



CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS, INC.

1425 K ST NW #800 ■ WASHINGTON, DC 20005

Hearing Panel Volunteer Application (Disciplinary and Ethics Commission)

We are honored that you are interested in serving as a volunteer! Please provide the information below:

SECTION I: Contact Information

Name: _____

Email: _____

Business Name: _____

Business Address: _____

Preferred Phone: _____

SECTION II: Professional Experience

Please list and describe your current and previous positions.

Position: _____ Employer: _____ Dates: _____

Description: _____

Firm size: _____

Position: _____ Employer: _____ Dates: _____

Description: _____

Firm size: _____

Position: _____ Employer: _____ Dates: _____

Description: _____

Firm size: _____

Volunteer Application (continued)

Which of the following business models apply to you?

- Fee-only Financial Planner
- Fee & Commission Financial Planner
- Commission-only Financial Planner
- Registered Investment Adviser
- Broker-Dealer
- Insurance Company
- Bank

SECTION III: Previous Volunteer / Board / Council / Commission Experience (at CFP Board or Otherwise)

Please provide the following information. Add additional page if necessary.

	1	2
Organization Name		
Dates of Service		
Duties or Responsibilities		
Leadership Positions Held, if any, and Length of Time		
Reference Names & Phone Numbers		

Volunteer Application (continued)

SECTION IV: Degrees, Licenses, Designations, and Certifications

1. Educational Degrees:

Degree: _____ Date Received: _____ College or Institution: _____

Degree: _____ Date Received: _____ College or Institution: _____

Degree: _____ Date Received: _____ College or Institution: _____

2. Licenses, Designations or Certifications:

Designation: _____ Date Received: _____ Granting Organization: _____

Designation: _____ Date Received: _____ Granting Organization: _____

Designation: _____ Date Received: _____ Granting Organization: _____

SECTION V: Disclosures

1. Have you ever had a license or designation relinquished or revoked? Yes No If yes, please explain below.

2. Have you ever declared bankruptcy? Yes No If yes, please explain below.

3. Are you, or have you ever been, the subject of any complaints by a client?

Currently Have Been No

Please explain:

4. Are you, or have you ever been, investigated or disciplined by any self-regulatory organization, federal government agency, or state government agency?

Currently Have Been No

Please explain:

Volunteer Application (continued)

SECTION VI: Open-Ended Questions

Please respond to the following open-ended questions. Add additional pages if necessary.

1. Please describe your specific qualifications that position you to be an effective Hearing Panel Volunteer.

2. Have you ever reviewed and analyzed large quantities of documents? If so, please describe.

3. Have you ever been a member of a group that was responsible for making an important decision? If so, describe your interaction with the other decision makers and the contributions you made to the decision-making process.

Volunteer Application (continued)

4. A CFP® professional has borrowed money from a client. Should CFP Board's Disciplinary and Ethics Commission discipline this professional? If so, what sanction would be appropriate? Explain your reasoning.

5. Serving as a Hearing Panel Volunteer requires a substantial time commitment, and involves preparation, including in-person meetings, conference calls, and other commitments. How will you be able to meet this responsibility?

6. What else should we know about you that is not reflected elsewhere in this Application?

SECTION VII: Submittal and Acknowledgement

I agree that everything on and attached to this form is correct and accurate to the best of my knowledge.

Signature: _____ Date: _____

Send your completed application by mail or email to:

CFP Board
Attn: Erin Koeppel, Esq.
Director of Adjudication
1425 K Street NW # 800
Washington, DC 20005

Email: ekoeppel@cfpboard.org