

**CFP BOARD ETHICS DECLARATION  
RENEWAL APPLICATION FOR CERTIFICATION**

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS “YES”, YOU WILL BE ASKED FOR ADDITIONAL INFORMATION. YOU WILL ALSO BE PROVIDED AN OPPORTUNITY TO SUBMIT RELEVANT DOCUMENTATION. YOU CAN ACCESS ARCHIVED COPIES OF PREVIOUS DECLARATIONS SUBMITTED TO CFP BOARD THROUGH YOUR ACCOUNT.

PLEASE NOTE THAT QUESTION 10 IS AVAILABLE FOR REPORTING ANY CONDUCT THAT YOU BELIEVE IS REQUIRED TO BE REPORTED BUT DOES NOT FIT WITHIN ANY OF THE OTHER CATEGORIES OR QUESTIONS. IF YOU HAVE ANY QUESTIONS ABOUT THE REPORTABILITY OF ANY CONDUCT, PLEASE ERR ON THE SIDE OF DISCLOSURE.

**PLEASE NOTE THAT THE ITALICIZED TERMS ARE TERMS FOR WHICH THERE IS A DEFINITION OR OTHER GENERAL GUIDANCE, WHICH CAN BE ACCESSED BY HOVERING YOUR CURSOR OVER SUCH TERM.**

**PART 1 – REPORTABLE CONDUCT BY APPLICANT**

	YES	NO
<b>Criminal</b>		
1. Other than matters previously reported to CFP Board, have you ever:		
a. been charged with any <i>Felony</i> or <i>Relevant Misdemeanor</i> ?	0	0
b. been convicted of, or pleaded guilty or nolo contendere (no contest) to, any <i>Felony</i> or <i>Relevant Misdemeanor</i> ?	0	0
c. been admitted into a program that defers or withholds prosecution, adjudication or the entry of a judgment or conviction for any <i>Felony</i> or <i>Relevant Misdemeanor</i> ?	0	0
<b>Regulatory</b>		
2. Other than matters previously reported to CFP Board, have you ever:		
a. been <i>involved</i> in, been named as the subject of, or had your conduct mentioned adversely in a <i>Regulatory Action</i> ?	0	0
b. been <i>involved</i> in, been named as the subject of, or had your conduct mentioned adversely in an inquiry, investigation, or complaint initiated or conducted by a federal, state, local or foreign governmental agency, self-regulatory authority or other regulatory authority?	0	0
c. been <i>involved</i> in, been named as the subject of, or had your conduct mentioned adversely in a <i>Finding</i> by a federal, state, local or foreign governmental agency, self-regulatory authority or other regulatory authority to have been involved in a violation of its laws, rules or regulations?	0	0
d. had an application for registration or professional licensure denied or materially restricted?	0	0
<b>Professional Certifications and Designations</b>		
3. Other than matters previously reported to CFP Board, have you ever had a professional certification or designation suspended, revoked, restricted, or denied as a result of any violation of a code of ethics, rules, or standards of conduct?	0	0
<b>Civil Actions</b>		

