

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

In the Matter of

Jason R. Moore,

Respondent.

CFP Board Case No. 2024-65691

October 3, 2025

ADMINISTRATIVE ORDER OF PERMANENT BAR

On August 20, 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 permanently bars Respondent from CFP® certification. No hearing on the motion was requested, and Respondent did not file a response to the Motion. (Mot. at 1.)¹

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

I. BACKGROUND

Respondent became a CFP® professional on September 8, 2003. (*Id.*) Apart from three periods of administrative relinquishment, Respondent was certified from that date until March 31, 2024, when his certification expired and was not renewed. (Motion, Ex. 1 at 3.)²

A. Investigation

On February 22, 2024, CFP Board Enforcement Staff sent Respondent a Notice of Investigation (“NOI”) requesting information regarding criminal charges filed against Respondent in 2017 (Felony Vehicular Assault) and 2023 (Domestic Assault Bodily Harm), in Henderson County and Shelby County, Tennessee, respectively. (*Id.* at 59-60.)

On April 9, 2024, Enforcement Staff sent Respondent a Second Notice of the NOI, notifying him that he had 14 calendar days to submit a written acknowledgment of receipt of the NOI and to produce the requested information, and alerting him that if he did not comply CFP Board would find him in default and may move for revocation of his CFP® certification. (*Id.* at 62.)

On April 26, 2024, Respondent submitted his response to the NOI. (*Id.* at 65.)

¹ Exhibit 1 attached to Enforcement Counsel’s Motion did not contain page or bates numbers. To facilitate review, Enforcement Counsel is reminded to ensure that page or bates numbers are added to future submissions.

² As part of being a CFP® professional, Respondent agreed to CFP Board’s *Terms and Conditions*. Under Section (j) of the *Terms and Conditions*, Respondent agreed that CFP Board has authority to impose discipline on respondent in the form of a sanction in accordance with the *Terms and Conditions*. Under Section (n) of the *Terms and Conditions*, Respondent agreed that, notwithstanding any expiration or relinquishment of his certification, CFP Board retains jurisdiction to impose any form of sanction available under the *Terms and Conditions*.

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On October 22, 2024, Enforcement Staff emailed Respondent requesting additional documentation confirming that the 2023 charge had been dropped. (*Id.*)

On October 25, 2024, Respondent replied via email, stating that “I did not receive any documentation just a email from my attorney saying it was dropped and he would get rolling on the expungement.” (*Id.*)

On October 30, 2024, Enforcement Staff emailed Respondent, requesting additional information as to whether the charges were dropped as part of a deferred adjudication agreement and documentation related to the disposition of the case. (*Id.* at 63.) Enforcement Staff also explained to Respondent that the investigation could not be concluded without the production of the requested documentation. (*Id.*)

On December 3, 2024, Enforcement Staff sent Respondent a Notice of Failure to Cooperate, citing Respondent’s failure to provide information and documentation regarding the resolution of the 2023 charge and noting that if Respondent does not cure the failure by December 17, 2024, CFP Board may move for an administrative sanction. (*Id.* at 65.)

On April 22, 2025, Enforcement Staff left a voicemail with Respondent to prompt a response or otherwise resolve or narrow the issue of Respondent’s failure to produce the requested materials. (*Id.* at 66.) Enforcement Counsel states that Respondent still has not done so and has materially compromised Enforcement Staff’s ability to adequately investigate the charges. (Mot. at 4.)

Enforcement Counsel filed its Motion on August 20, 2025. (*Id.* at 5.)

B. Motion

Enforcement Counsel asserts in its Motion that Respondent is in default under Article 4.1.c of the *Procedural Rules* because Respondent failed to cure the December 3, 2024 Notice of Failure to Cooperate within 14 calendar days, in accordance with Article 1.3.d of the *Procedural Rules*. (*Id.* at 3-4.)

In the Motion, Enforcement Counsel asserts that Respondent’s conduct—involving violations of Tennessee criminal law in 2017 and 2023—may have violated Standard E.2.a 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. (*Id.* at 4.) Enforcement Counsel states that the seriousness, scope, and harmfulness of the conduct warrant an administrative order imposing a permanent bar against Respondent. (*Id.*)

II. DISCUSSION

If a Respondent fails to cure a Notice of Failure to Cooperate in accordance with Article 1.3.d of the *Procedural Rules*, 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*. Respondent failed to cure the Notice

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of Failure to Cooperate issued to him on December 3, 2024, by not providing Enforcement Staff with information and documentation regarding the resolution of his 2023 domestic assault charge.

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"). This Order permanently prohibits Respondent from applying for or obtaining CFP Board certification.

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 Clients**³ 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 3, 2025

³ 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>.