

**CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS, INC.
WASHINGTON, D.C.**

In the Matter of

Jeffrey S. Polinchock,

Respondent.

CFP Board Case No. 2023-64789

October 1, 2025

ADMINISTRATIVE ORDER OF REVOCATION

On August 12, 2025, Enforcement Counsel for Certified Financial Planner Board of Standards, Inc. (“CFP Board”) filed a motion under Article 4.2 of the *Procedural Rules* (“Motion” or “Mot.”) requesting that Counsel for CFP Board’s Disciplinary and Ethics Commission (“Commission” or “DEC”) issue an Administrative Order that revokes Respondent’s CFP® certification. No hearing on the motion was requested, and Respondent did not file a response to the Motion. (Mot. at 1.)

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

I. BACKGROUND

Respondent became a CFP® professional on June 6, 2017, and has been certified since that date. (*Id.*)

A. Investigation

On February 1, 2023, Respondent disclosed to CFP Board that he had been arrested for Driving Under the Influence (“DUI”) on November 4, 2021, and charged with that offense a day later. (Mot., Ex. 1 at 4, 10, 67-73.) On May 23, 2022, Respondent pled guilty and on May 31, 2022, he was convicted and sentenced. (*Id.* at 67-73.)

On March 29, 2023, Enforcement Counsel issued a Notice of Investigation (NOI) to Respondent regarding the November 5, 2021 DUI charge and a September 28, 2008 DUI charge that CFP Board had separately and independently discovered. (*Id.* at 8-10.)¹

Enforcement Counsel states that over the next several months Respondent acknowledged and provided responses to the NOI and additional requests from Enforcement Counsel. (Mot. at 1; Mot., Ex. 1 at 74-83.)

The Motion states that on May 30, 2025, Enforcement Counsel called Respondent to discuss the documentation he had submitted. (Mot. at 2.) During the call, Enforcement Counsel states that it answered Respondent’s questions regarding CFP Board’s complaint process, sanction guidelines, and the potential for a public press release being a part of the disciplinary outcomes. (*Id.*) The

¹ Respondent was not required to disclose the 2008 DUI in 2017 when he was initially certified. At that time, CFP Board only required candidates to disclose convictions from the previous five years, and, at that time, it had been nine years since Respondent’s 2008 DUI. (*Id.* at 5-6.)

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Motion asserts that, after receiving the information, Respondent stated that he was considering withdrawing from the investigation and relinquishing his CFP® marks and requested a week to consider his options. (*Id.*)

On June 6, 2025, Enforcement Counsel sent an email to Respondent seeking to confirm Respondent's position on whether he intends to continue to participate in the investigation. (*Id.* at 79.) In the Motion, Enforcement Counsel asserts that it also informed Respondent that his default may result in Enforcement Counsel filing a motion for an administrative sanction. (Mot. at 2.) Later that day, Respondent replied, "I do not intend to continue participating in the complaints and investigatory process." (Mot., Ex. 1 at 78-79.)

Enforcement Counsel filed its Motion on August 12, 2025. (Mot. at 5.)

B. Motion

Enforcement Counsel asserts in its Motion that Respondent is in default under Article 4.1.b of the *Procedural Rules* because the June 6, 2025 email from Respondent indicated Respondent's clear intention to cease participation in CFP Board's investigation. (Mot. at 2.)

In the Motion, Enforcement Counsel asserts that Respondent's conduct—involving multiple DUI convictions—may have violated Standards E.2.a and E.5 of CFP Board's *Code of Ethics and Standards of Conduct* by reflecting adversely on his integrity or fitness as a CFP® professional, upon the CFP® marks, or upon the profession. (Mot. at 5.) Enforcement Counsel states that the seriousness, scope, and harmfulness of the conduct warrant an administrative order of revocation. (*Id.*)

II. DISCUSSION

If Respondent indicates a clear intention not to participate or to cease participation in a CFP Board investigation, then the Respondent is in default under Article 4.1 of the *Procedural Rules*.

Enforcement Counsel's Motion states with reasonable particularity the grounds for Respondent's default, as required by Article 4.2 of the *Procedural Rules*. On June 6, 2025, Respondent told Enforcement Counsel that he does not intend to continue participating in the investigation.

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 issues this **Administrative Order of Revocation** against Respondent ("Order"). This Order revokes Respondent's Certification and Trademark License and permanently prohibits Respondent from applying for or obtaining CFP Board certification.

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IV. COMPLIANCE WITH ORDER

Under Article 11.2 of the *Procedural Rules*, Respondent is required to submit to Enforcement Counsel, within 45 calendar days of issuance of this Order, or by **November 17, 2025**, written evidence that Respondent:

- **Has advised Respondent's Firm(s)**, in writing, of this Order in the manner set forth in Standard D.3 of the *Code and Standards*; and
- **Has advised all Clients²** of this Order and provided all Clients 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* (see <http://www.cfp.net/verify>).

Under Article 11.3 of the *Procedural Rules*, Respondent is required to submit to Enforcement Counsel, within 45 calendar days of issuance of this Order, or by **November 17, 2025**, 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
Date: October 1, 2025

² Respondent must notify all clients as the term "Client" is defined in the Glossary to CFP Board's Code and Standards, available at <https://www.cfp.net/ethics/code-of-ethics-and-standards-of-conduct>.