



CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS, INC.

SUBMIT A COMPLAINT AGAINST A CFP® PROFESSIONAL

Please report your complaint in as much detail as possible. CFP Board staff will request additional information if needed and may request a personal interview if it appears necessary. Because one of the functions of CFP Board is the evaluation of complaints, please be assured that your complaint will be investigated vigorously and thoroughly.

Please be aware that pursuant to CFP Board’s confidentiality provisions as outlined in Article 17.9 of CFP Board’s *Procedural Rules*, CFP Board shall provide notice every 6 months to any individual who files a complaint against a CFP® professional notifying the individual that their complaint remains under review or investigation. CFP Board Counsel will also notify the individual when the individual’s complaint is dismissed or finally adjudicated.

CFP Board will accept an anonymous complaint. It is often the case, however, that preserving a complainant’s anonymity may result in CFP Board not being able to conduct a full investigation. CFP Board does not have the ability to help you obtain any financial relief or provide you with any legal advice. If you are interested in pursuing financial remedies, you may want to contact an attorney.

Date: _____

1. Please enter contact information on the CFP® professional against whom this complaint is being filed:

CFP® Professional’s Name: _____

Company: _____

Address: _____

City, State, Zip: _____

Phone: _____ E-mail: _____

2. Please enter your personal information:

Your Name: _____

Address: _____

City, State, Zip: _____

Phone: _____ E-mail: _____

3. Please enter information about your complaint:

A. Please describe your complaint and the reasons you believe a violation exists:
(Attach additional pages if needed)

B. Did the CFP® professional provide you with some type of disclosure document, which described the forms of compensation, potential or real conflicts of interest, services provided, agency or employment relationships and the philosophy or operating methods employed?

Yes (Please attach copies.)
No

C. Did you pay a fee to the CFP® professional?

Yes How much? _____ (Please attach documentation.)
No

D. Did you sign a written contractual agreement and/or Engagement Letter?

Yes (Please attach copies.)
No (If not, what is your business relationship to this individual? _____)

E. Have you notified any regulatory authorities in connection with your complaint?

Yes Which one(s): _____ (Please attach documentation.)
No

F. Have you begun legal action against this individual?

Yes (Please attach documentation.)
No

G. May CFP Board release your name to this individual? (Not allowing CFP Board to release your name will severely limit CFP Board’s ability to investigate your complaint.)

Yes
No

4. Please sign and email your complaint to compliance@CFPBoard.org.

I acknowledge that if CFP Board deems that there are sufficient grounds to initiate an investigation, the CFP® professional who is the subject of my complaint will be sent a copy of the complaint and given the opportunity to respond. I further acknowledge that CFP Board may share details of the investigation with other state and federal regulatory bodies, including but not limited to the Financial Industry Regulatory Authority, Inc. and the Securities and Exchange Commission.

By typing your name below, you are signing the document electronically. You agree that your electronic signature has the same legal validity and effect as your handwritten signature on the document and that it has the same meaning as your handwritten signature.

Signature: /s/_____ Date: _____

Please also sign the Privacy Waiver and Consent to Release Documents form indicating your willingness to release financial information relating to your complaint to CFP Board.

SUBMISSION INSTRUCTIONS

Once you have completed and signed the form, email to compliance@CFPBoard.org, fax to 202-379-2299 (no cover needed), or mail to CFP Board at CFP Board, Attn: Professional Standards, 1425 K Street NW, Suite 800, Washington, DC 20005
Any questions or comments, e-mail compliance@CFPBoard.org