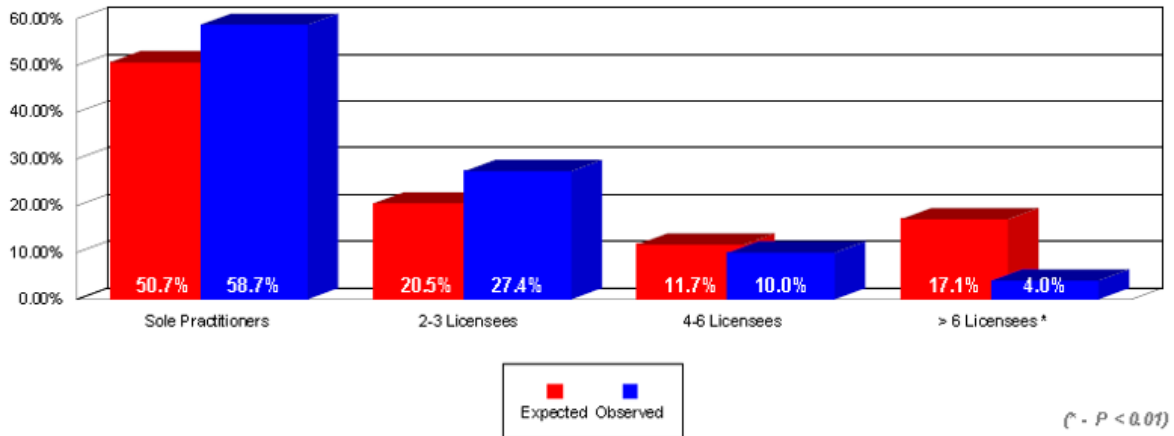
*Percent of complaints against Paralegals raising Financial Issues received in 2014, by firm size*



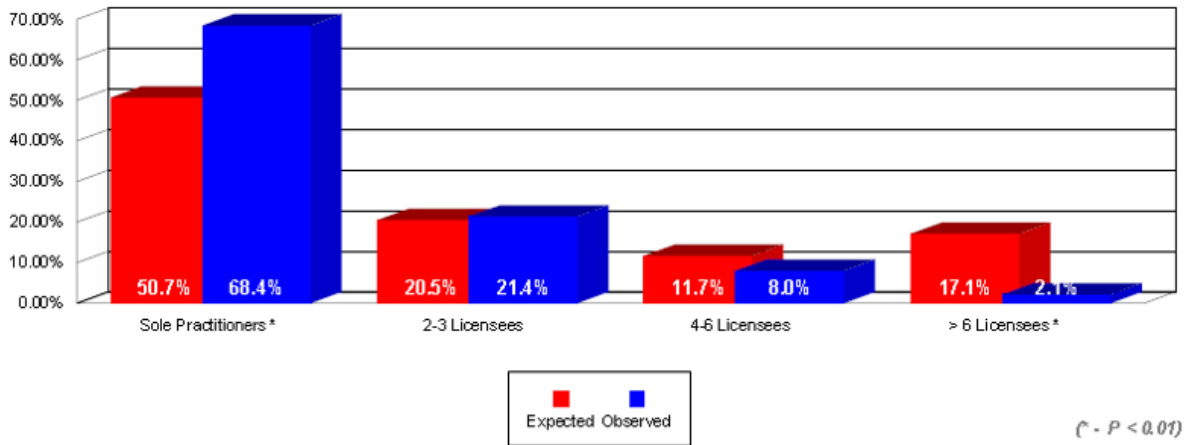
*Percent of complaints against Paralegals raising Governance Issues received in 2014, by firm size*



*Percent of complaints against Paralegals raising Integrity Issues received in 2014, by firm size*



*Percent of complaints against Paralegals raising Services Issues received in 2014, by firm size*



**c) Types of Complaints Received in 2014, according to Years in Practice**

The following graphs analyze the percent of complaints received by lawyers and paralegals in 2014 in the top 5 case types (Conflicts, Financial, Governance, Integrity and Service Issues) according to the number of years since the licensee was licensed (“years in practice”). A breakdown of the total number of complaints received by each group in each of the complaint types in 2014 is attached at **Appendix C**.

**Lawyers**

The following graphs analyze the types of complaints received against lawyers in 2014 according to the years in practice. For lawyers, the years in practice are grouped as follows:

- 0 – 5 years in practice;
- 6 – 10 years in practice;
- 11 – 15 years in practice;
- 16 – 20 years in practice;

- 21 – 25 years in practice;
- 26 – 30 years in practice; and
- Over 30 years in practice.

The graphs compare the percent of complaints that we expected to find for lawyers in each of the identified groups with the percent of complaints that was actually observed.

### **Expected Findings**

The calculation of the “expected finding” was based on the number of lawyers in active practice as at December 31, 2014.<sup>7</sup> As of that date:

- 20% of lawyers had been practising between 0 – 5 years. Hence it was expected that 20% of complaints received would be against lawyers in this group.
- 15% of lawyers had been practicing between 6 – 10 years. Hence it was expected that 15% of complaints received would be against lawyers in this group.
- 15% of lawyers had been practising between 11 – 15 years. Hence it was expected that 15% of complaints received would be against lawyers in this group.
- 11% of lawyers had been practising between 16 – 20 years. Hence it was expected that 11% of complaints received would be against lawyers in this group.
- 10% of lawyers had been practising between 21 – 25 years. Hence it was expected that 10% of complaints received would be against lawyers in this group.
- 9% of lawyers had been practising between 26 – 30 years. Hence it was expected that 9% of complaints received would be against lawyers in this group.
- 20% of lawyers had been practising for more than 30 years. Hence it was expected that 20% of complaints received would be against lawyers in this group.

### **Summary of Observed Findings**

In the graphs that follow, a significant finding is noted by an asterisk (\*) beside the “years in practice” group.

As in previous years, with respect to lawyers who have been in practice for 5 years or less, the observed percent of complaints that was received was significantly lower than the percent of complaints that we expected this group to receive for all types of complaints.

With respect to lawyers who have been in practice for more than 30 years, the observed percent of complaints that was received was significantly higher than the expected finding for all types of complaints except for complaints raising financial issues. No significant difference was noted in financial complaints.

Lawyers who have been in practice for 6 to 10 years received a significantly lower percent of complaints raising financial issues only. Any differences noted between the observed and expected findings for the other types of complaints were not significant

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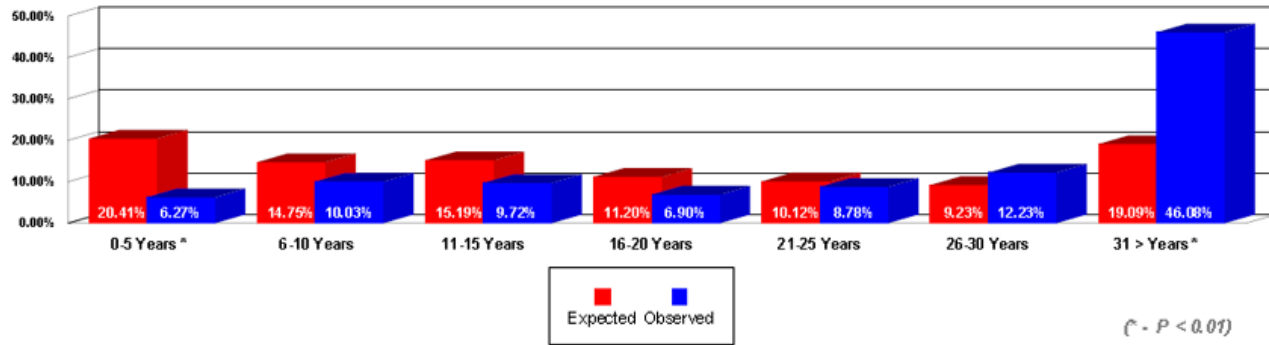
<sup>7</sup> As of December 31, 2014, there were 37,204 lawyers in active practice.



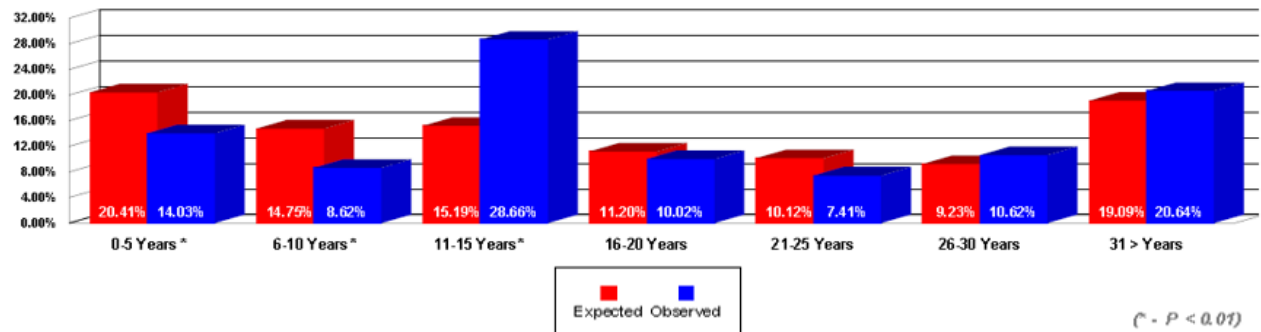
Lawyers who have been in practice for 11 to 15 years received a significantly higher percent of complaints raising financial issues but a significantly lower percent of complaints raising service issues than was expected. The differences noted between the observed and expected findings for the other types of complaints were not significant

No significant differences were noted in the 16 to 20, 21 to 25 and 26 to 30 year groups.

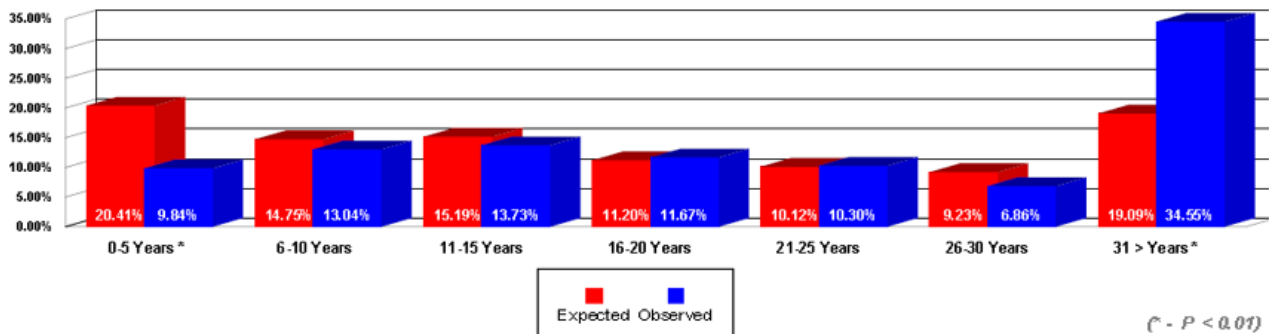
***Percent of complaints against Lawyers raising Conflict Issues received in 2014, by years in practice***



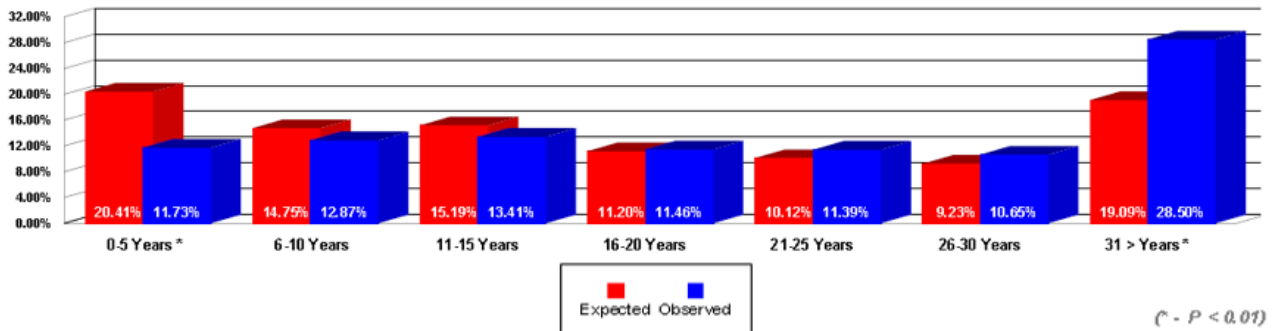
***Percent of complaints against Lawyers raising Financial Issues received in 2014, by years in practice***



