THE DISCIPLINARY AND ETHICS COMMISSION

In The Matter Of Robert F. Sieja, Respondent.	CFP Board Case No. 2025-68035

ADMINISTRATIVE ORDER OF SUSPENSION

On February 20, 2026, Enforcement Counsel for Certified Financial Planner Board of Standards, Inc. ("CFP Board") filed a Motion for Administrative Order of Suspension under Article 4.2 of the *Procedural Rules* ("Motion") requesting that Counsel for CFP Board's Disciplinary and Ethics Commission ("Commission" or "DEC") issue an Administrative Order of Suspension against Respondent.[1] Respondent did not file a response to the Motion.

For the reasons stated below, the Motion is **GRANTED**.

I. BACKGROUND

Respondent became a CFP® professional on January 4, 2006, and has been certified since that date.

A. Notice of Investigation

On September 17, 2025, Enforcement Counsel issued a Notice of Investigation ("NOI") to Respondent related to an outstanding IRS tax lien in the amount of $154,163. Respondent failed to acknowledge receipt of the NOI within 14 calendar days, as required by Article 1.1.b. of the *Procedural Rules*. Based on Respondent's failure to acknowledge receipt of the initial NOI, Enforcement Counsel re-delivered the NOI ("Second NOI") via certified mail on October 16, 2025, to the address of record that Respondent maintains with CFP Board. Respondent failed to acknowledge receipt of the Second NOI within 14 calendar days, as required by Article 1.1.b., and failed to respond to Enforcement Counsel's subsequent attempts to contact him about his failure to acknowledge the initial NOI and Second NOI.

Due to Respondent's failure to acknowledge receipt of either NOI, Enforcement Counsel determined that Respondent was in default under Article 4.1.a. of the *Procedural Rules* and filed this Motion.

B. Motion

Enforcement Counsel sought to investigate Respondent's outstanding IRS tax lien. The existence of a tax lien suggests there is evidence of Respondent's inability to responsibly manage his

[1] Enforcement Counsel certified in its Motion that it had attempted to meet and confer with Respondent in a good faith attempt to resolve or narrow the issues on November 13, 2025, but Respondent did not respond to Enforcement Counsel's attempt.

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personal finances. Accordingly, Respondent's conduct may have violated Standard E.2 of the *Code of Ethics and Standards of Conduct*, which provides that a CFP® professional may not engage in conduct that reflects adversely on his or her integrity or fitness as a CFP® professional, upon the CFP® marks or upon the profession.

Enforcement Counsel states in its Motion that it has determined that the seriousness, scope, and harmfulness of Respondent's conduct warrants an Administrative Order imposing a Suspension against Respondent.

II. DISCUSSION

If a Respondent fails to acknowledge receipt of a Notice of Investigation delivered in accordance with Article 1.1 of the *Procedural Rules*, then Respondent is in default under Article 4.1.

Enforcement Counsel's Motion states with reasonable particularity the grounds for Respondent's default, as required by Article 4.2 of the *Procedural Rules*. Enforcement Counsel delivered to Respondent its initial NOI and its Second NOI, as required by Article 1.1, but Respondent failed to acknowledge either of them as required by Article 1.1.b.

Enforcement Counsel filed the Motion based on its determination of the seriousness, scope, and harmfulness of Respondent's conduct, as required under Article 4.2 of the *Procedural Rules*.

III. CONCLUSION

DEC Counsel **GRANTS** the Motion and issued this **Administrative Order of Suspension** against Respondent ("Order"). Respondent's right to use the CFP Board certification marks is suspended. The Administrative Suspension shall be in place until Respondent has been deemed eligible for reinstatement in accordance with Article 4.6 of the *Procedural Rules*.

IV. Compliance with Order

Pursuant to Article 11.2 of the *Procedural Rules*, Respondent is required to submit to Enforcement Counsel, within 45 calendar days of issuance of this Order, written evidence that Respondent:

- Has advised Respondent's Firm(s), in writing, of this Order of Administrative Suspension in the manner set forth in Standard D.3 of the *Code and Standards*; and
- Has advised all Clients (as Client is defined in the Glossary to the *Code and Standards*) of this Order of Administrative Suspension and provided all Clients with the location of CFP Board's website that sets forth Respondent's disciplinary history in the manner set forth in Standard A.10 of the *Code and Standards*; and
- Will advise all future Clients of the location of CFP Board's website that sets forth Respondent's disciplinary history, according to Standard A.10 of the *Code and Standards*.

Failure to do so may result in further disciplinary action.

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Pursuant to Article 11.3 of the *Procedural Rules*, within 45 calendar days from the date of this Order, Respondent is required to submit to Enforcement Counsel, by sending an email to discipline@cfpboard.org, Respondent's statement of assurance that Respondent will not use the CFP Board certification marks and proof that Respondent has removed the CFP Board certification marks from all internet sites or other tangible materials that Respondent exposes to the public, including screenshots of the businesses, social media, and third-party financial advisor listing website profiles that Respondent controls, pictures of signage, and when applicable, copies of Respondent's business cards, letterhead, and marketing and promotional materials, as well as pictures of any other materials Respondent controls in which the CFP® marks previously appeared publicly in reference to Respondent or Respondent's services. Failure to do so may result in further disciplinary or legal action regarding the unauthorized use of the CFP Board certification marks.

SO ORDERED

Counsel to the Disciplinary and Ethics Commission

June 18, 2026