4. Other than matters previously reported to CFP Board, have you ever:		
a. had your conduct mentioned adversely in any <i>Civil Action</i> in which it was alleged that you failed to comply with the laws, rules, or regulations governing <i>Professional Services</i> ?	0	0
b. had your conduct mentioned adversely in any <i>Civil Action</i> in which it was alleged that you engaged in fraud, theft, misrepresentations, or other dishonest conduct?	0	0
c. had an arbitration award or civil judgment entered against you in a <i>Civil Action</i> in which it was alleged that you failed to comply with the laws, rules, or regulations governing <i>Professional Services</i> ?	0	0
d. settled a <i>Civil Action</i> in which it was alleged that you failed to comply with the laws, rules, or regulations governing <i>Professional Services</i> ?	0	0
e. been the subject of a <i>Finding</i> by any domestic or foreign court to have engaged in fraud, theft, misrepresentations, or other dishonest conduct?	0	0
f. settled a <i>Civil Action</i> in which it was alleged that you engaged in fraud, theft, misrepresentations, or other dishonest conduct?	0	0
<b>Customer Complaints</b>		
5. Other than matters previously reported to CFP Board, have you ever been named as the subject of, or been identified as the broker/adviser of record in, an oral or written complaint initiated by a customer in which it was alleged that you were involved in forgery, theft, misappropriation, or conversion of <i>Financial Assets</i> ?	0	0
6. Other than matters previously reported to CFP Board, have you ever been named as the subject of, or been identified as the broker/adviser of record in, an oral or written complaint initiated by a customer in which it was alleged that you were involved in sales practice violations and (i) contained a claim for compensation of \$5,000 or more or (ii) settled for an amount of \$15,000 or more?	0	0
<b>Employment Separations</b>		
7. Other than matters previously reported to CFP Board, have you ever:		
a. been terminated for cause, discharged or permitted to resign in lieu of termination when the cause of the termination or resignation involved allegations of violating laws, rules, or regulations or firm policies and procedures?	0	0
b. been terminated for cause, discharged or permitted to resign in lieu of termination when the cause of the termination or resignation involved allegations of fraud, misrepresentations, or other dishonest conduct?	0	0
<b>Personal Financial Issues</b>		
8. Other than matters previously reported to CFP Board, have you ever:		
a. filed or been the subject of a personal bankruptcy petition?	0	0
b. received notice of a federal tax lien against you?	0	0
c. failed to satisfy a non-federal tax lien, judgment lien, or civil judgment within one year of its date of entry?	0	0
9. Do you have any unsatisfied judgments or liens against you?	0	0
<b>Other/Update</b>		
10. Are there any other matters that you need to report?	0	0

11. Do you need to report an update to a previously reported matter?	<input type="radio"/>	<input type="radio"/>
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PART 2 – REPORTABLE CONDUCT BY ENTITIES		
THIS SECTION CONTAINS QUESTIONS REGARDING CONDUCT BY ENTITIES OF WHICH YOU ARE A CONTROL PERSON. IF YOU ARE NOT A CONTROL PERSON OF ANY ENTITY, YOU MAY SELECT NO TO THE INITIAL QUESTION, WHICH WILL AUTOMATICALLY GENERATE AN ANSWER OF N/A FOR EACH SUCCESSIVE QUESTION. HOWEVER, IF YOU BELIEVE AN ANSWER TO ONE OF THE SUCCESSIVE QUESTIONS REQUIRES EITHER A “YES” OR “NO” OR REQUIRES AN EXPLANATION, YOU CAN MANUALLY OVERRIDE THE AUTOPOPULATED ANSWER BY CHOOSING EITHER “YES” OR “NO”.		
	YES	NO
Are you a <i>Control Person</i> of any Entity?	<input type="radio"/>	<input type="radio"/>
<b>Criminal (Control Person)</b>		
Other than matters previously reported to CFP Board, has an entity over which you acted as a <i>Control Person</i> ever:		
a. been charged with any <i>Felony</i> or <i>Relevant Misdemeanor</i> ?	<input type="radio"/>	<input type="radio"/>
b. been convicted of, or pleaded guilty or nolo contendere (no contest) to, any <i>Felony</i> or <i>Relevant Misdemeanor</i> ?	<input type="radio"/>	<input type="radio"/>
c. been admitted into a program that defers or withholds prosecution, adjudication or the entry of a judgment or conviction for any <i>Felony</i> or <i>Relevant Misdemeanor</i> ?	<input type="radio"/>	<input type="radio"/>
<b>Regulatory (Control Person)</b>		
12. Other than matters previously reported to CFP Board, has an entity over which you acted as a <i>Control Person</i> ever:		
a. been involved in, been named as the subject of, or had its conduct mentioned adversely in a <i>Regulatory Action</i> ?	<input type="radio"/>	<input type="radio"/>
b. been involved in, been named as the subject of, or had its conduct mentioned adversely in an inquiry, investigation, or complaint initiated or conducted by a federal, state, local or foreign governmental agency, self-regulatory authority or other regulatory authority?	<input type="radio"/>	<input type="radio"/>
c. been involved in, been named as the subject of, or had its conduct mentioned adversely in a <i>Finding</i> by a federal, state, local or foreign governmental agency, self-regulatory authority or other regulatory authority to have been involved in a violation of its laws, rules or regulations?	<input type="radio"/>	<input type="radio"/>
d. had an application for registration or professional licensure denied or materially restricted?	<input type="radio"/>	<input type="radio"/>
<b>Civil Actions (Control Person)</b>		
13. Other than matters previously reported to CFP Board, has an entity over which you acted as a <i>Control Person</i> ever:		
a. had its conduct mentioned adversely in any <i>Civil Action</i> in which it was alleged that it failed to comply with the laws, rules, or regulations governing <i>Professional Services</i> ?	<input type="radio"/>	<input type="radio"/>
b. had its conduct mentioned adversely in any <i>Civil Action</i> in which it was alleged that it engaged in fraud, theft, misrepresentations, or other dishonest conduct?	<input type="radio"/>	<input type="radio"/>

