

## BOARD OF DIRECTORS APPLICATION

Confidential Application for Board Directors – Board Term to Begin 2020

**Important:** Please save this application form to your personal computer before starting to fill out to avoid the risk of losing data.

We are honored that you are interested in serving as a **Director of Certified Financial Planner Board of Standards, Inc.**

With a mission dedicated to serving the public, we seek a broad-based Board that includes CFP® professionals, others in financial services, as well as public members. We also seek a diverse Board as defined by race, ethnicity, gender, religion, age, disability, appearance, geographic location, professional level, market portfolio, size and category of organization currently affiliated with, and professional fee structure, etc. All of which represents the fabric of our communities and the wide range of constituencies that we serve. Directors guide the organization's policy direction in an effort to ensure that we accomplish our mission.

Thank you for considering Board of Director involvement and for the personal time and energy that you will be putting into this important aspect of building a stronger Board and thus a stronger financial planning industry.

Sincerely,

The 2019 Nominating Committee

**In our sincere effort to successfully recruit a qualified and diverse slate of candidates, we have developed a comprehensive selection process. The process includes the following eight (8) steps:**

### STEP 1

All interested parties should carefully review the full position and candidate specifications at [CFP.net/docs/volunteers/candidate.pdf](http://CFP.net/docs/volunteers/candidate.pdf). to self-assess their qualifications and their realistic view of the time commitment that board service will require.

### STEP 2

Each candidate should then complete the electronic application in full. All applications must be received electronically by no later than 5 PM Pacific Coast time, Tuesday, June 7, 2019. Late applications will, unfortunately, not be considered.

### STEP 3

The Nominating Committee will carefully review and assess all applications against the position description profile and will select a "short list" of candidates for further consideration. This will be completed by July 15, 2019.

### STEP 4

The "short list" of candidates will be required to complete a Conflict of Interest questionnaire and undergo a public records background check which is performed by a professional outside contractor.

### STEP 5

Provided that there are not concerns or issues as a result of Step 4, the Nominating Committee will conduct first-round candidate phone interviews. These will be conducted between July 29 and August 16, 2019.

### STEP 6

The Nominating Committee will select a small group of finalist candidates for second-round in-person interviews. The interviews will take place in Washington, DC on September 16 - 17, 2019.

### STEP 7

The Nominating Committee will select 3 - 4 of the finalist pool for full Board consideration in mid-November 2019.

### STEP 8

The Board elects the new Directors at its November board meeting to serve a four-year term, beginning January 1, 2020.

**PLEASE TYPE YOUR RESPONSES - ONLY TYPED APPLICATIONS WILL BE CONSIDERED.**

**No handwritten responses.**

**SECTION I: CANDIDATE CONTACT INFORMATION**

Name:	Preferred Phone:
Email:	Alternate Phone:
Business Name:	Fax:
Business Address:	
Home Address:	

**SECTION II: CANDIDATE SNAPSHOT**

**Age**

- 25-34  55-64
- 35-44  65+
- 45-54

**Gender**

- Female
- Male
- Non-binary/third gender
- Prefer to self-describe: \_\_\_\_\_
- Prefer not to say

**Ethnicity**

- Asian, specify: \_\_\_\_\_
- American Indian or Alaska Native
- Black or African American
- Hispanic/Latino
- White
- Other race: \_\_\_\_\_

**Education**

- Bachelor's Degree  Other Master's Degree
- MBA  PhD
- JD

**Firm Size**

- Major  Boutique
- Midsize  Independent Consultant

**Regional Location**

- New England [ME, NH, VT, MA, RI, CT]
- Mid-Atlantic [NY, NJ, PA, DE, MD, VA, WV & DC]
- Southeast [FL, GA, SC, NC, KY, TN, AL, MS, AR, LA]
- Midwest [MN, IA, MO, WI, IL, IN, MI, OH, ND, SD, NE, KS]
- Southwest [AZ, NM, OK, TX]
- Mountain [MT, ID, WY, NV, UT, CO]
- Pacific [WA, OR, CA, AK, HI]

**Military Service**

- Yes  Previously Served
- Currently Serving  No

**CFP® Certificant**

- No. Financial industry profession and affiliation: \_\_\_\_\_
- Yes. Initial certification date: \_\_\_\_\_  
If yes, what market(s) do you serve:
  - Ultra high-net worth
  - High net-worth mass market
  - Mass market
  - Specify niche, if applicable: \_\_\_\_\_

**Compensation arrangement:**

- Fee only
- Commission only
- Fee and commission
- N/A: \_\_\_\_\_

**SECTION III: EDUCATION, CREDENTIALS AND PROFESSIONAL DESIGNATIONS**

**1. Educational Degrees:**

Degree:	Date Received:	College or Institution:
Degree:	Date Received:	College or Institution:
Degree:	Date Received:	College or Institution:

**2. Licenses, Designations or Certifications:**

Designation:	Date Received:	Granting Organization:
Designation:	Date Received:	Granting Organization:
Designation:	Date Received:	Granting Organization:

**3. If you work in financial planning or financial services, what is your area of subject matter expertise? (If you do not work in financial services, please check NA and skip to Section VI.)**

Generalist     
 Insurance Planning     
 Employee Benefits     
 Tax Planning  
 Retirement Planning     
 Estate Planning     
 NA

**SECTION IV: PROFESSIONAL EXPERIENCE**

**Please list your current position and the previous three.**

Current Position:	Employer:	Dates:
Previous Position:	Employer:	Dates:
Previous Position:	Employer:	Dates:
Previous Position:	Employer:	Dates:

**SECTION V: PREVIOUS BOARD OF DIRECTORS EXPERIENCE (VOLUNTEER AND COMPENSATED)**

Please provide the following information for each Board of Directors on which you have served. Add additional page if necessary.

