

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

IN THE MATTER OF  
  
BRANDON JAMES BENNETT,  
  
Respondent.

CFP Board Case No. 2022-63648

November 6, 2024

**ADMINISTRATIVE ORDER OF PERMANENT BAR**

On May 16, 2024, Enforcement Counsel for Certified Financial Planner Board of Standards, Inc. (“CFP Board”) filed a Motion for Order of Administrative Permanent Bar (“Motion”) under Article 4.2 of the *Procedural Rules*, requesting that Counsel for CFP Board’s Disciplinary and Ethics Commission (“DEC Counsel”) issue an Administrative Order of Permanent Bar against Respondent.<sup>1</sup> Oral argument was not requested, and 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 April 24, 2019. He remained certified until October 31, 2023, when he administratively relinquished his certification. (Motion at 1.)<sup>2</sup>

**A. Complaint**

On November 27, 2023, Enforcement Counsel filed a Complaint against Respondent alleging violations of the *Code of Ethics and Standards of Conduct* (“*Code and Standards*”). The Complaint cited Respondent’s June 23, 2022 guilty plea in the Circuit Court of the City of Chesapeake, Virginia to Possession of a Schedule I/II Substance, Possession of a Concealed Firearm, and Driving Under the Influence. (Complaint at 1-2.) Respondent did not timely file an answer to the Complaint, and in a February 28, 2024 email to Enforcement Counsel, indicated that he would not file an answer by Enforcement Counsel’s extended deadline. (Motion at 1, Ex. A at A6.)

Given Respondent’s failure to file an Answer, Enforcement Counsel filed this Motion.

**B. Motion**

Enforcement Counsel asserts in its Motion that Respondent is in default under Article 4.1.e. of the *Procedural Rules*.

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<sup>1</sup> Enforcement Counsel set forth in its Motion that it met and conferred via email and telephone with Respondent on February 27, 2024, in a good faith attempt to resolve or narrow the issues.

<sup>2</sup> The Motion, any response to or reply in support of the Motion, and any Exhibits to the Order are not subject to publication under Article 17.7 of the *Procedural Rules*.

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Enforcement Counsel asserts that Respondent's guilty plea is evidence of conduct that reflects adversely on his integrity and fitness as a CFP® professional, upon the CFP® marks, and upon the profession, in violation of Standard E.2.a. of the *Code and Standards*. (Motion at 3-4; Complaint at 2-3.)

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 Permanent Bar against Respondent's right to use the CFP Board certification marks. (Motion at 2.)

## II. DISCUSSION

If a Respondent fails to file an Answer in accordance with Articles 3.2 or 3.4 of the *Procedural Rules*, then Respondent is in default under Article 4.1.e.

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 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 Permanent Bar** against Respondent ("Order") permanently barring Respondent from applying for or obtaining CFP Board certification.

## IV. COMPLIANCE WITH ORDER

Pursuant to Articles 4.5 and 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 Administrative Order of Permanent Bar 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 Administrative Order of Permanent Bar 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*; 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*.

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Pursuant to Articles 4.5 and 11.3 of the *Procedural Rules*, within 45 calendar days from the date of this Order, or **December 23, 2024**, Respondent is required to submit to Enforcement Counsel, by sending an email to [discipline@cfpboard.org](mailto: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 legal action regarding the unauthorized use of the CFP Board certification marks.

Issued by:

Counsel to the Disciplinary and Ethics Commission  
Date: November 6, 2024