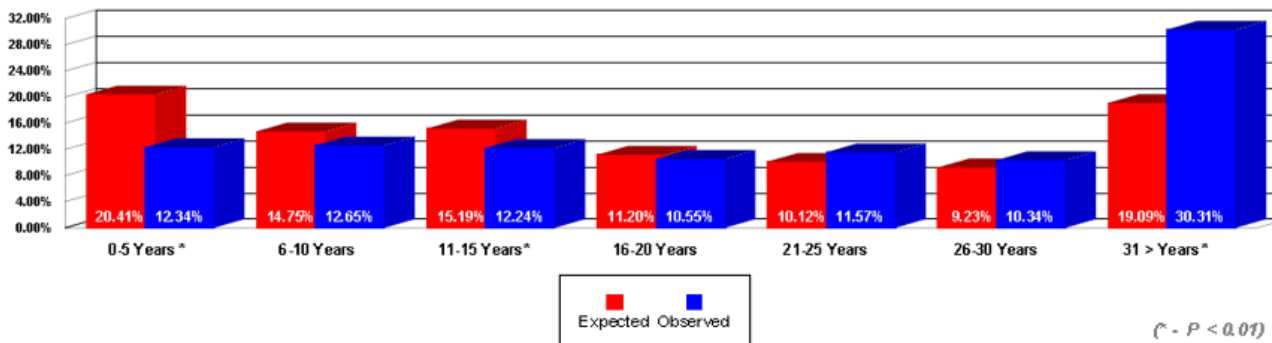
***Percent of complaints against Lawyers raising Governance Issues received in 2014, by years in practice***



*Percent of complaints against Lawyers raising Integrity Issues received in 2014, by years in practice*



*Percent of complaints against Lawyers raising Services Issues received in 2014, by years in practice*



**Paralegals**

The following graphs analyze the types of complaints received against paralegals in 2014 according to the years since being licensed (“years in practice”). For paralegals, the years in practice are grouped as follows:

- 0 - 1 year;
- 2 - 3 years; and
- 4 - 5 years; and
- More than 5 years.

**Expected Findings**

The calculation of the “expected finding” was based on the number of paralegals in active practice as at December 31, 2014.<sup>8</sup> As of that date:

- 38% of paralegals had been licensed between 0 – 1 year. Hence it was expected that 38% of complaints received against paralegals would be against paralegals in this group.
- 20% of paralegals had been licensed between 2 – 3 years. Hence it was expected that 20% of complaints received against paralegals would be against paralegals in this group.

<sup>8</sup> As of December 31, 2014, there were 5,360 licensed paralegals in active practice.

- 13% of paralegals had been licensed 4 – 5 years. Hence it was expected that 13% of complaints received against paralegals would be against paralegals in this group.
- 29% of paralegals had been licensed more than 5 years. Hence it was expected that 29% of complaints received against paralegals would be against paralegals in this group.

**Summary of Observed Findings**

In the graphs that follow, a significant finding is noted by an asterisk (\*) beside the firm size.

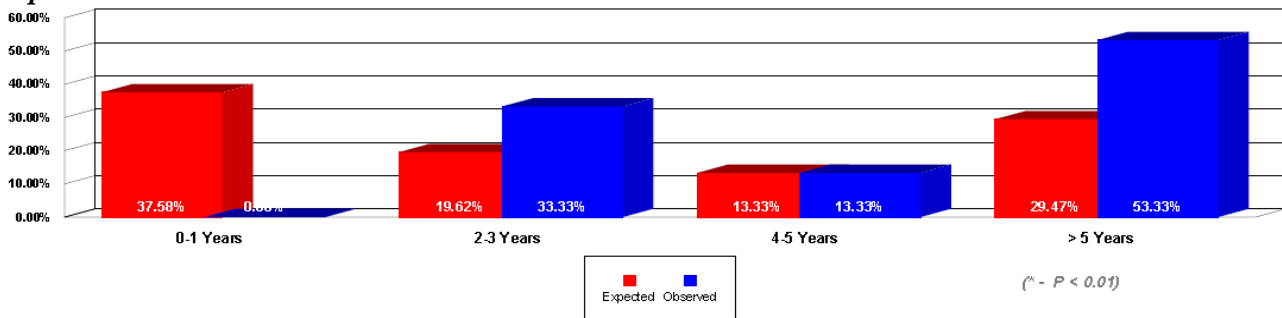
Given the small number of complaints against licensed paralegals which raised conflict issues, no assessment of the differences between expected and observed findings could be made.

Paralegals in their first year of being licensed received a significantly lower percent of the remaining types of complaints than was expected, except for financial complaints. This group received too few complaints raising financial issues (7) to make any assessment of the noted differences.

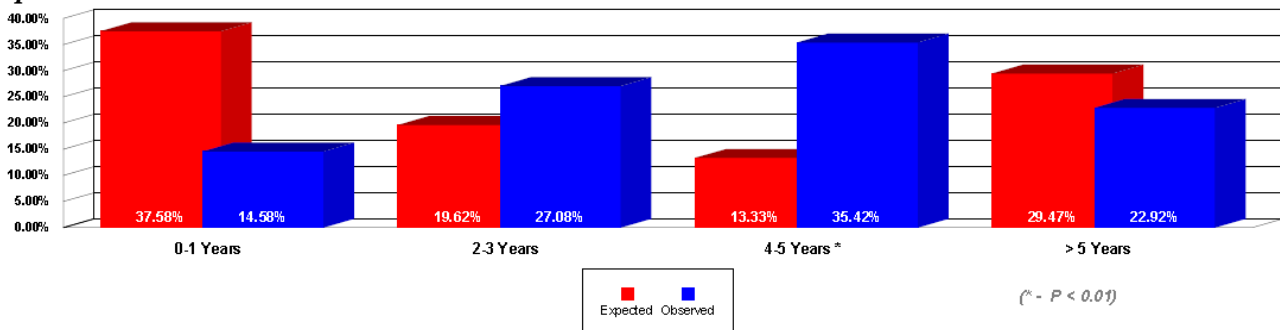
Paralegals who have been licensed for 4 to 5 years, had a significantly higher percent of all other types of complaints than was expected (i.e. financial, governance, integrity and service-related complaints).

No significant differences were noted in the 2 to 3 and more than 5 year groups.

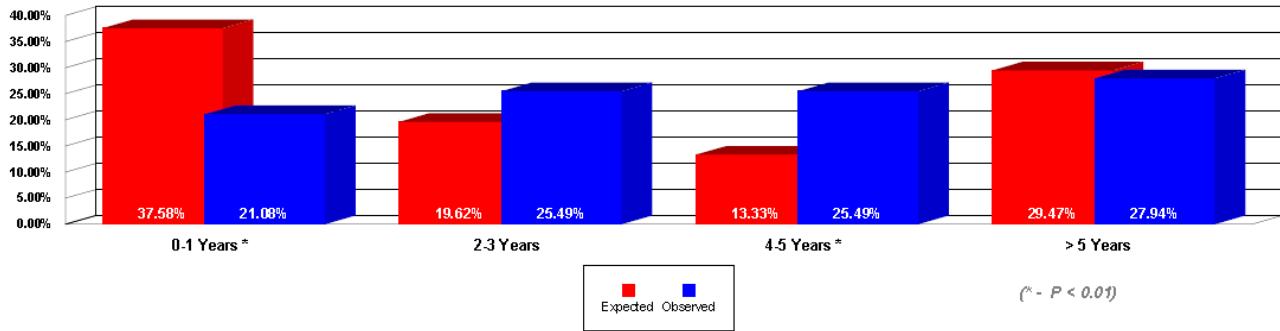
***Percent of complaints against Paralegals raising Conflict Issues received in 2014, by years in practice***



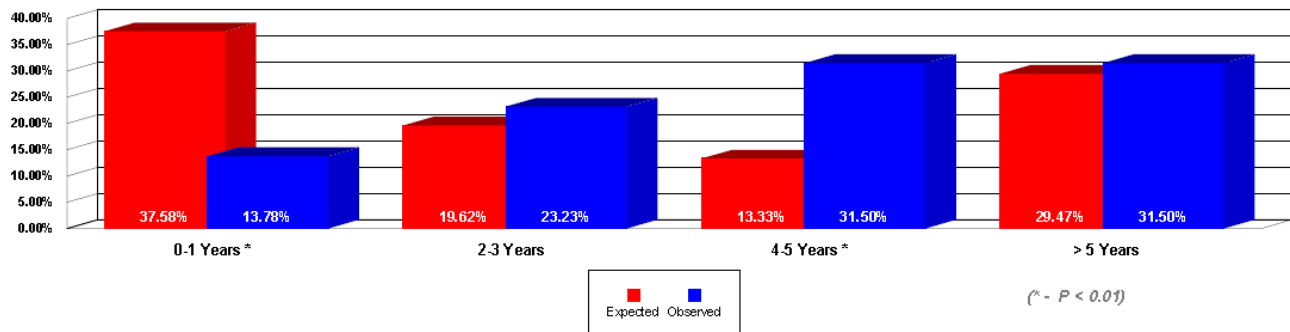
***Percent of complaints against Paralegals raising Financial Issues received in 2014, by years in practice***



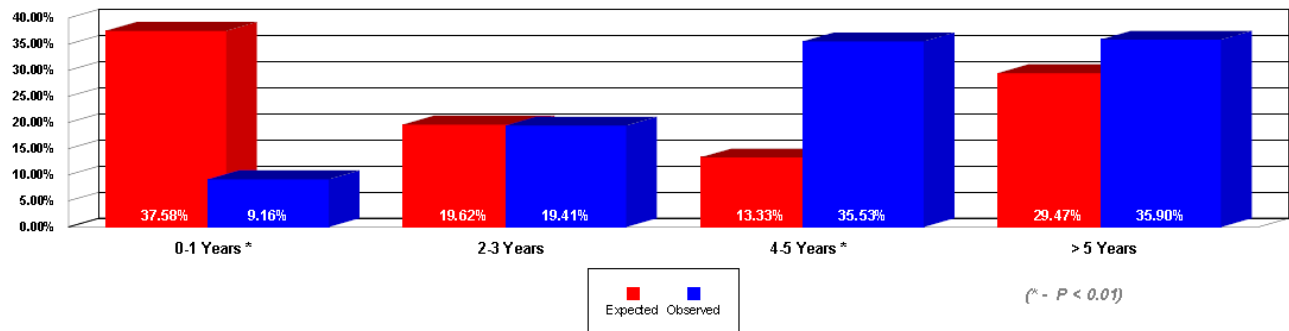
*Percent of complaints against Paralegals raising Governance Issues received in 2014, by years in practice*



*Percent of complaints against Paralegals raising Integrity Issues received in 2014, by years in practice*



*Percent of complaints against Paralegals raising Services Issues received in 2014, by years in practice*



