

Policy on the Publication of Disciplinary Information

Updated September, 2014



PURPOSE

The purpose of this policy is to protect the public interest, and promote fairness and transparency, by establishing guidelines for the publication of disciplinary notices.

SCOPE

All FPSC reports on disciplinary action.

OBJECTIVE

Ensure that the publication of FPSC's reports on disciplinary action is fair to all CFP® professionals and FPSC Level 1® Certificants (collectively FPSC Registrants) and that this information is available to be shared with the public as needed.

RESPONSIBILITIES

The Enforcement Policy Committee will review this policy from time to time and recommend any changes required to the Board of Directors as needed for approval.

PUBLICATION OF DISCIPLINARY NOTICES

Disclosure of Disciplinary Information

All reports on disciplinary actions will be available on the FPSC website in a dedicated section for review by members of the profession and the public. A historic searchable database will also be available for use on the FPSC website. The FPSC enforcement section will be searchable using common website search tools.

Amount of Information Disclosure

The names of the individual, their location, a brief summary of the facts of the case, the investigative process, the provisions of the Code that were violated, and the decision will be available in a pdf format.

Forums for Disclosure

The disclosure of disciplinary actions can be made on the FPSC website, in the FP Standard or other FPSC publications, local or national newspapers, and in any other manner deemed appropriate by FPSC to facilitate the purpose of informing and protecting the public, including notification of the individual's employer, associates, partners or the relevant governing bodies of other professions.

Time Limit for Information to be Disclosed

Disciplinary actions will be kept in the FPSC database and available to the public on the website for a period of ten years before being deleted.

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