

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

In the Matter of :
: CFP Board Case No. 2024-65646
Lee Giobbie, :
: February 15, 2024
Respondent. :
:

ORDER OF INTERIM SUSPENSION

Certified Financial Planner Board of Standards, Inc. (“CFP Board”) first granted Lee Giobbie (“Respondent”) the right to use the CFP Board certification marks, including the CFP[®], CERTIFIED FINANCIAL PLANNER[™],  and  certification marks (“CFP[®] marks”) on September 23, 2009. CFP Board has received evidence relating to Respondent’s alleged role in the breach of the U.S. Capitol building on January 6, 2021, for which he is facing federal criminal charges for civil disorder and obstruction of a legal proceeding, among other charges. On February 14, 2024, Respondent consented to CFP Board entering an Interim Suspension Order against him.

Respondent’s right to use the CFP[®] marks is suspended, effective immediately. Please note that any use of the CFP[®] marks by Respondent during this suspension will be viewed as unauthorized use and could subject Respondent to litigation and/or further CFP Board disciplinary action.

Pursuant to Article 2.1.b. of CFP Board’s *Procedural Rules*, “DEC Counsel, without action by a Hearing Panel or the Disciplinary and Ethics Commission, may deliver an Interim Suspension Order if Respondent: (1) is the subject of a misdemeanor Criminal Conviction, or a felony Criminal Conviction, as defined in Article 7.1, for fraud, misrepresentation, violence, or a crime of moral turpitude; (2) is the subject of a Civil Finding, as defined in Article 7.3; (3) is the subject of Professional Discipline, as defined in Article 7.2, that resulted in a revocation, bar, or an equivalent sanction; (4) voluntarily terminates or surrenders a financial professional license or registration while Respondent is the subject of a Regulatory Investigation; or (5) consents to the entry of an Interim Suspension Order.”

The gravamen of the misconduct concerns the following:

Enforcement Counsel opened an investigation after receiving evidence of Respondent’s alleged role in the January 6, 2021 breach of the U.S. Capitol building. On January 30, 2024, the U.S. Attorney’s Office for the District of Columbia announced federal criminal charges against Respondent for the felony offenses of civil disorder and obstruction of an official proceeding and other crimes, all associated with Respondent’s conduct with respect to the breach of the U.S. Capitol on January 6, 2021. As a result of those charges, Respondent’s firm placed him on suspension, pending further investigation. After cooperating with Enforcement Counsel’s

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preliminary investigation, Respondent consented to CFP Board entering an Interim Suspension Order against him.

Therefore, pursuant to Article 2.1.b.5. of the *Procedural Rules*, DEC Counsel issues this Interim Suspension Order because it has found that Respondent consents to the entry of an Interim Suspension Order.

As stated in Article 2.1.d of the *Procedural Rules*, an Interim Suspension Order will remain in place until: (1) the DEC or, if an appeal is filed, the Appeals Commission issues a final order addressing the conduct at issue in the Interim Suspension Order; (2) Enforcement Counsel dismisses the investigation of the conduct at issue in the Interim Suspension Order and either: (i) Respondent files and DEC Counsel grants a Petition to Vacate the Interim Suspension under Article 2.4 or (ii) Enforcement Counsel files and DEC Counsel grants a Motion to Terminate the Interim Suspension under Article 9.1; (3) Respondent fails to file timely a Petition for Reinstatement After Interim Suspension Order and DEC Counsel grants Enforcement Counsel's Motion for an Administrative Order; (4) Respondent fails to satisfy the requirements of Article 2.3 and DEC Counsel grants Enforcement Counsel's Motion for an Administrative Order; or (5) the DEC grants a Petition for Reinstatement After Interim Suspension Order filed by Respondent and Respondent has completed all requirements for CFP® certification.

An Interim Suspension is considered a form of sanction by CFP Board and will be published in a press release in accordance with Articles 2.2 and 17.7 of the *Procedural Rules*. Respondent is required to submit to CFP Board Enforcement Counsel evidence that he is in compliance with the Interim Suspension Order and a statement of assurance and proof of compliance in accordance with Article 11.3 of the *Procedural Rules* within 45 calendar days from the date of this Order, or by **April 1, 2024**. The evidence should be emailed to discipline@cfpboard.org. If a Respondent fails to satisfy these requirements, then Enforcement Counsel may declare Respondent in default and move for an Administrative Order under Article 4.2.

Issued by:

Counsel to the Disciplinary and Ethics Commission

February 15, 2024