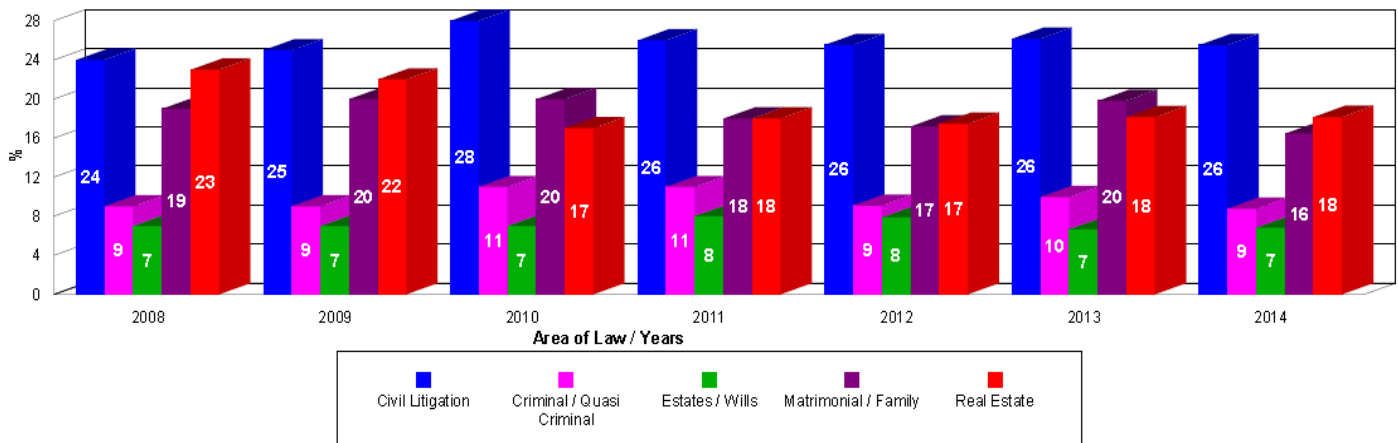
## D. AREA OF LAW

### a) Complaints Received By Area of Law for 2008 to 2014

The data for all years was calculated based on the number of complaints which actually listed an area of law. Cases which do not include an area of law (for example, cases which raised issues outside of the Law Society’s jurisdiction) were excluded.

|   | 2008          | 2009          | 2010          | 2011          | 2012          | 2013          | 2014          |
|---|---------------|---------------|---------------|---------------|---------------|---------------|---------------|
| <b>Total Number of Complaints received per year</b>   | <b>6796</b>   | <b>6876</b>   | <b>6762</b>   | <b>6608</b>   | <b>6528</b>   | <b>6442</b>   | <b>6155</b>   |
| <b>Total Number Complaints listing an area of law</b> | <b>5078</b>   | <b>5386</b>   | <b>5601</b>   | <b>5174</b>   | <b>5466</b>   | <b>5139</b>   | <b>5075</b>   |
| <b>Civil Litigation</b>                               | 24%<br>(1199) | 25%<br>(1357) | 28%<br>(1107) | 26%<br>(1337) | 26%<br>(1396) | 26%<br>(1033) | 26%<br>(1299) |
| <b>Criminal/Quasi Criminal</b>                        | 9%<br>(461)   | 9%<br>(487)   | 11%<br>(432)  | 11%<br>(543)  | 9%<br>(496)   | 10%<br>(393)  | 9%<br>(442)   |
| <b>Estates/Wills</b>                                  | 7%<br>(355)   | 7%<br>(394)   | 7%<br>(282)   | 8%<br>(423)   | 8%<br>(431)   | 7%<br>(263)   | 7%<br>(357)   |
| <b>Matrimonial/Family</b>                             | 19%<br>(958)  | 20%<br>(1055) | 20%<br>(784)  | 18%<br>(907)  | 17%<br>(940)  | 20%<br>(783)  | 16%<br>(850)  |
| <b>Real Estate</b>                                    | 23%<br>(1147) | 23%<br>(1246) | 17%<br>(679)  | 18%<br>(932)  | 17%<br>(954)  | 17%<br>(677)  | 18%<br>(920)  |

Graph Showing Percent of Complaints Received By Area of Law for 2008 to 2014



The above graph demonstrates the breakdown of complaints by area of law for the seven years in question. In each year, Civil Litigation, Real Estate, Matrimonial/Family and Criminal/Quasi-Criminal were the four areas of law receiving the most complaints. The above graph also reveals that the distribution of complaints by area of law was stable throughout the seven year period, with only small, minor differences.

**b) Complaints Received in 2014 by Area of Law according to Size of Firm**

The following graphs look at the areas of law specified in the complaints which were received the most for lawyers (matrimonial/family, real estate, civil litigation, and criminal/quasi-criminal) and for paralegals (civil litigation and criminal/quasi-criminal). Each graph analyzes the distribution of complaints received in 2014 by the size of firm. A breakdown of the total number of complaints received by each group in each area of law in 2014 is attached at **Appendix D**.

**Lawyers**

The following graphs analyze the complaints received against lawyers in 2014 by area of law according to the size of firm. Once again, for lawyers, firm sizes are defined as follows:

- Sole practitioner;
- Firms with 2 to 10 licensees;
- Firms with 11 to 25 licensees;
- Firms with 26 to 50 licensees; and
- Firms with > 50 licensees.

The following chart sets out the complaints received against lawyers according to area of law in the five groups (see also Appendix D).

|                               | Sole Practitioners   | Small Firms (2-10)   | Medium Firms (11-25) | Large Firms (26-50)  | X- Large Firms (over 50) |
|-------------------------------|----------------------|----------------------|----------------------|----------------------|--------------------------|
|                               | Number (% of Total*) | Number (% of Total*) | Number (% of Total*) | Number (% of Total*) | Number (% of Total*)     |
| <b>Total Complaints</b>       | <b>1360 (100%)</b>   | <b>890 (100%)</b>    | <b>196 (100%)</b>    | <b>56 (100%)</b>     | <b>76 (100%)</b>         |
| Civil Litigation              | 245 (18%)            | 277 (31%)            | 83 (42%)             | 38 (68%)             | 40 (53%)                 |
| Matrimonial / Family Law      | 358 (26%)            | 171 (19%)            | 46 (23%)             | 2 (4%)               | 6 (8%)                   |
| Real Estate                   | 333 (25%)            | 161 (18%)            | 30 (15%)             | 2 (4%)               | 8 (11%)                  |
| Criminal / Quasi-Criminal     | 132 (10%)            | 61 (7%)              | 7 (4%)               | 1 (2%)               | 5 (7%)                   |
| Estates / Wills               | 130 (10%)            | 80 (9%)              | 13 (7%)              | 1 (2%)               | 2 (3%)                   |
| Administrative / Immigration  | 101 (7%)             | 66 (7%)              | 8 (4%)               | 8 (14%)              | 8 (11%)                  |
| Corporate/Commercial/Business | 59 (4%)              | 56 (6%)              | 12 (6%)              | 2 (4%)               | 7 (9%)                   |
| Other                         | 119 (9%)             | 89 (10%)             | 16 (8%)              | 6 (11%)              | 4 (5%)                   |

\* As more than one area of law may be identified in a complaint, percentages will not total 100%.

The graphs below compare the percent of complaints that we expected to find for lawyers in the particular size of firm with the percent of complaints that was actually observed.

### **Expected Findings**

As noted previously, the calculation of the “expected finding” was based on the number of lawyers in active practice with a firm size designated in the Law Society’s membership database as at December 31, 2014.<sup>9</sup> As of that date:

- 33% of lawyers were sole practitioners. Hence it was expected that 33% of complaints received would be against sole practitioners;
- 30% of lawyers were in firms with 2 to 10 licensees. Hence it was expected that 30% of complaints received would be against lawyers in these firms;
- 9% of lawyers were in firms with 11 to 25 licensees. Hence it was expected that 9% of complaints received would be against lawyers in these firms;
- 7% of lawyers were in firms with 26 to 50 licensees. Hence it was expected that 7% of complaints received would be against lawyers in these firms; and
- 19% of lawyers were in firms with more than 50 licensees. Hence it was expected that 19% of complaints received would be against lawyers in these firms.

### **Summary of Observed Findings**

In the graphs which follow, a significant finding is noted by an asterisk (\*) beside the firm size.

As in previous years, lawyers who are in sole practice received a significantly higher percent of complaints in all areas of law with the exception of civil litigation complaints.

At the other end of the scale, lawyer who practice in firms with more than 50 licensees received a significantly lower than expected percent of complaints in all areas of law.

With respect to the remaining groups, the only significant findings were:

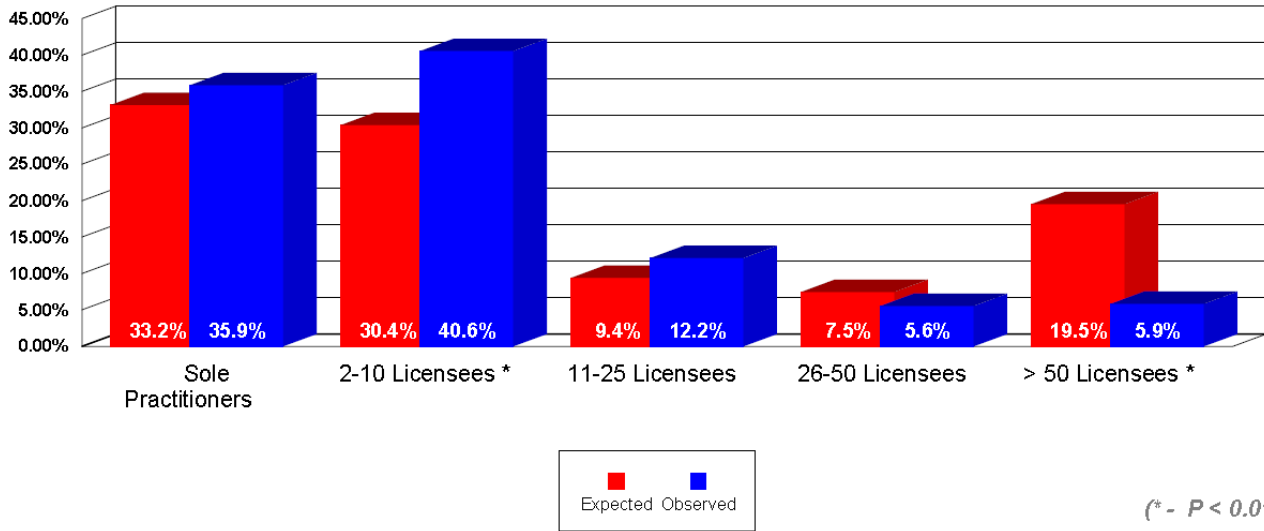
- lawyers practicing in firms with 2 to 10 licensees received a significantly higher than expected percent of complaints in the area of civil litigation.
- Lawyers practicing in firms with 26 to 50 licensees received a significantly lower than expected percent of complaints in the areas of criminal-quasi criminal, matrimonial/family and real estate law.

No differences were noted in the 11 to 24 licensee group.

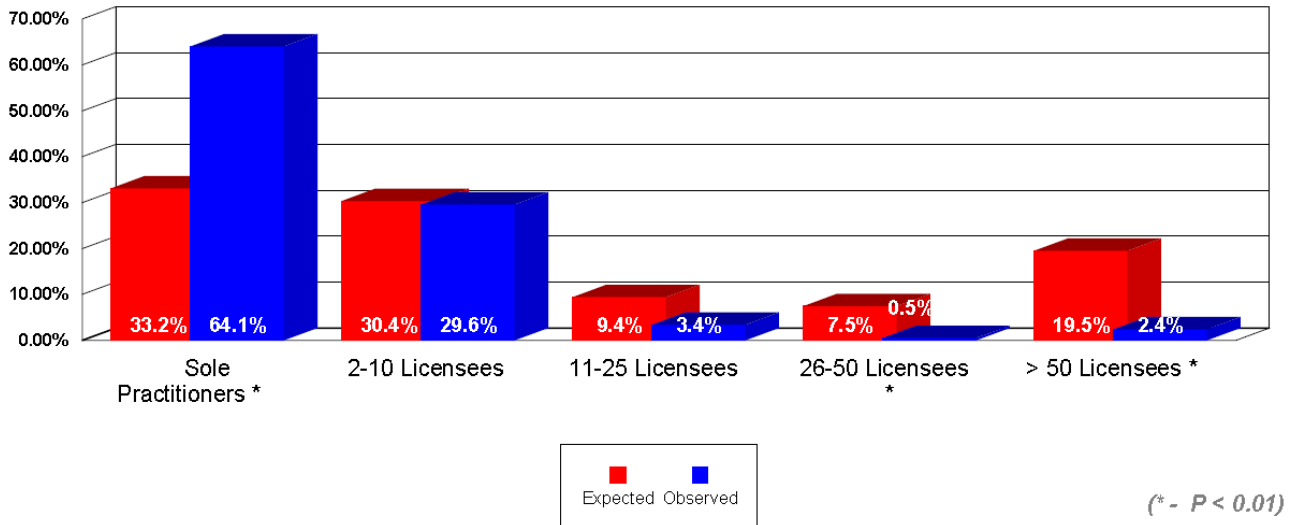
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<sup>9</sup> As at December 31, 2014, there were 23,987 lawyers in active practice with a firm size designated in the Law Society’s membership database.

