

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 grievances, please be assured that your grievance will be investigated vigorously and thoroughly.

Date: _____

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

Planner'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 _____ (If yes, please send CFP Board a copy)
No _____

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

Yes _____ (If yes, how much: _____)
No _____

D. Did you sign a written contractual agreement?

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

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

Yes _____ (If yes, which one(s): _____)
No _____

F. Have you begun legal action against this individual?

Yes _____
No _____

4. Please sign and mail your complaint to CFP Board, 1425 K Street NW, Suite 500, Washington, DC 20005.

Signature: _____ Date: _____

SUBMISSION INSTRUCTIONS

Once you have completed and signed the form, fax to 202-379-2299 (no cover needed) or mail to CFP Board.

CFP Board
Attn: Professional Review
1425 K Street NW, Suite 500
Washington, DC 20005

Any questions or comments, e-mail compliance@CFPBoard.org