Enforcement Process Complaints Public Initiated by the Complaints **Standards** Council **INTAKE AND INITIAL REVIEW** During the initial review, Standards Council staff consider whether there is sufficient evidence of a breach of the Standards of Professional Responsibility. Close with Escalate to Close **Staff Caution** Investigation **INVESTIGATION CONDUCT REVIEW PANEL** An independent panel of CFP® professionals and public members determines appropriate disposition of complaints Close with Letter of Escalate to Close **Guidance and Advice** Hearing **DISCIPLINARY HEARING** No Misconduct Found **Misconduct Found PENALTY HEARING** Other penalties Admonishment Suspension Revocation/Ban (i.e. award of costs, continuing education requirements, etc.)