*Percent of Civil Litigation complaints against Lawyers received in 2014 by size of firm*

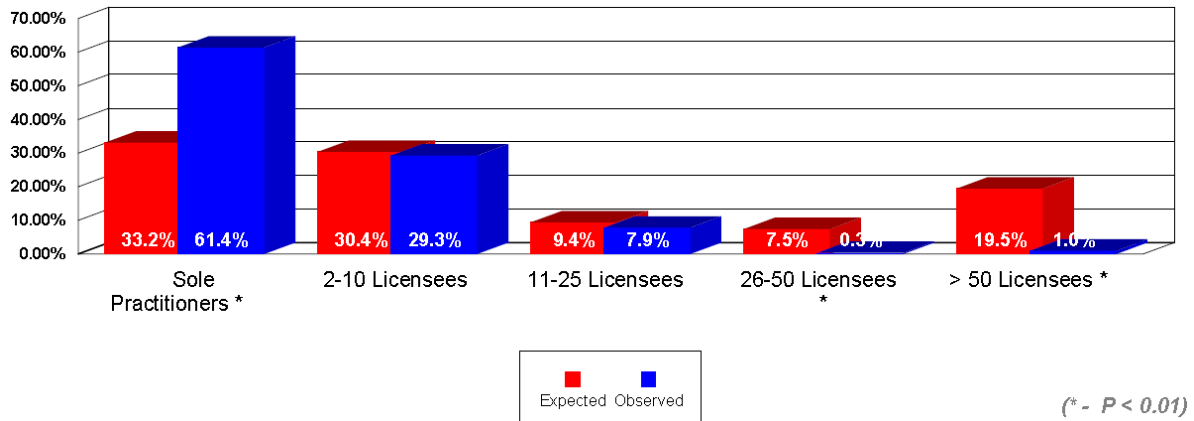


*Percent of Criminal/Quasi-Criminal complaints against Lawyers received in 2014, by size of firm*

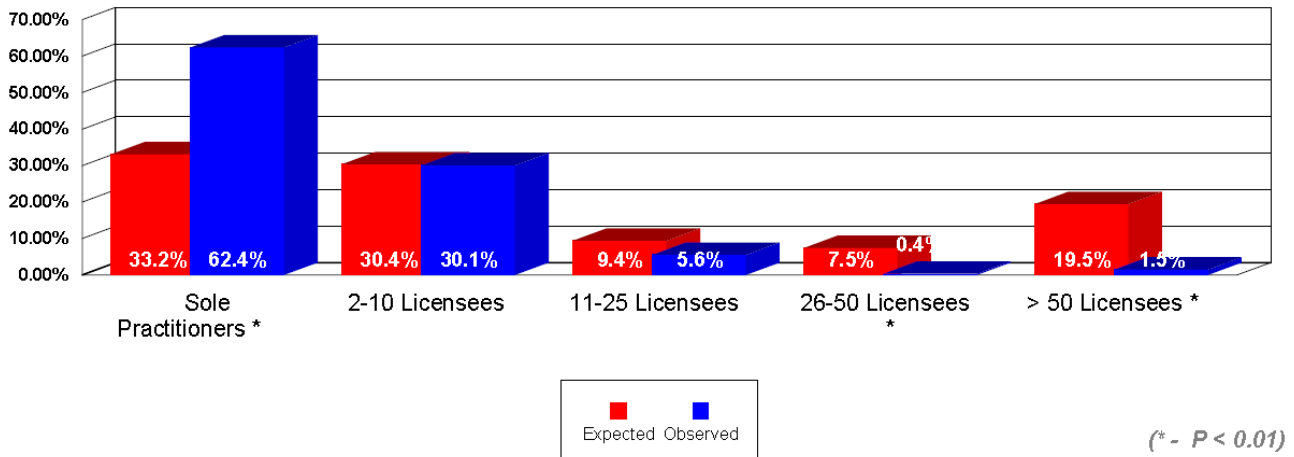




*Percent of Matrimonial/Family complaints against Lawyers received in 2014 by size of firm*



*Percent of Real Estate complaints against Lawyers received in 2013 by size of firm*



**Paralegals**

The following graphs analyze the complaints received against paralegals in 2014 by area of law according to the size of firm. As noted previously, for paralegals, firm sizes are defined as follows:

- Sole practitioner;
- Firms with 2 to 3 licensees;
- Firms with 4 to 6 licensees; and
- Firms with more than 6 licensees.

The following chart sets out the complaints received against paralegals according to area of law in the four groups (see also Appendix D).<sup>10</sup>

<sup>10</sup> Complaints against paralegals were received in other areas of law such as matrimonial / family law and corporate/commercial/business law. However, the numbers were too small to include. Please see Appendix D for a complete list.

**Report of the Executive Director, Professional Regulation, April 2016**  
**Analysis of Complaints Received by Professional Regulation in 2014**

|                             | <b>Sole Practitioners</b>   | <b>Firms with 2-3 licensees</b> | <b>Firms with 4-6 licensees</b> | <b>Firms with &gt; 6 licensees</b> |
|-----------------------------|-----------------------------|---------------------------------|---------------------------------|------------------------------------|
|                             | <b>Number (% of Total*)</b> | <b>Number (% of Total*)</b>     | <b>Number (% of Total*)</b>     | <b>Number (% of Total*)</b>        |
| <b>Total Complaints</b>     | <b>223 (100%)</b>           | <b>74 (100%)</b>                | <b>33 (100%)</b>                | <b>11 (100%)</b>                   |
| Civil Litigation            | 72 (32%)                    | 31 (42%)                        | 16 (49%)                        | 6 (55%)                            |
| Criminal / Quasi- Criminal  | 46 (21%)                    | 10 (14%)                        | 3 (9%)                          | 1 (9%)                             |
| Administrative /Immigration | 71 (32%)                    | 21 (28%)                        | 10 (30%)                        | 2 (18%)                            |
| Other                       | 24 (11%)                    | 12 (16%)                        | 4 (12%)                         | 0 (0%)                             |

\* As more than one area of law may be identified in a complaint, percentages may not total 100%.

The graphs below compare the percent of complaints that we expected to find for paralegals in the particular size of firm with the percent of complaints that was actually observed.

**Expected Findings**

The calculation of the “expected finding” was based on the number of paralegals in active practice with a firm size designated in the Law Society’s membership database as at December 31, 2014.<sup>11</sup> As at that date:

- 51% of paralegals were sole practitioners. Hence it was expected that 51% of complaints received would be against paralegals in sole practice;
- 20% of paralegals were in firms with 2 to 3 licensees. Hence it was expected that 20% of complaints received would be against paralegals in these firms;
- 12% of paralegals were in firms with 4 to 6 licensees. Hence it was expected that 12% of complaints received would be against paralegals in these firms; and
- 17% of paralegals were in firms with more than 6 licensees. Hence it was expected that 17% of complaints received would be against paralegals in these firms.

**Summary of Observed Findings**

In the graphs that follow, a significant finding is noted by an asterisk (\*) beside the firm size.

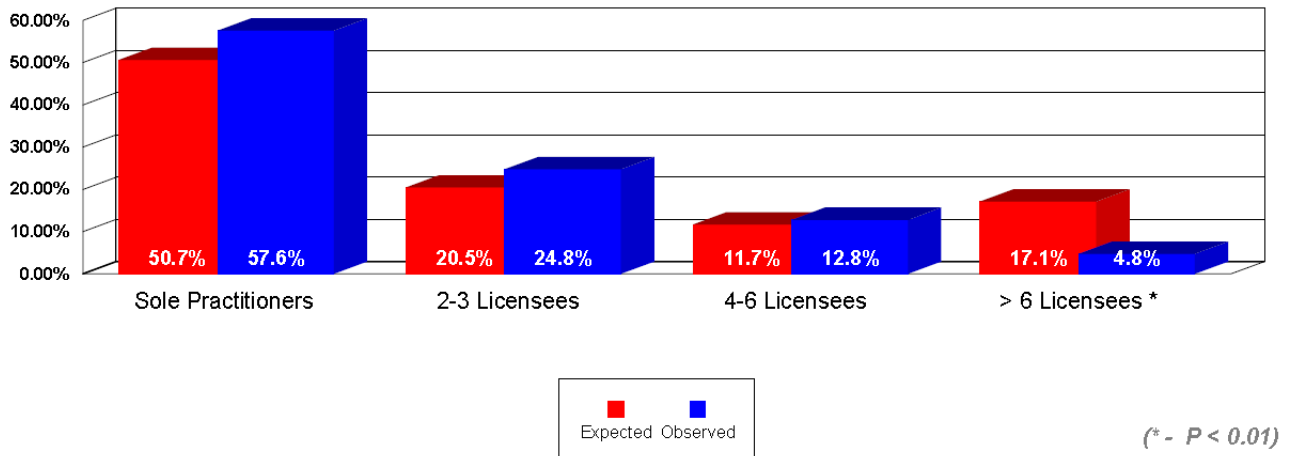
The only significant findings were:

- Paralegals in sole practice received a significantly higher percent of complaints in the area of criminal – quasi-criminal;
- Paralegals practicing in firms with more than 6 licensees received a significantly lower percent of complaints in the area of civil litigation.

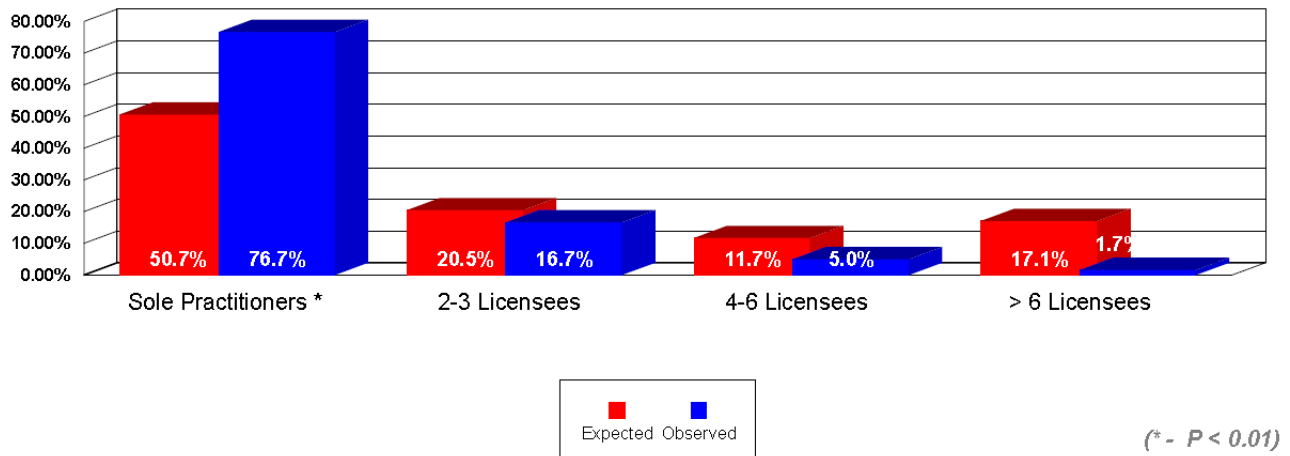
All other noted differences were not significant.

