

BOARD OF DIRECTORS APPLICATION

Confidential Application for Board Directors – Board Term to Begin January 1, 2022

Important: Please save this application form to your personal computer before starting to fill out to avoid the risk of losing data.

We are honored that you are interested in serving as a **Director of Certified Financial Planner Board of Standards, Inc.**

In preparation for selecting CFP Board's next class of board directors, the Nominating Committee conducted a detailed gap analysis. The Committee identified professional experiences, skills and/or business models that would best compliment the current directors—given the mission and future strategic direction of the organization.

As a result of this analysis, the Nominating Committee anticipates identifying up to four individuals, a majority of which will be CFP® professionals. The Committee will favor candidates with one or more of the following characteristics:

- A representative from a major national Registered Investment Adviser;
 - A representative from a national direct retail financial services firm;
 - A representative from a large wirehouse;
 - A program director or faculty member from a CFP Board Registered Program.
 - Strategic planning
 - Board governance
 - Financial compliance, regulatory, enforcement or discipline
- Additional considerations include candidates with expertise in one or more of the following:
- Executive experience
 - Technology expertise and adoption of digital advice

Thank you for considering Board of Director involvement and for the personal time and energy that you will be putting into this important aspect of building a stronger Board and thus a stronger financial planning industry.

Sincerely,

The 2021 Nominating Committee

In our sincere effort to successfully recruit a qualified and diverse slate of candidates, we have developed a comprehensive selection process. The process includes the following eight (8) steps:

STEP 1 – All interested parties should carefully review the full position and candidate specifications at [CFP.net/docs/volunteers/candidate.pdf](https://www.cfp.net/docs/volunteers/candidate.pdf). to self-assess their qualifications and their realistic view of the time commitment that board service will require.

STEP 2 – Each candidate should then complete the electronic application in full. All applications must be received electronically by no later than 5 PM Pacific Coast time, June 10, 2021. Late applications will, unfortunately, not be considered.

STEP 3 – The Nominating Committee will carefully review and assess all applications against the position description profile and will select a “short list” of candidates for further consideration. This will be completed by mid-July.

STEP 4 – The “short list” of candidates will be required to complete a Conflict of Interest questionnaire and undergo a public records background check which is performed by a professional outside contractor.

STEP 5 – Provided that there are not concerns or issues as a result of Step 4, the Nominating Committee will conduct first-round candidate phone interviews. These will be conducted between August 12 to September 3, 2021.

STEP 6 – The Nominating Committee will select a small group of finalist candidates for second-round in-person interviews. The interviews will take place in Washington, DC on October 12 - 13, 2021.

STEP 7 – The Nominating Committee will select 3 - 4 of the finalist pool for full Board consideration in mid-November 2021.

STEP 8 – The Board elects the new Directors at its November board meeting to serve a four-year term, beginning January 1, 2022.

PLEASE TYPE YOUR RESPONSES - ONLY TYPED APPLICATIONS WILL BE CONSIDERED.

No handwritten responses.

SECTION I: CANDIDATE CONTACT INFORMATION

| | |
|-------------------|------------------|
| Name: | Preferred Phone: |
| Email: | Alternate Phone: |
| Business Name: | Fax: |
| Business Address: | |
| Home Address: | |

SECTION II: CANDIDATE SNAPSHOT

Age

- 25-34 55-64
- 35-44 65+
- 45-54

Gender

- Female
- Male
- Non-binary/third gender
- Prefer to self-describe: _____
- Prefer not to say

Ethnicity

- Asian, specify: _____
- American Indian or Alaska Native
- Black or African American
- Hispanic/Latino
- White
- Other race: _____

Education

- Bachelor's Degree Other Master's Degree
- MBA PhD
- JD

Business Type

Nominating Committee's priorities for the Class of 2024 are below. Which one of the below best describes your background:

- Large National RIA Direct retail Other: (please describe): _____
- Wirehouse or Broker Dealer Academic Institution

Regional Location

- New England [ME, NH, VT, MA, RI, CT]
- Mid-Atlantic [NY, NJ, PA, DE, MD, VA, WV & DC]
- Southeast [FL, GA, SC, NC, KY, TN, AL, MS, AR, LA]
- Midwest [MN, IA, MO, WI, IL, IN, MI, OH, ND, SD, NE, KS]
- Southwest [AZ, NM, OK, TX]
- Mountain [MT, ID, WY, NV, UT, CO]
- Pacific [WA, OR, CA, AK, HI]

