# Reinstatement After Suspension or Bar (More Than One Year)

Individuals who have been **Suspended** or **Barred** from CFP® certification for more than a year may apply for **Reinstatement** once fewer than six months remain on the **Sanction**. Those seeking **Reinstatement** must submit specified materials showing compliance with the prohibitions against using the **CFP Board certification marks** and will be asked to complete an **Ethics Declaration**.

The individual seeking **Reinstatement** must submit a **Petition for Reinstatement Eligibility**. **Enforcement Counsel** has 30 days to respond.

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.

A **Hearing Panel** considers the submissions and evidence presented at any **Hearing** that is held, then recommends a resolution to the **Disciplinary and Ethics Commission**, which reviews the evidence and makes a decision issued as a **Final Order**. Did the **Disciplinary and Ethics Commission** grant the **Petition for Reinstatement Eligibility**?

## YES:

The individual seeking **Reinstatement** must:

- Submit an <u>Intent to</u>
   Reinstate Form.
- · Pay the **fees**.

on CFP.net.)

- Report outstanding CE credits.
- Complete a Certification Renewal Application and Ethics Declaration.
- Comply with any other requirements listed in the Final Order.
   (See Certification Renewal Instructions

Did a **Background Check** reveal additional misconduct?

# NO: Does the Final Order allow another Petition for Reinstatement Eligibility to be filed in the future? YES: The individual may file NO: The individual

a Renewed Petition for Reinstatement Eligibility within five years of the Sanction date or else be Permanently Barred from CFP® certification. The individual is **Permanently Barred** from CFP® certification, and CFP Board will publish the **Revocation**.

# YES/NO

# YES: Enforcement Counsel begins an Investigation. (See Investigation of CFP®

Professionals Process Map.)

NO:

The **Background Check** and review of **Ethics Declaration** went smoothly. The individual is on their way to certification!

# DOES THIS MAP APPLY TO ME?

This map applies to those who have received a **Suspension** or **Temporary Bar** for more than one year.

## PRACTICE TIPS

**Concepts to Consider:** 

Sanction Compliance: The individual must complete all Post-Sanction Requirements listed in the Final Order issued by the Disciplinary and Ethics Commission before an individual is elicible for Reinstatement.

Contents of Petition: A Petition for Reinstatement Eligibility should address the factors relevant to Rehabilitation and Fitness in Article 11.8 of the Procedural Rules.

Background Checks: Enforcement Counsel may conduct more than one Background Check on those seeking Reinstatement. All new relevant information should be reported to Enforcement Counsel as it arises.

Revocation and Publication: If the Disciplinary and Ethics Commission does not allow a Renewal Petition to be filed, then it must issue a Revocation that Permanently Bars CFP® certification. This Sanction will be published by CFP Board. (See Procedural Rules Article 14.4.b.)

All Final Orders issued by the Disciplinary and Ethics Commission may be Appealed.

## **KEY RESOURCES**

Procedural Rules: Article 11.6 Article 14