<sup>11</sup> As at December 31, 2013, there were 2,880 licensed paralegals in active practice with a firm size designated in the Law Society’s database.

*Percent of Civil Litigation complaints against Paralegals received in 2014 by size of firm*



*Percent of Criminal/Quasi-Criminal complaints against Paralegals received in 2014, by size of firm*



**c) Complaints Received in 2014 by Area of Law according to Years in Practice**

The following graphs analyze the percent of complaints received in 2014 in the areas of civil litigation, criminal/quasi-criminal, matrimonial/family law and real estate for lawyers and civil litigation and criminal/quasi-criminal law for paralegals according to the number of years since the licensees receiving the complaints have been licensed (i.e. years in practice). A breakdown of the total number of complaints received by each group in each area of law in 2014 is attached at **Appendix E**.

**Lawyers**

The following graphs analyze the complaints received against lawyers in 2014 by area of law according to the years in practice. For lawyers, the years in practice are grouped as follows:

- 0 – 5 years in practice;
- 6 – 10 years in practice;
- 11 – 15 years in practice;
- 16 – 20 years in practice;
- 21 – 25 years in practice;
- 26 – 30 years in practice; and
- Over 30 years in practice.

The graphs compare the percent of complaints that we expected to find for lawyers in each of the identified groups with the percent of complaints that was actually observed.

### **Expected Findings**

The calculation of the “expected finding” was based on the number of lawyers in active practice as at December 31, 2014.<sup>12</sup> As of that date:

- 20% of lawyers had been practising between 0 – 5 years. Hence it was expected that 20% of complaints received would be against lawyers in this group.
- 15% of lawyers had been practicing between 6 – 10 years. Hence it was expected that 15% of complaints received would be against lawyers in this group.
- 15% of lawyers had been practising between 11 – 15 years. Hence it was expected that 15% of complaints received would be against lawyers in this group.
- 11% of lawyers had been practising between 16 – 20 years. Hence it was expected that 11% of complaints received would be against lawyers in this group.
- 10% of lawyers had been practising between 21 – 25 years. Hence it was expected that 10% of complaints received would be against lawyers in this group.
- 9% of lawyers had been practising between 26 – 30 years. Hence it was expected that 9% of complaints received would be against lawyers in this group.
- 20% of lawyers had been practising for more than 30 years. Hence it was expected that 20% of complaints received would be against lawyers in this group.

### **Summary of Observed Findings**

In the graphs that follow, a significant finding is noted by an asterisk (\*) beside the “years in practice” group.

Lawyers practicing in the first 5 years had a significantly lower than expected percent of complaints in each area of law, except in the area of criminal – quasi-criminal law. The difference noted in the latter area of law was not significant.

With respect to the remaining groups:

- Lawyers in practice for 6 to 10 years and 16 to 20 years had a significantly lower than expected percent of complaints in the area of real estate law while lawyers in the 11 to 15 year group had a significantly higher than expected percent of complaints in this area. No other significant differences were noted for these three groups.

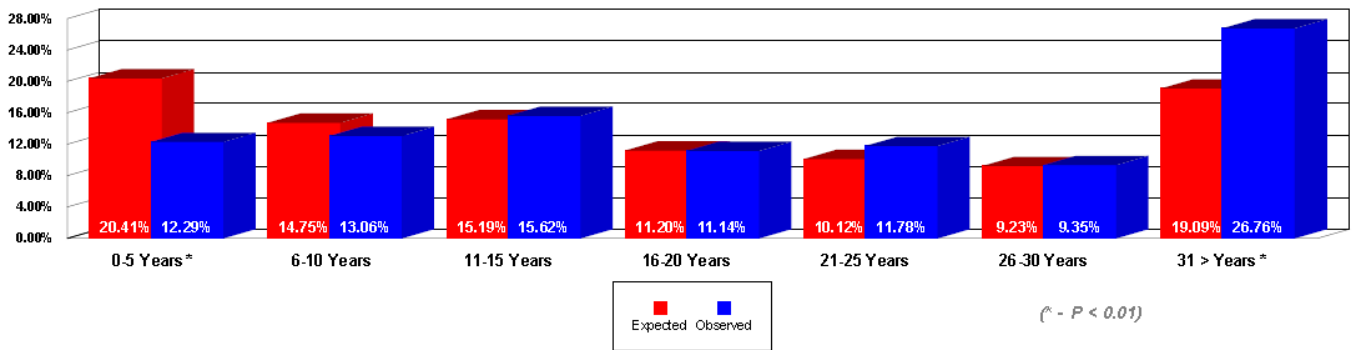
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<sup>12</sup> As of December 31, 2014, there were 37,204 lawyers in active practice.

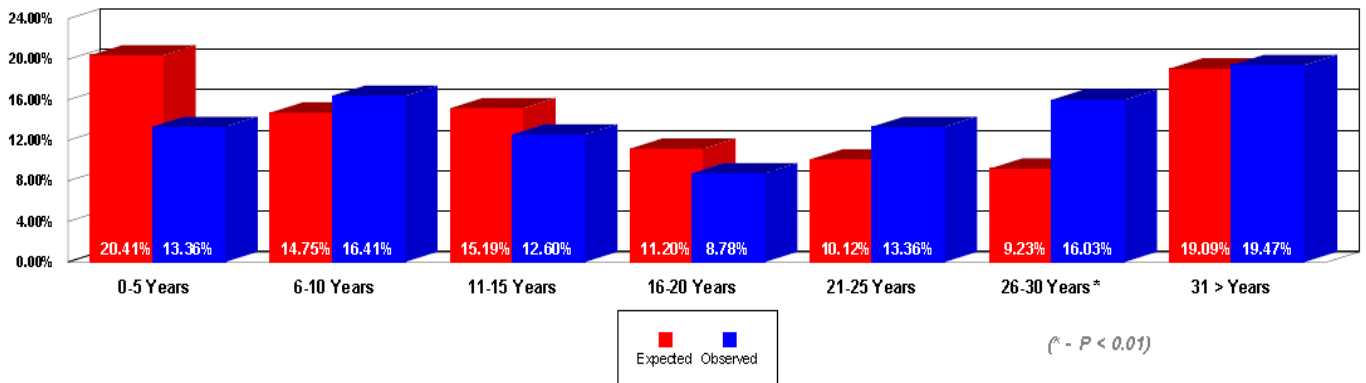
**Report of the Executive Director, Professional Regulation, April 2016**  
**Analysis of Complaints Received by Professional Regulation in 2014**

- Lawyers in practice for 26 to 30 years had a significantly higher than expected percent of complaints in the area of criminal-quasi criminal law. No other differences were noted for this group of lawyers.
- Lawyers in practice for more than 30 years had a significantly higher percent of complaints than was expected for complaints in the areas of civil litigation and real estate law.
- No significant findings were made with respect to lawyers in practice for 21 to 25 years.

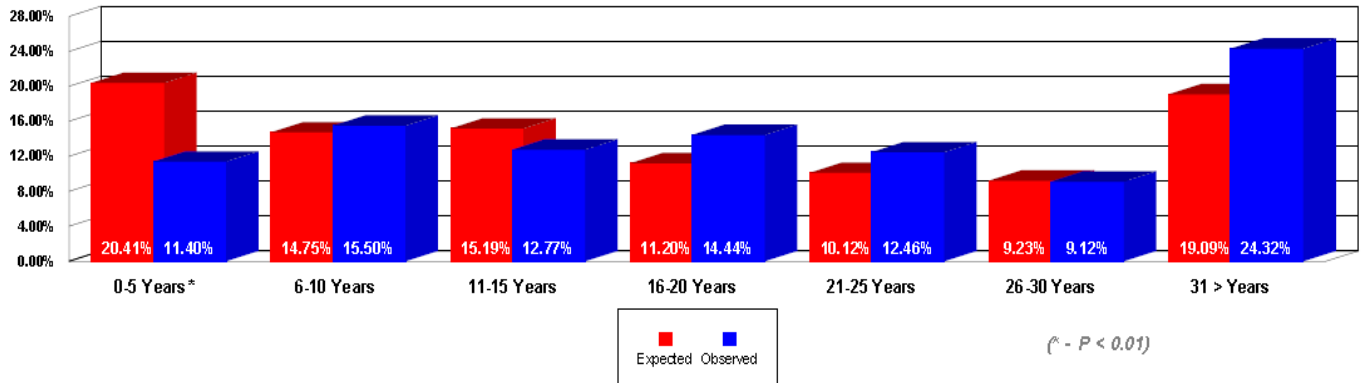
*Percent of Civil Litigation complaints against Lawyers received in 2014 by years in practice*



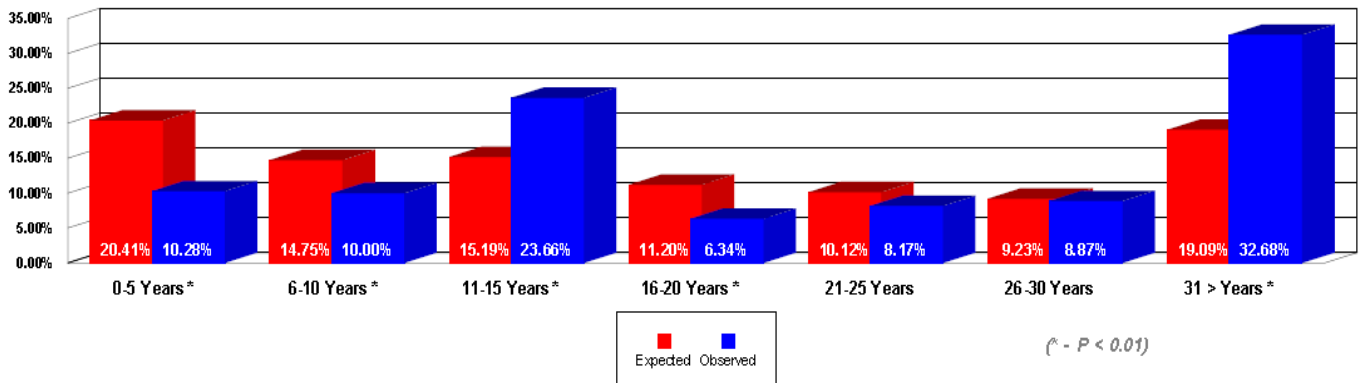
*Percent of Criminal/Quasi Criminal complaints against Lawyers received in 2014 by years in practice*



*Percent of Matrimonial/Family complaints against Lawyers received in 2014 by years in practice*



*Percent of Real Estate complaints against Lawyers received in 2014 by years in practice*



**Paralegals**

The following graphs analyze the complaints received against paralegals in 2014 by area of law according to the years since being licensed (i.e. years in practice). For paralegals, the years in practice are grouped as follows:

- 0 to 1 year;
- 2 to 3 years;
- 4 to 5 years; and
- More than 5 years.

**Expected Findings**

The calculation of the “expected finding” was based on the number of paralegals in active practice as at December 31, 2014.<sup>13</sup> As of that date:

- 38% of paralegals had been licensed between 0 – 1 year. Hence it was expected that 38% of complaints received against paralegals would be against paralegals in this group.

<sup>13</sup> As of December 31, 2013, there were 5,360 licensed paralegals in active practice.

- 20% of paralegals had been licensed between 2 – 3 years. Hence it was expected that 20% of complaints received against paralegals would be against paralegals in this group.
- 13% of paralegals had been licensed 4 – 5 years. Hence it was expected that 13% of complaints received against paralegals would be against paralegals in this group.
- 29% of paralegals had been licensed for more than 5 years. Hence it was expected that 29% of complaints received against paralegals would be against paralegals in this group.