Military Service

- Yes Previously Served
- Currently Serving No

CFP® Certificant

- No. Financial industry profession and affiliation: _____
- Yes. Initial certification date: _____
If yes, what market(s) do you serve:
 - Ultra high-net worth
 - High net-worth mass market
 - Emerging affluent
 - Mass market
 - Specify niche, if applicable: _____

SECTION III: EDUCATION, CREDENTIALS AND PROFESSIONAL DESIGNATIONS

1. Educational Degrees:

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|---------|----------------|-------------------------|
| Degree: | Date Received: | College or Institution: |
| Degree: | Date Received: | College or Institution: |
| Degree: | Date Received: | College or Institution: |

2. Licenses, Designations and Certifications:

| | | |
|--------------|----------------|------------------------|
| Designation: | Date Received: | Granting Organization: |
| Designation: | Date Received: | Granting Organization: |
| Designation: | Date Received: | Granting Organization: |

3. The Committee will favor candidates with one or more of the following characteristics. Please indicate how your experience fits with any of the following:

Strategic planning

Board governance

Executive experience

Financial compliance, regulatory, enforcement or discipline

Technology expertise and adoption of digital advice

SECTION IV: PROFESSIONAL EXPERIENCE

Please list your current position and the previous three.

| | | |
|--------------------|-----------|--------|
| Current Position: | Employer: | Dates: |
| Previous Position: | Employer: | Dates: |
| Previous Position: | Employer: | Dates: |
| Previous Position: | Employer: | Dates: |

SECTION V: CURRENT AND/OR PREVIOUS BOARD OF DIRECTORS EXPERIENCE (VOLUNTEER AND COMPENSATED)

Please provide the following information for each Board of Directors on which you have served. Add additional page if necessary.

Organization 1 Board of Directors Service

Organization name:

Dates of service:

Leadership Positions held, if any, and length of time:

Reference names, phone numbers, & email addresses:

Organization 2 Board of Directors Service

Organization name:

Dates of service:

Leadership Positions held, if any, and length of time:

Reference names, phone numbers, & email addresses:

SECTION VI: CURRENT AND/OR PREVIOUS NON-BOARD VOLUNTEER SERVICE

Please list previous volunteer positions held with CFP Board or other professional/association/industry/community organizations:

| Organization | Service/Position Held | Start Date | End Date | Reference Names & Phone Number |
|--------------|-----------------------|------------|----------|--------------------------------|
|--------------|-----------------------|------------|----------|--------------------------------|

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SECTION VII: DISCLOSURE OF COMPLAINTS CURRENT AND PAST

Have you ever received public discipline from a professional body?

No Yes. If yes, please explain in the space below or on an attached sheet.

SECTION VIII: OPEN-ENDED QUESTIONS

Please respond to the following open-ended questions. Responses must be limited to 150 words. Do not extend your answer beyond the box provided.

Question 1. What does CFP Board do well? What services should we continue to provide or even accelerate?

Question 2. What might CFP Board do to better serve the public?

Question 3. During the past year or two, what were CFP Board's biggest missed opportunities?

Question 4. What specific role should CFP Board be playing in the general scheme of supporting the financial planning profession as a whole?

Question 5. What do you see as the most pressing issues facing the financial planning profession over the next 5-10 years?

Question 6. What role do you envision technology playing related to the delivery of financial advice?
Do you see technology as a threat or opportunity?

Question 7. For decades, CFP Board has been committed to inclusion in terms of both a diverse workforce of financial professionals and the makeup of our governing board. Do you have any thoughts/suggestions on how we might elevate these efforts? How might you enrich the diversity of Board of Directors?

Question 8. The key to an evolving organization is the strength and vision of its governing body. What board experiences do you have that would best prepare you for a seat on our board?

Question 9. After reviewing the position description, and based on what you know about CFP Board, what makes you a leading candidate?

Question 10. Are there any personal or professional impediments related to conflicts of interest or time commitments, current or anticipated, that the board should be aware of in considering your candidacy?

SECTION IX: SUBMITTAL AND ACKNOWLEDGEMENT

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

Electronic Signature:

Date:

Send your completed application by email to: ccallaway@cfpboard.org

Please refer questions to Christy Callaway at (202) 379-2202 or ccallaway@cfpboard.org

Deadline: June 10, 2021