c. had an arbitration award or civil judgment entered against it in a <i>Civil Action</i> in which it was alleged that it failed to comply with the laws, rules, or regulations governing <i>Professional Services</i> ?	0	0
d. settled a <i>Civil Action</i> in which it was alleged that it failed to comply with the laws, rules, or regulations governing <i>Professional Services</i> ?	0	0
e. been the subject of a <i>Finding</i> by any domestic or foreign court to have engaged in fraud, theft, misrepresentations, or other dishonest conduct?	0	0
f. settled a <i>Civil Action</i> in which it was alleged that it engaged in fraud, theft, misrepresentations, or other dishonest conduct?	0	0
<b>Financial Issues (Control Person)</b>		
14. Other than matters previously reported to CFP Board, has an entity over which you acted as a <i>Control Person</i> ever:		
a. filed or been the subject of a business bankruptcy petition?	0	0
b. received notice of a federal tax lien against it?	0	0
c. failed to satisfy a non-federal tax lien, judgment lien, or civil judgment within one year of its date of entry?	0	0
15. Does an entity over which you acted as a <i>Control Person</i> have any unsatisfied judgments or liens against it?	0	0

## DEFINITIONS AND GUIDANCE

**Civil Action.** A lawsuit or arbitration.

**Control Person.** A person who has the power, directly or indirectly, to direct the management or policies of the entity at the relevant time, through ownership, by contract, or otherwise.

**Felony.** A felony offense, or for jurisdictions that do not differentiate between a felony and a misdemeanor, an offense punishable by a sentence of at least one-year imprisonment or a fine of at least \$1,000.

**Financial Assets.** Securities, insurance products, real estate, bank instruments, commodities contracts, derivative contracts, collectibles, or other financial products.

**Finding.** A finding includes an adverse final action and a consent decree in which the finding is neither admitted nor denied, but does not include a deficiency letter, examination report, memorandum of understanding, or similar informal resolution of a matter.

**Involved.** A person is involved in a regulatory matter if he or she has been asked to provide documents, testimony, or other information in a Regulatory Investigation or Regulatory Action.

**Professional Services.** Financial Advice and related activities and services that are offered or provided, including, but not limited to, Financial Planning, legal, accounting, or business planning services.

**Regulatory Investigation.** An investigation initiated by a federal, state, local, or foreign governmental agency, self-regulatory organization, or other regulatory authority. A Regulatory Investigation does not include examinations, deficiency letters, “blue sheet” requests, or other trading questionnaires.

**Regulatory Action.** An action initiated by a federal, state, local, or foreign governmental agency, self-regulatory organization, or other regulatory authority in which such agency or authority makes allegations or findings of conduct that violates the laws, rules, or regulations governing Professional Services.

**Relevant Misdemeanor.** A criminal offense, that is not a Felony, for conduct involving fraud, theft, misrepresentation, other dishonest conduct, crimes of moral turpitude, violence, or a second (or more) alcohol and/or drug-related offense.

SAMPLE