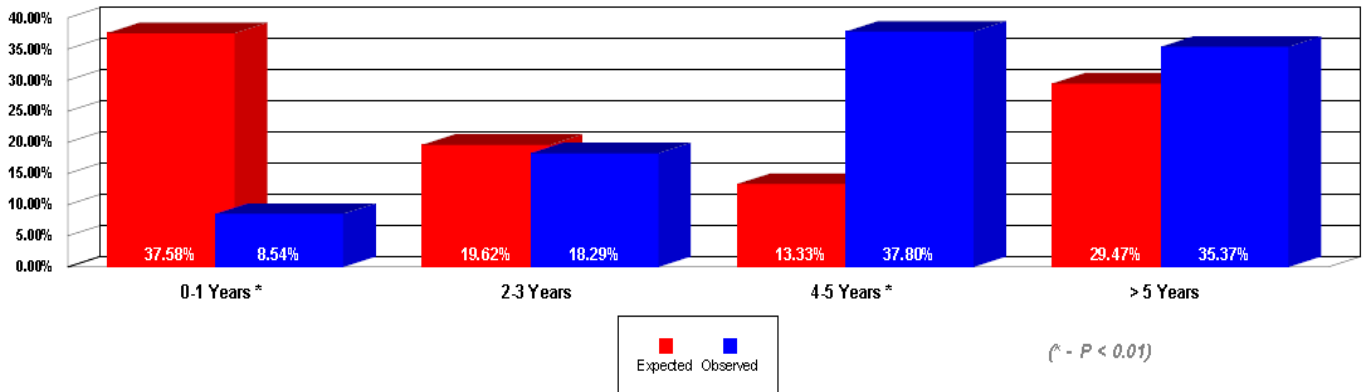
**Summary of Observed Findings**

In the two graphs that follow, a significant finding is noted by an asterisk (\*) beside the “years in practice” group.

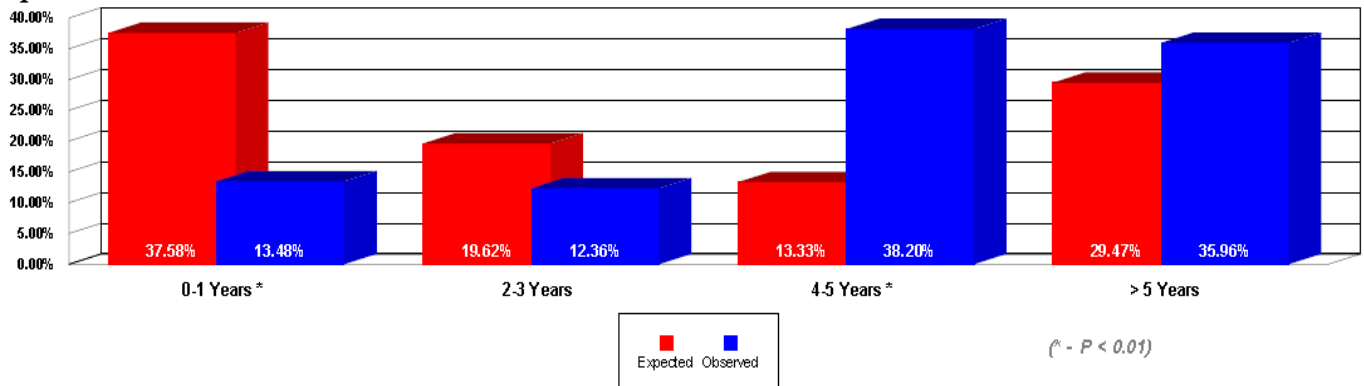
As in previous years, licensed paralegals who have been licensed up to 1 year had a significantly lower percent of civil litigation and criminal / quasi-criminal complaints than was expected. No significant differences were noted in the complaints received by paralegals who have been licensed between 2 – 3 years and for more than 5 years.

Paralegals licensed for 4 to 5 years or more years had a significantly higher percent of civil litigation and criminal/quasi-criminal law complaints than was expected.

*Percent of Civil Litigation complaints against Paralegals received in 2014 by years in practice*



*Percent of Criminal/Quasi Criminal complaints against Paralegals received in 2014 by years in practice*



**APPENDIX A – GLOSSARY OF CASE TYPES**

| <i>Case Type Name</i>       | <i>Individual Allegations</i>   |  |
|-----------------------------|---|--|
| <b>Conflicts</b>            | Licensee in a Position of Conflict<br>Business / Financial Relations with Client  |  |
| <b>Financial</b>            | Estate / Power of Attorney<br>Real Estate / Mortgage Schemes<br>Misapplication<br>Misappropriation<br>Pre-Taking<br>Co-mingling / Mishandling Trust Accounts<br>Breach of No-Cash Rule  |  |
| <b>Governance</b>           | Fail to Maintain Books & Records<br>Practice by Former / Suspended Licensee<br>Relations Prohibited Persons / Fail Prevent UAP<br>UAP by Non-Licensee<br>Fail to Prevent Practise Outside Scope of Licence<br>Practising Outside Scope of Licence<br>Fail to Report Misconduct / Error / Omission<br>Fail to Cooperate with LSUC<br>Practising without insurance / Fee Category<br>Student Investigations<br>Improper Advertising<br>Operating Trust Account while Bankrupt |  |
| <b>Integrity</b>            | Conduct Unbecoming outside the Practice of Law<br>Criminal Charges<br>Counseling / Behaving Dishonourably<br>Discriminatory Conduct<br>Sexual Misconduct<br>Direct Communications with Represented Parties<br>Misleading<br>Breach of Orders, Undertaking or Escrow<br>Civility   |  |
| <b>Service Issues</b>       | Fail to Provide Client Report<br>Fail to Follow Client Instructions<br>Fail to Communicate<br>Fail to Preserve Client Property<br>Fail to Serve Client<br>Withdrawal of Services / Abandonment<br>Fail to Supervise Staff<br>Fail to Account<br>Fail to Pay Financial Obligations<br>Breach of Confidentiality / Fiduciary Duty   |  |
| <b>Special Applications</b> | Readmission<br>Admission<br>Capacity<br>Reinstatement – Variation of Order  | Reinstatement – Order Fulfilled<br>Restoration<br>Competency from PD&C<br>Interlocutory Suspension |
| <b>Other Issues</b>         | Other Issues  |  |



**APPENDIX B**  
**Complaints Received in 2014 by Type of Complaint and Size of Firm**

**Lawyers**

| <i>Type</i>                   | <i>Number of Complaints</i> | <i>Percent of Total Complaints</i> |
|-------------------------------|-----------------------------|------------------------------------|
| <b>Conflicts</b>              | <b>293</b>                  |                                    |
| Sole Practitioners            | 162                         | 55%                                |
| Firms with 2-10 licensees     | 94                          | 32%                                |
| Firms with 11 – 25 licensees  | 22                          | 8%                                 |
| Firms with 26 to 50 licensees | 5                           | 2%                                 |
| Firms with > 50 licensees     | 10                          | 3%                                 |
| <b>Financial</b>              | <b>274</b>                  |                                    |
| Sole Practitioners            | 179                         | 65%                                |
| Firms with 2-10 licensees     | 77                          | 28%                                |
| Firms with 11 – 25 licensees  | 16                          | 6%                                 |
| Firms with 26 to 50 licensees | 1                           | 0%                                 |
| Firms with > 50 licensees     | 1                           | 0%                                 |
| <b>Governance</b>             | <b>285</b>                  |                                    |
| Sole Practitioners            | 196                         | 69%                                |
| Firms with 2-10 licensees     | 83                          | 29%                                |
| Firms with 11 – 25 licensees  | 25                          | 2%                                 |
| Firms with 26 to 50 licensees | 1                           | 0%                                 |
| Firms with > 50 licensees     | 0                           | 0%                                 |
| <b>Integrity</b>              | <b>1,262</b>                |                                    |
| Sole Practitioners            | 673                         | 53%                                |
| Firms with 2-10 licensees     | 426                         | 34%                                |
| Firms with 11 – 25 licensees  | 79                          | 6%                                 |
| Firms with 26 to 50 licensees | 36                          | 3%                                 |
| Firms with > 50 licensees     | 48                          | 4%                                 |
| <b>Other Issues</b>           | <b>132</b>                  |                                    |
| Sole Practitioners            | 56                          | 42%                                |
| Firms with 2-10 licensees     | 53                          | 40%                                |
| Firms with 11 – 25 licensees  | 13                          | 10%                                |
| Firms with 26 to 50 licensees | 3                           | 2%                                 |
| Firms with > 50 licensees     | 7                           | 5%                                 |
| <b>Service Issues</b>         | <b>1,684</b>                |                                    |
| Sole Practitioners            | 888                         | 53%                                |
| Firms with 2-10 licensees     | 614                         | 36%                                |
| Firms with 11 – 25 licensees  | 121                         | 7%                                 |
| Firms with 26 to 50 licensees | 28                          | 2%                                 |
| Firms with > 50 licensees     | 33                          | 2%                                 |
| <b>Special Applications</b>   | <b>22</b>                   |                                    |
| Sole Practitioners            | 17                          | 77%                                |
| Firms with 2-10 licensees     | 5                           | 23%                                |
| Firms with 11 – 25 licensees  | 0                           | 0%                                 |
| Firms with 26 to 50 licensees | 0                           | 0%                                 |
| Firms with > 50 licensees     | 0                           | 0%                                 |

**Licensed Paralegals**

| <i>Type</i>                 | <i>Number of Complaints</i> | <i>Percent of Total Complaints</i> |
|-----------------------------|-----------------------------|------------------------------------|
| <b>Conflicts</b>            | <b>13</b>                   |                                    |
| Sole Practitioners          | 7                           | 54%                                |
| Firms with 2-3 licensees    | 2                           | 15%                                |
| Firms with 4-6 licensees    | 3                           | 23%                                |
| Firms with > 6 licensees    | 1                           | 8%                                 |
| <b>Financial</b>            | <b>25</b>                   |                                    |
| Sole Practitioners          | 17                          | 68%                                |
| Firms with 2-3 licensees    | 8                           | 32%                                |
| Firms with 4-6 licensees    | 0                           | 0%                                 |
| Firms with > 6 licensees    | 0                           | 0%                                 |
| <b>Governance</b>           | <b>110</b>                  |                                    |
| Sole Practitioners          | 81                          | 74%                                |
| Firms with 2-3 licensees    | 15                          | 14%                                |
| Firms with 4-6 licensees    | 11                          | 10%                                |
| Firms with > 6 licensees    | 3                           | 3%                                 |
| <b>Integrity</b>            | <b>201</b>                  |                                    |
| Sole Practitioners          | 118                         | 59%                                |
| Firms with 2-3 licensees    | 55                          | 27%                                |
| Firms with 4-6 licensees    | 20                          | 10%                                |
| Firms with > 6 licensees    | 8                           | 4%                                 |
| <b>Other Issues</b>         | <b>4</b>                    |                                    |
| Sole Practitioners          | 2                           | 50%                                |
| Firms with 2-3 licensees    | 1                           | 25%                                |
| Firms with 4-6 licensees    | 0                           | 0%                                 |
| Firms with > 6 licensees    | 1                           | 25%                                |
| <b>Service Issues</b>       | <b>187</b>                  |                                    |
| Sole Practitioners          | 128                         | 68%                                |
| Firms with 2-3 licensees    | 40                          | 21%                                |
| Firms with 4-6 licensees    | 15                          | 8%                                 |
| Firms with > 6 licensees    | 4                           | 2%                                 |
| <b>Special Applications</b> | <b>2</b>                    |                                    |
| Sole Practitioners          | 1                           | 50%                                |
| Firms with 2-3 licensees    | 0                           | 0%                                 |
| Firms with 4-6 licensees    | 1                           | 50%                                |
| Firms with > 6 licensees    | 0                           | 0%                                 |

