Petitioning the Disciplinary and Ethics Commission for a Fitness Determination

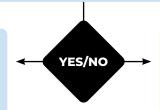
If Enforcement Counsel determines that information from a Candidate's Fitness Evaluation requires review by the Disciplinary and Ethics Commission, Enforcement Counsel will send a Fitness Notice informing the Candidate that they will need to submit a Petition for Fitness Determination demonstrating the Candidate's fitness for certification.

Enforcement Counsel sends a **Fitness Notice**.

Does the **Candidate** want to file a **Petition for Fitness Determination**?

YES:

The **Candidate** has 30 days to file a **Petition for Fitness Determination**.



NO:

The **Candidate's** application will be withdrawn, and the matter will be closed.

Counsel to the Disciplinary and Ethics Commission (DEC Counsel) sends the parties a **Scheduling Order** containing instructions, deadlines and events in the case, including the projected date of any **Hearing**.

The **Scheduling Order** should be reviewed carefully.

The **Disciplinary and Ethics Commission** will review the **Petition for Fitness Determination** with or without a **Hearing**.

Did the **Disciplinary and Ethics Commission** grant the **Petition**?

YES:

The **Candidate** is on their way to certification.

IMPORTANT: The
Disciplinary and Ethics
Commission may issue
a Sanction even if it
grants the Petition. If
the sanction is a Public
Notice, the Final Order
granting the Petition
will be published.



NO:

The **Candidate**is temporarily or
permanently **Barred**from CFP® certification.

IMPORTANT: CFP
Board will publish the
Final Order denying the
Petition and Barring
the Candidate from
CFP® certification.

DOES THIS MAP APPLY TO ME?

This map applies to those applying for CFP® certification who must file a **Petition for Fitness Determination** to finalize the certification process.

PRACTICE TIPS

Concepts to Consider:

Assessment of Fee: Candidates before the Disciplinary and Ethics Commission are assessed a fee. In some circumstances, a Fee Waiver or refund of the assessed fee may be available.

Possibility of Public Sanctions:
In resolving a Petition for Fitness
Determination, the Disciplinary
and Ethics Commission may
issue a Public Sanction — even
if the Petition is granted. A
Candidate should carefully review
the Fitness Standards, the
Pathway to CFP[®] Certification
Agreement, the Procedural
Rules and the Case History
Database to fully understand the
potential outcomes.

A Candidate may Withdraw their application at any time before the Disciplinary and Ethics Commission issues its Final Order.

KEY RESOURCES

Procedural Rules: Article 5 governs the primary components of the Petition for Fitness Determination process.

Article 10 governs **Hearings** in general.

Article 13 governs the resolution of a **Petition for Fitness Determination**.