

CFP® CERTIFICANT DISCLOSURE FORM (FORM OPS) – SAMPLE FILLED-IN FORM

For Use When Providing Other Professional Services

This disclosure form gives information about the CFP® certificant(s) and his/her/their business. This information has not been reviewed, approved or verified by CFP Board or by any governmental or self-regulatory authority. CFP Board does not warrant the specific qualifications of individuals certified to use its marks, nor does it warrant the correctness of advice or opinions provided.

PART I. MATERIAL INFORMATION RELEVANT TO THE PROFESSIONAL RELATIONSHIP

(Disclosures required to be provided at the time of entering into a client relationship)
(Code reference - Rule 401)

A. Material information relevant to the professional relationship:

I am a sales representative for ABC Securities and I am licensed to sell general securities through that firm. These products include mutual funds, stocks, bonds and other types of securities.

My compensation is based solely upon the sale of securities. Should you choose to purchase a product through us, I will receive a commission payable by a third party.

B. Conflict(s) of interest:

John Doe owns a partnership interest in ABC Securities.

C. Information required by all laws applicable to the relationship (e.g., if the CFP certificant is a registered investment adviser, the disclosure document required by laws applicable to such registration):

I am required by law to provide you with a copy of the most recent prospectus for any security that I recommend to you. I am required by law to provide you with a copy of the order confirmation for any securities transactions.

PART II. SUBSEQUENT DISCLOSURES

(Disclosures required to be provided subsequent to entering into a client relationship)

A. Changes in any of the following information since entering into a client relationship:
(Code reference - Rule 401)

1. Business affiliation:

2. Address:

3. Telephone number:

4. Credentials:

5. Qualifications:

6. Licenses:

7. Compensation structure:

8. Agency relationships:

9. Scope of the CFP® certificant's authority in any agency relationship:

I hereby acknowledge receipt of this required disclosure.

_____ / _____

Client's Signature

Date

_____ / _____

Client's Signature

Date