

**CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS, INC.
WASHINGTON D.C.**

IN THE MATTER OF
HARRISON J. CAMPBELL
Respondent.

CFP Board Case No. 2022-63921

May 17, 2024

ORDER OF ADMINISTRATIVE REVOCATION

On April 12, 2024, pursuant to Article 4.2 of Certified Financial Planner Board of Standards, Inc.'s ("CFP Board") *Procedural Rules*, Enforcement Counsel filed a Motion for Order of Administrative Revocation ("Motion")¹ requesting that Counsel for the Disciplinary and Ethics Commission ("DEC Counsel") issue an Administrative Order of Revocation against Harrison J. Campbell ("Respondent").

For the reasons stated below, Enforcement Counsel's Motion is granted.

I. Background

Respondent became a CFP® professional on August 3, 2005, and has been certified since that date.²

On September 6, 2023, Enforcement Counsel delivered to Respondent, and contemporaneously filed with the Disciplinary and Ethics Commission ("DEC") a Complaint for Respondent's third alcohol-related offense, pursuant to Article 3.1 of CFP Board's *Procedural Rules*, for alleged violations of CFP Board's *Code of Ethics and Standards of Conduct* ("Code and Standards"). Pursuant to Article 3.1 of the *Procedural Rules*, the Complaint set forth the grounds for sanction, including a detailed factual description of the conduct and a specific statement of the alleged violations. Enforcement Counsel delivered the Complaint via email to Respondent's CFP Board address of record.

As demonstrated by Respondent's failure to submit an Answer to the Complaint within the required timeframe, Enforcement Counsel determined that Respondent was in default pursuant to Article 4.1.e. of the *Procedural Rules*. Enforcement Counsel filed a Motion for Order of Administrative Revocation ("Motion") on April 12, 2024.

II. Discussion

A. Enforcement Counsel's Motion for Administrative Revocation is Well-Founded

The Complaint set forth the following factual allegations:

¹ Enforcement Counsel certified in its Motion that it had conferred with Respondent in a good faith attempt to resolve or narrow the issues on September 22, 2023, but Enforcement Counsel and Respondent were unable to resolve the issues relating to Respondent's Answer to the Complaint.

² The Motion, any response to or reply in support of the Motion, and any Exhibits to the Order are not subject to publication under Article 17.7 of the *Procedural Rules*.

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On October 21, 2022, pursuant to a conditional written Plea Agreement and Court Order, Respondent was convicted of reckless driving, a misdemeanor, in the County Court of the First Judicial Circuit in Walton County, Florida. The Court sentenced Respondent to probation for 11 months and 29 days, DUI school, and a \$913 fine.

(Complaint ¶15.)

This was Respondent's third alcohol-related conviction.

The Complaint set forth the following grounds for sanction:

There are grounds to sanction Respondent for a violation of Standard E.2.a of the *Code and Standards*, which provides that a CFP® professional may not engage in conduct that reflects adversely on his or her integrity or fitness as a CFP® professional, upon the CFP® marks, or upon the profession, such conduct includes, but is not limited to, conduct that results in a Felony or Relevant Misdemeanor conviction, or admission into a program that defers or with holds the entry of a judgment of conviction for a Felony or Relevant Misdemeanor.

(Complaint ¶16.)

Based on the allegations and grounds for sanction in the Complaint, and the seriousness, scope, and harmfulness of Respondent's conduct, DEC Counsel finds that Enforcement Counsel has met the threshold requirements for filing its Motion for Order of Administrative Revocation.

B. Respondent is in Default

Pursuant to Article 4.1.e. of the *Procedural Rules*, if Respondent fails to file an Answer in accordance with Article 3.2 then Respondent is in default. Respondent failed to file an Answer to the Complaint within 30 calendar days of delivery of the Complaint, as required by Article 3.2 of the *Procedural Rules*. Respondent is therefore in default under Article 4.1.e. of the *Procedural Rules*.

Respondent failed to answer the Complaint and has expressed a clear intent to no longer maintain the marks. (*See* Motion, Ex, 1 at 11.) Respondent is in default pursuant to Article 4.1.e of the *Procedural Rules*, and his conduct warrants the issuance of an Order of Administrative Revocation.

C. Conclusion

DEC Counsel finds that Respondent is in default pursuant to Article 4.1.e. of the *Procedural Rules*. The Motion is granted, and DEC Counsel issues this Order of Administrative Revocation ("Order") wherein Respondent's right to use the CFP Board certification marks is permanently revoked.

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D. Compliance with Order

Pursuant to Article 11.2 of the *Procedural Rules*, Respondent is required to submit to Enforcement Counsel, within **45 calendar days**, of issuance of this Order, or by **July 1, 2024**, written evidence that Respondent:

- Has advised Respondent's Firm(s), in writing, of this Order of Administrative Revocation in the manner set forth in Standard D.3 of the *Code and Standards*; and
- Has advised all Clients (as Client is defined in the Glossary to the *Code and Standards*) of this Order of Administrative Revocation and provided all Clients the location of CFP Board's website that sets forth Respondent's disciplinary history in the manner set forth in Standard A.10 of the *Code and Standards*; and
- Will advise all future Clients of the location of CFP Board's website that sets forth Respondent's disciplinary history, according to Standard A.10 of the *Code and Standards*.

Pursuant to Article 11.3 of the *Procedural Rules*, within **45 calendar days** from the date of this Order, or by **July 1, 2024**, Respondent is required to submit to Enforcement Counsel, by sending an email to discipline@cfpboard.org, Respondent's statement of assurance that Respondent will not use the CFP Board certification marks and proof that Respondent has removed the CFP Board certification marks from all internet sites or other tangible materials that Respondent exposes to the public, including screenshots of the businesses, social media, and third-party financial advisor listing website profiles that Respondent controls, pictures of signage, and when applicable, copies of Respondent's business cards, letterhead, and marketing and promotional materials, as well as pictures of any other materials Respondent controls in which the CFP® marks previously appeared publicly in reference to Respondent or Respondent's services. Failure to do so may result in further disciplinary or legal action regarding the unauthorized use of the CFP Board certification marks.

Issued by:

Counsel to the Disciplinary and Ethics Commission
CFP Board