**Organization 1 Board of Directors Service**

Organization name:

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Dates of service:

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Leadership Positions held, if any, and length of time:

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Reference names, phone numbers, & email addresses:

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**Organization 2 Board of Directors Service**

Organization name:

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Dates of service:

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Leadership Positions held, if any, and length of time:

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Reference names, phone numbers, & email addresses:

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**SECTION VI: PREVIOUS NON-BOARD VOLUNTEER SERVICE**

Please list previous volunteer positions held with CFP Board or other professional/association/industry/community organizations:

Organization	Service/Position Held	Start Date	End Date	Reference Names & Phone Number
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**SECTION VII: DISCLOSURE OF COMPLAINTS CURRENT AND PAST**

**1. Have you ever had a license relinquished or revoked?**

No  Yes. If yes, please explain in the space below or on an attached sheet.

**2. Have you ever declared bankruptcy?**

No  Yes. If yes, please explain in the space below the dates, the type, the circumstances and the outcome.

**3. Are you, or have you ever been, under notice as to any complaints by clients or any regulatory agency which have led or may lead to legal or disciplinary action?**

Currently

Have Been

No

**4. If you are currently under notice or you have been in the past, please briefly explain:**

**SECTION VIII: OPEN-ENDED QUESTIONS**

Please respond to the following open-ended questions. Provide a paragraph and limit each answer to 500 words.

**Question 1.** How do you think the public views CFP Board? What about CFP® certification and its value?

**Question 2.** What do you see as the most pressing issues facing CFP Board over the next 4 years? Why?

**Question 3.** What do you think the future holds for membership organizations like FPA and NAPFA??

**Question 4.** Now that you have read the Board of Director position description, please provide three to five specific reasons, or unique qualifications, you may have that might set you apart from other leading candidates.

**Question 5.** Please describe the contributions you have made to your profession of which you are the most proud.

**Question 6.** Please describe the nature and extent of your media and public speaking experience.

**Question 7.** If selected to serve on the Board of Directors, which Board Committees do you believe you would make the greatest contribution on and why?

- Appeals     Audit     Finance and Investments     Governance     Nominating     CEO Oversight

**Question 8.** CFP Board has recently updated the *Code of Ethics and Standards of Conduct* for CFP® professionals. How might these changes affect you and your firm/organization? Which change is most impactful and how do you plan to address it?

**Question 9.** CFP Board strives to be governed by a diverse Board of Directors who advance our mission to serve the public. When we talk about diversity, we mean a number of different factors such as: business model, location and/or professional level, race, ethnicity, age, gender, religion, sexual orientation, and other factors that enhance diversity and inclusion. Is a diverse board important to CFP Board and how might you enrich its diversity?

**Question 10.** Per the position description, a seat on the Board is a true commitment of time and energy. Do you have any concerns or potential conflicts that may serve as impediments to this time commitment? If so, how might you manage the demands on your time?



**Question 11.** And lastly, are there any personal or professional conflicts of interest, current or anticipated, that might exist that the Board should be aware of in considering your application?

**SECTION IX: IF YOU ARE NOT SELECTED FOR THE BOARD OF DIRECTORS DURING THIS ELECTION CYCLE DUE TO THE COMPETITIVE FIELD AND SMALL NUMBER OF AVAILABLE SEATS, WHAT OTHER VOLUNTEER OPPORTUNITIES MIGHT YOU WISH TO VOLUNTEER FOR:**

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> Ambassador                         | <b>Exam Development Volunteers:</b>       | <b>Center for Financial Planning Volunteers:</b>              |
| <input type="checkbox"/> Mentor                             | <input type="checkbox"/> Job Analysis     | <input type="checkbox"/> Diversity Advisory Group             |
| <input type="checkbox"/> Council on Education               | <input type="checkbox"/> Exam Reviewer    | <input type="checkbox"/> WIN Council                          |
| <input type="checkbox"/> Council on Examinations            | <input type="checkbox"/> Item/Case Writer | <input type="checkbox"/> Workforce Development Advisory Group |
| <input type="checkbox"/> Disciplinary and Ethics Commission | <input type="checkbox"/> Item Reviewer    | <input type="checkbox"/> Scholarship Review Panel             |
| <input type="checkbox"/> Hearing Panel Volunteer            |   |   |

To learn more about opportunities in these areas go to [CFP.net/volunteers](http://CFP.net/volunteers).

**SECTION X: SUBMITTAL AND ACKNOWLEDGEMENT**

I hereby declare that everything on, and attached to, this form is correct and accurate to the best of my knowledge.

Electronic Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Send your completed application by email to:** [cclaway@cfpboard.org](mailto:cclaway@cfpboard.org)

Please refer questions to Christy Callaway at (202) 379-2202 or [cclaway@cfpboard.org](mailto:cclaway@cfpboard.org)

**Deadline: June 7, 2019**