# Reinstatement After Suspension or Bar (Up to One Year)

Former CFP® professionals who were **Suspended** or **Barred** from CFP® certification for one year or less may apply for **Reinstatement** once fewer than 30 days remain on the **Sanction**. They must submit specified materials showing that they have complied 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 **Motion for Reinstatement Eligibility**. **Enforcement Counsel** has 30 days to respond.

Counsel to the Disciplinary and Ethics Commission (DEC Counsel) reviews the submissions.

Did DEC Counsel grant the Motion for Reinstatement Eligibility?

#### YES:

The individual seeking **Reinstatement** must:

- Submit an <u>Intent</u>
   to Reinstate Form.
- · Pay the **fees**.
- Report outstanding CE credits.
- · Complete a

  Certification

  Renewal Application

  and Ethics Declaration.

(See **Certification Renewal Instructions** on CFP.net.)

YES/NO →

NO:
A Petition for
Reinstatement
Eligibility must
be filed with the

Disciplinary and Ethics Commission.

(See Reinstatement After Suspension or Bar (More than One Year) Process Map.)

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

#### YES:

**Enforcement Counsel** begins an **Investigation**.

(See Investigation of CFP® Professionals
Process Map.)



### NO:

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

# DOES THIS MAP APPLY TO ME?

This map applies to former CFP® professionals who received a **Suspension** or **Temporary Bar** for one year or less.

## PRACTICE TIPS

Concepts to Consider:

Sanction Compliance: All Post-Sanction Requirements listed in the Final Order issued by the Disciplinary and Ethics Commission must be met before an individual is eligible for Reinstatement.

**Five-Year Deadline:** Those who fail to seek **Reinstatement** within five years of their **Sanction** date will be **Permanently Barred** from certification.

Motion vs. Petition: DEC Counsel decides Motions for Reinstatement Eligibility. The Disciplinary and Ethics Commission decides Petitions for Reinstatement. The individual may file a Petition if DEC Counsel has not decided a motion within 30 days.

Possible Additional 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.

### **KEY RESOURCES**

Procedural Rules: Article 11.5 Article 11.8