

Interim Suspensions

In certain extraordinary circumstances, a CFP® professional may be **Suspended** before **Enforcement Counsel** completes its **Investigation**. Depending on the circumstances, **Enforcement Counsel** may ask **Counsel to the Disciplinary and Ethics Commission (DEC Counsel)** to issue an **Automatic Interim Suspension Order** or ask the **Disciplinary and Ethics Commission** to issue a **Discretionary Interim Suspension Order**.

Enforcement Counsel determines that there are grounds for an **Interim Suspension Order (ISO)**.

Does **Enforcement Counsel** seek an **Automatic ISO** or **Discretionary ISO**?

AUTOMATIC ISO

Enforcement Counsel files a **Notice** with **DEC Counsel** describing the grounds for an **Automatic ISO**.

DEC Counsel has the discretion to issue an **Automatic ISO**.

If an **Automatic ISO** is not issued, **Enforcement Counsel** may seek a **Discretionary ISO**.

DISCRETIONARY ISO

Enforcement Counsel files a **Petition for Discretionary ISO** with the **Disciplinary and Ethics Commission**.

The individual named has 14 days to file a **Response to Petition**.

A **Hearing Panel** considers the matter and issues an **Order** granting or denying the **Petition**.

An **ISO** may not be appealed.
The recipient must comply with the terms in the **Order**.

DOES THIS MAP APPLY TO ME?

This map applies to CFP® professionals who have engaged in, or are alleged to have engaged in, certain serious conduct.

PRACTICE TIPS

Concepts to Consider:

Grounds for Automatic ISO:

- **Criminal conviction** for fraud, theft, misrepresentation, violence or moral turpitude;
- **Civil Findings** that the individual engaged in fraud, theft, misrepresentation or other professional dishonest conduct;
- **Professional Discipline** resulting in **Revocation, Bar** or equivalent **Sanction**;
- **Voluntary surrender** of professional license while under **Investigation**; or
- The individual's consent.

Grounds for Discretionary ISO:

- The conduct or alleged conduct reflects adversely on the individual's integrity or fitness as a CFP® professional, on the **CFP Board certification marks** or the profession;
- The conduct or alleged conduct (if later proven) likely would result in a **Suspension** under the [Sanction Guidelines](#); and
- An **ISO** would be in the public interest.

Publication: CFP Board publishes orders imposing **Public Sanctions** (including **ISOs**) and/or a summary of the contents of the order in a press release, on CFP Board's website and any other form of public disclosure that CFP Board determines is appropriate.

KEY RESOURCES

[Procedural Rules:](#)

Article 2
Article 7
Article 10.5
Article 17.7

[Handbook for Respondents](#)

[Interim Suspensions & Administrative Orders Video](#)