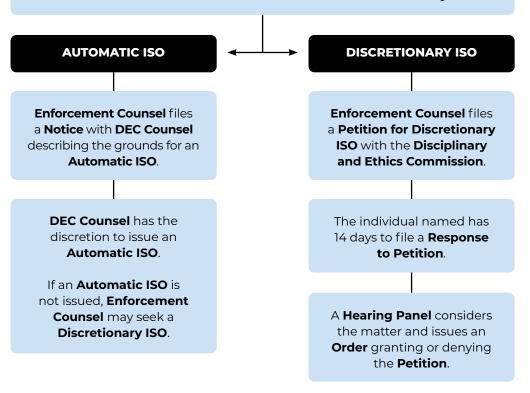
Interim Suspensions

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?



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
- \cdot 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