

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

In the Matter of

Jason M. Kurtz,

Respondent.

CFP Board Case No. 2024-65832

November 25, 2025

ADMINISTRATIVE ORDER OF PERMANENT BAR

On August 26, 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.)

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

I. BACKGROUND

Respondent became a CFP® professional on January 24, 2013, and remained certified until November 30, 2023, when his certification expired and was not renewed. (Mot., Ex. 1 at 3.)¹

A. Investigation

On April 9, 2024, CFP Board Enforcement Staff sent Respondent a Notice of Investigation (“NOI”) requesting information regarding FINRA’s January 4, 2024 suspension of Respondent for failing to comply with a FINRA arbitration award. (Mot. at 4; Mot., Ex. 1 at 74.)

On April 30, 2024, Enforcement Staff again sent Respondent the NOI, notifying him that he had 14 calendar days to submit a written acknowledgment of receipt of the NOI, 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 77.)

On June 11, 2024, Respondent sent Enforcement Staff an email and documents in response to the NOI. (*Id.* at 78-79.)

¹ 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*.

In the Matter of Jason M. Kurtz
CFP Board Case No. 2024-65832
November 25, 2025

On February 5, 2025, after learning that FINRA had barred Respondent from associating with any FINRA members in all capacities, Enforcement Staff emailed Respondent requesting additional documentation, including a detailed description of the events and circumstances leading to his bar by FINRA and his failure to comply with an arbitration award. (*Id.* at 98.) Enforcement Counsel states that Respondent failed to respond. (Mot., Ex. 1 at 103; Mot. at 2.)

On March 12, 2025, Enforcement Staff emailed Respondent to renew its request for additional documents. The email directed Respondent to respond by March 26, 2025, and informed Respondent that if he did not comply, CFP Board would issue a Notice of Failure to Cooperate. (Mot., Ex. 1 at 99-100.) Enforcement Counsel states that Respondent did not respond. (Mot. at 3.)

On April 22, 2025, Enforcement Staff sent Respondent a Notice of Failure to Cooperate, noting that if Respondent does not cure the failure by May 6, 2025, CFP Board may move for an administrative sanction. (Mot., Ex. 1 at 99, 101.)

That same day, 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 102.) Enforcement Counsel states that Respondent did not respond. (Mot. at 2, 4.)

Enforcement Counsel filed its Motion on August 26, 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 April 22, 2025 Notice of Failure to Cooperate within 14 calendar days, in accordance with Article 1.3.d of the *Procedural Rules*. (*Id.* at 3.)

In the Motion, Enforcement Counsel asserts that Respondent's conduct—involving a FINRA suspension and bar—may have violated Standard A.8.a of CFP Board's *Code of Ethics and Standards of Conduct*, which requires a CFP® professional to comply with the laws, rules, and regulations governing Professional Services. (*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.* at 4-5.)

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 of Failure to Cooperate issued to him on April 22, 2025, by not providing Enforcement Staff with information and documentation regarding his FINRA suspension and bar.

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*.

In the Matter of Jason M. Kurtz
CFP Board Case No. 2024-65832
November 25, 2025

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 **January 9, 2026**, 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**² 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 **January 9, 2026**, 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: November 25, 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>.