

# CFP BOARD REPORT

News From Financial Planning's Professional Regulatory Organization

## News Bullets

- **2002 Annual Report Available Online**
- **CFP Board Wins Local Design Awards for Printed Materials**
- **Frequently Asked Questions: When Must a CFP® Certificant Report Incidents to CFP Board?**
- **How To: Using Trademark Symbols in E-mail Documents**

## 2002 Annual Report Available Online

CFP Board's 2002 Annual Report has been posted online. To learn about CFP Board's 2002 accomplishments and view the financials, go to the "Publications and Resource Library" on CFP Board's Web site at [www.CFP.net](http://www.CFP.net).

## CFP Board Wins Local Design Awards for Printed Materials

CFP Board won the 2003 Best Brochure award for its consumer brochures in the Financial Planning Resource Kit at the First Annual 501c Advertising and Design Awards Show sponsored by the Colorado Chapter of the American Institute of Graphic Arts (AIGA) on August 6, 2003. CFP Board also won two merit awards: in the Business Papers category for its stationery package and the Magazine Campaign – Color category for its "Life is a ..." advertising campaign. The award-winning pieces were judged on both design and effectiveness. The awards are meant to showcase outstanding design work for nonprofit organizations.

CFP certificants can order the brochures in the *Financial Planning Resource Kit* and table stands of the award-winning ads by calling 800-487-1497 or going to the "Brochure Order Form" section of [www.CFP.net](http://www.CFP.net). The ads and brochures can be viewed as PDF files on CFP Board's Web site.

## Frequently Asked Questions: When Must a CFP® Certificant Report Incidents to CFP Board?

Many CFP® certificants have asked, "Do I have a duty to report certain matters to CFP Board right away, rather than wait until I fill out my next renewal form?" The answer is yes. Article 12.2 of CFP Board's *Disciplinary Rules and Procedures* requires that upon conviction of a crime or upon being the subject of a professional suspension, every CFP certificant must notify CFP Board, in writing, within 10 calendar days.

Misdemeanor traffic offenses are exempt from this requirement, unless they involve the use of alcohol or drugs. Thus, a DUI conviction is required to be disclosed within 10 calendar days. Professional suspension is defined in Article 12.6, as "... the suspension or bar as a disciplinary measure by any governmental or industry self-regulatory authority of a license as a registered securities representative, broker/dealer, insurance or real estate salesperson or broker, insurance broker, attorney, accountant, investment adviser or financial planner."

If you have any questions regarding the *Disciplinary Rules and Procedures*, CFP Board's professional review department would be happy to help – call 800-487-1497 or e-mail [mail@CFP-Board.org](mailto:mail@CFP-Board.org).

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CFP Board is directed by a 15-member Board of Governors which oversees four subsidiary boards. The Board of Governors establishes policy and oversees all CFP Board activities. Members serve three-year terms and a majority of Governors must be CFP® certificants. The CEO serves *ex-officio* as a Governor but does not have voting rights.

*CFP Board Report* is published to inform CFP® certificants, the profession and the public of CFP Board activities, policies and initiatives. A nonprofit professional regulatory organization, CFP Board fosters professional standards in personal financial planning so that the public values, has access to and benefits from competent and ethical financial planning. CFP Board does not discriminate in certification opportunities or practices on the basis of race, color, religion, sex, national origin, disability or any other characteristic protected by law.

## How To: Using Trademark Symbols in E-mail Documents

In our June issue of *CFP Board Report*, we provided instructions on how to insert the ® and ™ trademark symbols after the CFP certification marks in Word documents. Using the trademark symbols in e-mail documents provides a different set of challenges. The problem lies not within the sender's e-mail program, but within the recipient's e-mail program – depending on what program they are using, they may or may not be able to read these symbols.

To alleviate this potential problem, CFP Board recommends the following for using trademark symbols in e-mails. For using the registered trademark symbol after the CFP® mark, place a capital “R” in parentheses, like (R); for using the trademark symbol after the CERTIFIED FINANCIAL PLANNER™ mark, place a lowercase “tm” in parentheses, like (tm). Regardless of what program your e-mail recipient is using, the message that the CFP marks are trademarked is conveyed. If you use Microsoft Word as your e-mail editor, Word may automatically correct the parentheses into the actual trademark symbols – use “Control” + “z” to undo the auto correct.

As always, CFP Board would like to thank everyone who works to use the CFP marks correctly. For more information on correct trademark usage, visit the “How to Use the CFP Marks” section of [www.CFP.net](http://www.CFP.net).

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