**APPENDIX C**  
**Complaints Received in 2014 by Type of Complaint and Years of Practice**

**Lawyers**

| <i>Type</i>           | <i>Number of Complaints</i> | <i>Percent of Total Complaints</i> |
|-----------------------|-----------------------------|------------------------------------|
| <b>Conflicts</b>      | <b>318</b>                  |                                    |
| 0 – 5 years           | 20                          | 6%                                 |
| 6 – 10 years          | 32                          | 10%                                |
| 11 – 15 years         | 31                          | 10%                                |
| 16 – 20 years         | 22                          | 7%                                 |
| 21 – 25 years         | 28                          | 9%                                 |
| 26 – 30 years         | 39                          | 12%                                |
| Over 30 years         | 146                         | 46%                                |
| <br><b>Financial</b>  | <br><b>497</b>              |                                    |
| 0 – 5 years           | 70                          | 14%                                |
| 6 – 10 years          | 43                          | 9%                                 |
| 11 – 15 years         | 143                         | 29%                                |
| 16 – 20 years         | 50                          | 10%                                |
| 21 – 25 years         | 37                          | 7%                                 |
| 26 – 30 years         | 53                          | 11%                                |
| Over 30 years         | 101                         | 20%                                |
| <br><b>Governance</b> | <br><b>434</b>              |                                    |
| 0 – 5 years           | 43                          | 10%                                |
| 6 – 10 years          | 56                          | 13%                                |
| 11 – 15 years         | 60                          | 14%                                |
| 16 – 20 years         | 51                          | 12%                                |
| 21 – 25 years         | 45                          | 10%                                |
| 26 – 30 years         | 30                          | 7%                                 |
| Over 30 years         | 149                         | 34%                                |
| <br><b>Integrity</b>  | <br><b>1,480</b>            |                                    |
| 0 – 5 years           | 174                         | 12%                                |
| 6 – 10 years          | 189                         | 13%                                |
| 11 – 15 years         | 199                         | 13%                                |
| 16 – 20 years         | 170                         | 11%                                |
| 21 – 25 years         | 169                         | 11%                                |
| 26 – 30 years         | 158                         | 11%                                |
| Over 30 years         | 421                         | 28%                                |

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| <i>Type</i>                 | <i>Number of Complaints</i> | <i>Percent of Total Complaints</i> |
|-----------------------------|-----------------------------|------------------------------------|
| <b>Other Issues</b>         | <b>139</b>                  |                                    |
| 0 – 5 years                 | 16                          | 12%                                |
| 6 – 10 years                | 12                          | 9%                                 |
| 11 – 15 years               | 14                          | 10%                                |
| 16 – 20 years               | 8                           | 6%                                 |
| 21 – 25 years               | 17                          | 12%                                |
| 26 – 30 years               | 14                          | 10%                                |
| Over 30 years               | 58                          | 42%                                |
| <b>Service Issues</b>       | <b>1,947</b>                |                                    |
| 0 – 5 years                 | 241                         | 12%                                |
| 6 – 10 years                | 247                         | 13%                                |
| 11 – 15 years               | 238                         | 12%                                |
| 16 – 20 years               | 205                         | 11%                                |
| 21 – 25 years               | 226                         | 12%                                |
| 26 – 30 years               | 202                         | 10%                                |
| Over 30 years               | 588                         | 30%                                |
| <b>Special Applications</b> | <b>57</b>                   |                                    |
| 0 – 5 years                 | 8                           | 14%                                |
| 6 – 10 years                | 8                           | 14%                                |
| 11 – 15 years               | 7                           | 12%                                |
| 16 – 20 years               | 10                          | 18%                                |
| 21 – 25 years               | 8                           | 14%                                |
| 26 – 30 years               | 2                           | 4%                                 |
| Over 30 years               | 14.                         | 25%                                |

**Licensed Paralegals**

| <b>Type</b>       | <b>Number of Complaints</b> | <b>Percent of Total Complaints</b> |
|-------------------|-----------------------------|------------------------------------|
| <b>Conflicts</b>  | <b>15</b>                   |                                    |
| 0 – 1 year        | 0                           | 0%                                 |
| 2 – 3 years       | 5                           | 33%                                |
| 4 – 5 years       | 2                           | 13%                                |
| > 5 years         | 8                           | 53%                                |
| <b>Financial</b>  | <b>48</b>                   |                                    |
| 0 – 1 year        | 7                           | 15%                                |
| 2 – 3 years       | 13                          | 27%                                |
| 4 – 5 years       | 17                          | 35%                                |
| > 5 years         | 11                          | 23%                                |
| <b>Governance</b> | <b>202</b>                  |                                    |
| 0 – 1 year        | 43                          | 21%                                |

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| <b>Type</b>                 | <b>Number of Complaints</b> | <b>Percent of Total Complaints</b> |
|-----------------------------|-----------------------------|------------------------------------|
| 2 – 3 years                 | 52                          | 26%                                |
| 4 – 5 years                 | 52                          | 26%                                |
| > 5 years                   | 55                          | 27%                                |
| <b>Integrity</b>            | <b>252</b>                  |                                    |
| 0 – 1 year                  | 35                          | 14%                                |
| 2 – 3 years                 | 59                          | 23%                                |
| 4 – 5 years                 | 80                          | 32%                                |
| > 5 years                   | 78                          | 31%                                |
| <b>Other Issues</b>         | <b>7</b>                    |                                    |
| 0 – 1 year                  | 0                           | 0%                                 |
| 2 – 3 years                 | 2                           | 29%                                |
| 4 – 5 years                 | 4                           | 57%                                |
| > 5 years                   | 1                           | 14%                                |
| <b>Service Issues</b>       | <b>270</b>                  |                                    |
| 0 – 1 year                  | 25                          | 9%                                 |
| 2 – 3 years                 | 53                          | 20%                                |
| 4 – 5 years                 | 97                          | 36%                                |
| > 5 years                   | 95                          | 35%                                |
| <b>Special Applications</b> | <b>7</b>                    |                                    |
| 0 – 1 year                  | 1                           | 14%                                |
| 2 – 3 years                 | 3                           | 43%                                |
| 4 – 5 years                 | 2                           | 29%                                |
| > 5 years                   | 1                           | 14%                                |

**APPENDIX D**  
**Complaints Received in 2014 by Area of Law and Size of Firm**

**Lawyers**

| <i>Area of Law</i>                   | <i>Number of Complaints</i> | <i>Percent of Total Complaints</i> |
|--------------------------------------|-----------------------------|------------------------------------|
| <b>Administrative / Immigration</b>  | <b>191</b>                  |                                    |
| Sole Practitioners                   | 101                         | 53%                                |
| Firms with 2-10 licensees            | 66                          | 35%                                |
| Firms with 11 – 25 licensees         | 8                           | 4%                                 |
| Firms with 26 to 50 licensees        | 8                           | 4%                                 |
| Firms with > 50 licensees            | 8                           | 4%                                 |
| <b>Bankruptcy / Insolvency</b>       | <b>6</b>                    |                                    |
| Sole Practitioners                   | 3                           | 50%                                |
| Firms with 2-10 licensees            | 2                           | 33%                                |
| Firms with 11 – 25 licensees         | 0                           | 0%                                 |
| Firms with 26 to 50 licensees        | 1                           | 17%                                |
| Firms with > 50 licensees            | 0                           | 0%                                 |
| <b>Civil Litigation</b>              | <b>683</b>                  |                                    |
| Sole Practitioners                   | 245                         | 36%                                |
| Firms with 2-10 licensees            | 277                         | 41%                                |
| Firms with 11 – 25 licensees         | 83                          | 12%                                |
| Firms with 26 to 50 licensees        | 38                          | 6%                                 |
| Firms with > 50 licensees            | 40                          | 6%                                 |
| <b>Corporate/Commercial/Business</b> | <b>136</b>                  |                                    |
| Sole Practitioners                   | 59                          | 43%                                |
| Firms with 2-10 licensees            | 56                          | 41%                                |
| Firms with 11 – 25 licensees         | 12                          | 9%                                 |
| Firms with 26 to 50 licensees        | 2                           | 1%                                 |
| Firms with > 50 licensees            | 7                           | 5%                                 |
| <b>Criminal / Quasi-Criminal</b>     | <b>206</b>                  |                                    |
| Sole Practitioners                   | 132                         | 64%                                |
| Firms with 2-10 licensees            | 61                          | 30%                                |
| Firms with 11 – 25 licensees         | 7                           | 3%                                 |
| Firms with 26 to 50 licensees        | 1                           | 0%                                 |
| Firms with > 50 licensees            | 5                           | 2%                                 |
| <b>Employment / Labour</b>           | <b>38</b>                   |                                    |
| Sole Practitioners                   | 5                           | 13%                                |
| Firms with 2-10 licensees            | 22                          | 58%                                |
| Firms with 11 – 25 licensees         | 6                           | 16%                                |
| Firms with 26 to 50 licensees        | 4                           | 11%                                |
| Firms with > 50 licensees            | 1                           | 3%                                 |
| <b>Estates / Wills</b>               | <b>227</b>                  |                                    |
| Sole Practitioners                   | 130                         | 57%                                |
| Firms with 2-10 licensees            | 80                          | 35%                                |
| Firms with 11 – 25 licensees         | 13                          | 6%                                 |
| Firms with 26 to 50 licensees        | 1                           | 0%                                 |
| Firms with > 50 licensees            | 2                           | 1%                                 |

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| <i>Area of Law</i>              | <i>Number of Complaints</i> | <i>Percent of Total Complaints</i> |
|---------------------------------|-----------------------------|------------------------------------|
| <b>Intellectual Property</b>    | <b>1</b>                    |                                    |
| Firms with > 50 licensees       | 1                           | 100%                               |
| <b>Matrimonial / Family Law</b> | <b>583</b>                  |                                    |
| Sole Practitioners              | 358                         | 61%                                |
| Firms with 2-10 licensees       | 171                         | 29%                                |
| Firms with 11 – 25 licensees    | 46                          | 8%                                 |
| Firms with 26 to 50 licensees   | 2                           | 0%                                 |
| Firms with > 50 licensees       | 6                           | 1%                                 |
| <b>Real Estate</b>              | <b>534</b>                  |                                    |
| Sole Practitioners              | 333                         | 62%                                |
| Firms with 2-10 licensees       | 161                         | 30%                                |
| Firms with 11 – 25 licensees    | 30                          | 6%                                 |
| Firms with 26 to 50 licensees   | 2                           | 0%                                 |
| Firms with > 50 licensees       | 8                           | 1%                                 |
| <b>Other</b>                    | <b>234</b>                  |                                    |
| Sole Practitioners              | 119                         | 51%                                |
| Firms with 2-10 licensees       | 89                          | 38%                                |
| Firms with 11 – 25 licensees    | 16                          | 7%                                 |
| Firms with 26 to 50 licensees   | 6                           | 3%                                 |
| Firms with > 50 licensees       | 4                           | 2%                                 |

**Licensed Paralegals**

| <i>Area of Law</i>                   | <i>Number of Complaints</i> | <i>Percent of Total Complaints</i> |
|--------------------------------------|-----------------------------|------------------------------------|
| <b>Administrative / Immigration</b>  | <b>104</b>                  |                                    |
| Sole Practitioners                   | 71                          | 68%                                |
| Firms with 2-3 licensees             | 21                          | 20%                                |
| Firms with 4-6 licensees             | 10                          | 10%                                |
| Firms with > 6 licensees             | 2                           | 2%                                 |
| <b>Civil Litigation</b>              | <b>125</b>                  |                                    |
| Sole Practitioners                   | 72                          | 58%                                |
| Firms with 2-3 licensees             | 31                          | 25%                                |
| Firms with 4-6 licensees             | 16                          | 13%                                |
| Firms with > 6 licensees             | 6                           | 5%                                 |
| <b>Corporate/Commercial/Business</b> | <b>14</b>                   |                                    |
| Sole Practitioners                   | 12                          | 86%                                |
| Firms with 2-3 licensees             | 1                           | 7%                                 |
| Firms with 4-6 licensees             | 0                           | 0%                                 |
| Firms with > 6 licensees             | 1                           | 7%                                 |
| <b>Criminal / Quasi-Criminal</b>     | <b>60</b>                   |                                    |
| Sole Practitioners                   | 46                          | 77%                                |
| Firms with 2-3 licensees             | 10                          | 17%                                |
| Firms with 4-6 licensees             | 3                           | 5%                                 |
| Firms with > 6 licensees             | 1                           | 2%                                 |

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| <i>Area of Law</i>          | <i>Number of Complaints</i> | <i>Percent of Total Complaints</i> |
|-----------------------------|-----------------------------|------------------------------------|
| <b>Employment / Labour</b>  | <b>10</b>                   |                                    |
| Sole Practitioners          | 9                           | 90%                                |
| Firms with 2-3 licensees    | 1                           | 10%                                |
| Firms with 4-6 licensees    | 0                           | 0%                                 |
| Firms with > 6 licensees    | 0                           | 0%                                 |
| <b>Estates / Wills</b>      | <b>3</b>                    |                                    |
| Sole Practitioners          | 2                           | 67%                                |
| Firms with 2-3 licensees    | 1                           | 33%                                |
| Firms with 4-6 licensees    | 0                           | 0%                                 |
| Firms with > 6 licensees    | 0                           | 0%                                 |
| <b>Matrimonial / Family</b> | <b>10</b>                   |                                    |
| Sole Practitioners          | 8                           | 80%                                |
| Firms with 2-3 licensees    | 0                           | 0%                                 |
| Firms with 4-6 licensees    | 1                           | 10%                                |
| Firms with > 6 licensees    | 1                           | 10%                                |
| <b>Real Estate</b>          | <b>7</b>                    |                                    |
| Sole Practitioners          | 5                           | 71%                                |
| Firms with 2-3 licensees    | 2                           | 29%                                |
| Firms with 4-6 licensees    | 0                           | 0%                                 |
| Firms with > 6 licensees    | 0                           | 0%                                 |
| <b>Other</b>                | <b>40</b>                   |                                    |
| Sole Practitioners          | 24                          | 60%                                |
| Firms with 2-3 licensees    | 12                          | 30%                                |
| Firms with 4-6 licensees    | 4                           | 10%                                |
| Firms with > 6 licensees    | 0                           | 0%                                 |



**APPENDIX E**  
**Complaints Received in 2014**  
**By Area of Law and Years of Practice**

**Lawyers**

| <i>Area of Law</i>                       | <i>Number of Complaints</i> | <i>Percent of Total Complaints</i> |
|--|-----------------------------|------------------------------------|
| <b>Administrative / Immigration</b>      | <b>256</b>                  |                                    |
| 0 – 5 years                              | 31                          | 12%                                |
| 6 – 10 years                             | 35                          | 14%                                |
| 11 – 15 years                            | 40                          | 16%                                |
| 16 – 20 years                            | 32                          | 13%                                |
| 21 – 25 years                            | 29                          | 11%                                |
| 26 – 30 years                            | 23                          | 9%                                 |
| Over 30 years                            | 66                          | 26%                                |
| <br><b>Bankruptcy / Insolvency</b>       | <br><b>7</b>                |                                    |
| 0 – 5 years                              | 2                           | 29%                                |
| 6 – 10 years                             | 0                           | 10%                                |
| 11 – 15 years                            | 0                           | 0%                                 |
| 16 – 20 years                            | 2                           | 29%                                |
| 21 – 25 years                            | 2                           | 29%                                |
| 26 – 30 years                            | 0                           | 0%                                 |
| Over 30 years                            | 1                           | 14%                                |
| <br><b>Civil Litigation</b>              | <br><b>779</b>              |                                    |
| 0 – 5 years                              | 96                          | 12%                                |
| 6 – 10 years                             | 101                         | 13%                                |
| 11 – 15 years                            | 122                         | 16%                                |
| 16 – 20 years                            | 86                          | 11%                                |
| 21 – 25 years                            | 92                          | 12%                                |
| 26 – 30 years                            | 73                          | 9%                                 |
| Over 30 years                            | 209                         | 27%                                |
| <br><b>Corporate/Commercial/Business</b> | <br><b>155</b>              |                                    |
| 0 – 5 years                              | 16                          | 19%                                |
| 6 – 10 years                             | 14                          | 9%                                 |
| 11 – 15 years                            | 19                          | 12%                                |
| 16 – 20 years                            | 14                          | 9%                                 |
| 21 – 25 years                            | 27                          | 17%                                |
| 26 – 30 years                            | 17                          | 11%                                |
| Over 30 years                            | 48                          | 31%                                |

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| <i>Area of Law</i>               | <i>Number of Complaints</i> | <i>Percent of Total Complaints</i> |
|----------------------------------|-----------------------------|------------------------------------|
| <b>Criminal / Quasi-Criminal</b> | <b>260</b>                  |                                    |
| 0 – 5 years                      | 35                          | 13%                                |
| 6 – 10 years                     | 42                          | 14%                                |
| 11 – 15 years                    | 33                          | 13%                                |
| 16 – 20 years                    | 23                          | 9%                                 |
| 21 – 25 years                    | 35                          | 13%                                |
| 26 – 30 years                    | 42                          | 16%                                |
| Over 30 years                    | 50                          | 19%                                |
| <b>Employment / Labour</b>       | <b>47</b>                   |                                    |
| 0 – 5 years                      | 8                           | 17%                                |
| 6 – 10 years                     | 7                           | 15%                                |
| 11 – 15 years                    | 7                           | 15%                                |
| 16 – 20 years                    | 6                           | 13%                                |
| 21 – 25 years                    | 6                           | 13%                                |
| 26 – 30 years                    | 3                           | 6%                                 |
| Over 30 years                    | 10                          | 21%                                |
| <b>Estates / Wills</b>           | <b>256</b>                  |                                    |
| 0 – 5 years                      | 15                          | 6%                                 |
| 6 – 10 years                     | 14                          | 5%                                 |
| 11 – 15 years                    | 13                          | 5%                                 |
| 16 – 20 years                    | 22                          | 9%                                 |
| 21 – 25 years                    | 28                          | 11%                                |
| 26 – 30 years                    | 35                          | 14%                                |
| Over 30 years                    | 128                         | 50%                                |
| <b>Intellectual Property Law</b> | <b>2</b>                    |                                    |
| 0 – 5 years                      | 0                           | 0%                                 |
| 6 – 10 years                     | 0                           | 0%                                 |
| 11 – 15 years                    | 0                           | 0%                                 |
| 16 – 20 years                    | 0                           | 0%                                 |
| 21 – 25 years                    | 0                           | 0%                                 |
| 26 – 30 years                    | 0                           | 0%                                 |
| Over 30 years                    | 2                           | 100%                               |

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|                             |            |     |
|-----------------------------|------------|-----|
| <b>Matrimonial / Family</b> | <b>656</b> |     |
| 0 – 5 years                 | 75         | 11% |
| 6 – 10 years                | 102        | 16% |
| 11 – 15 years               | 84         | 13% |
| 16 – 20 years               | 95         | 14% |
| 21 – 25 years               | 82         | 13% |
| 26 – 30 years               | 60         | 9%  |
| Over 30 years               | 158        | 24% |

|                    |            |     |
|--------------------|------------|-----|
| <b>Real Estate</b> | <b>708</b> |     |
| 0 – 5 years        | 73         | 10% |
| 6 – 10 years       | 71         | 10% |
| 11 – 15 years      | 167        | 24% |
| 16 – 20 years      | 45         | 6%  |
| 21 – 25 years      | 58         | 8%  |
| 26 – 30 years      | 63         | 9%  |
| Over 30 years      | 231        | 33% |

|               |            |     |
|---------------|------------|-----|
| <b>Other</b>  | <b>336</b> |     |
| 0 – 5 years   | 51         | 15% |
| 6 – 10 years  | 32         | 10% |
| 11 – 15 years | 29         | 9%  |
| 16 – 20 years | 31         | 9%  |
| 21 – 25 years | 37         | 11% |
| 26 – 30 years | 38         | 11% |
| Over 30 years | 118        | 35% |

**Licensed Paralegals**

| <i>Area of Law</i>                  | <i>Number of Complaints</i> | <i>Percent of Total Complaints</i> |
|-------------------------------------|-----------------------------|------------------------------------|
| <b>Administrative / Immigration</b> | <b>149</b>                  |                                    |
| 0 – 1 year                          | 32                          | 21%                                |
| 2 – 3 years                         | 34                          | 23%                                |
| 4 – 5 years                         | 37                          | 25%                                |
| > 5 years                           | 46                          | 31%                                |
| <b>Bankruptcy / Insolvency</b>      | <b>0</b>                    |                                    |
| 0 – 1 year                          | 0                           | 0%                                 |
| 2 – 3 years                         | 0                           | 0%                                 |
| 4 – 5 years                         | 0                           | 0%                                 |
| > 5 years                           | 0                           | 0%                                 |
| <b>Civil Litigation</b>             | <b>162</b>                  |                                    |
| 0 – 1 year                          | 14                          | 9%                                 |
| 2 – 3 years                         | 30                          | 19%                                |

**Report of the Executive Director, Professional Regulation, April 2016**  
**Analysis of Complaints Received by Professional Regulation in 2014**

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| <i>Area of Law</i>                     | <i>Number of Complaints</i> | <i>Percent of Total Complaints</i> |
|--|-----------------------------|------------------------------------|
| 4 – 5 years                            | 62                          | 38%                                |
| > 5 years                              | 56                          | 35%                                |
| <b>Corporation/Commercial/Business</b> | <b>18</b>                   |                                    |
| 0 – 1 year                             | 3                           | 17%                                |
| 2 – 3 years                            | 1                           | 6%                                 |
| 4 – 5 years                            | 5                           | 28%                                |
| > 5 years                              | 9                           | 50%                                |
| <b>Criminal / Quasi-Criminal</b>       | <b>89</b>                   |                                    |
| 0 – 1 year                             | 12                          | 13%                                |
| 2 – 3 years                            | 11                          | 12%                                |
| 4 – 5 years                            | 34                          | 38%                                |
| > 5 years                              | 32                          | 36%                                |
| <b>Employment / Labour</b>             | <b>10</b>                   |                                    |
| 0 – 1 year                             | 0                           | 0%                                 |
| 2 – 3 years                            | 2                           | 20%                                |
| 4 – 5 years                            | 3                           | 30%                                |
| > 5 years                              | 5                           | 50%                                |
| <b>Estates / Wills</b>                 | <b>3</b>                    |                                    |
| 0 – 1 year                             | 1                           | 33%                                |
| 2 – 3 years                            | 0                           | 0%                                 |
| 4 – 5 years                            | 0                           | 0%                                 |
| > 5 years                              | 2                           | 67%                                |
| <b>Matrimonial / Family</b>            | <b>12</b>                   |                                    |
| 0 – 1 year                             | 0                           | %                                  |
| 2 – 3 years                            | 3                           | 25%                                |
| 4 – 5 years                            | 3                           | 25%                                |
| > 5 years                              | 6                           | 50%                                |
| <b>Real Estate</b>                     | <b>9</b>                    |                                    |
| 0 – 1 year                             | 1                           | 11%                                |
| 2 – 3 years                            | 1                           | 11%                                |
| 4 – 5 years                            | 3                           | 33%                                |
| > 5 years                              | 4                           | 44%                                |
| <b>Other</b>                           | <b>74</b>                   |                                    |
| 0 – 1 year                             | 12                          | 16%                                |
| 2 – 3 years                            | 24                          | 32%                                |
| 4 – 5 years                            | 17                          | 23%                                |
| > 5 years                              | 21                          | 28%                                |