



## Public Disciplinary Actions

The College for Financial Planning's Professional Designations Public Disciplinary Actions include the following:

- Public Letter of Reprimand
- Suspension of an individual's rights to use the designation for a fixed period of time
- Permanent Revocation of an individual's rights to use the designation

Below is a list of individuals who have had a public discipline imposed by the College for Financial Planning's Ethical Conduct Committee. Individuals may also be disciplined privately with a letter of caution or admonishment. Private discipline is not made public. To verify if an individual is currently authorized to use one of the College's Professional Designations, please use the [Find an Advisor](#) search function on this web site.

### Suspension

Daniel A. Abbott - CRPC <sup>®</sup>	1/1/2010 - 3/12/2010	Matthew R. Grabbe – AAMS <sup>®</sup>	3/22/2018-4/21/2018
David B. Altweger – CRPC <sup>®</sup>	6/15/2017 – 7/15/2017	Charles C. Grinkmeyer – CRPC <sup>®</sup>	3/1/2012 – 2/28/2013
Odias A. Bachelder II - CRPC <sup>®</sup>	3/1/2011 - 5/29/2011	Samuel D. Gurvitch – CMFC <sup>®</sup>	6/30/2017 – 9/30/2017
Carlos Benavidez Jr. – AWMA <sup>®</sup>	6/24/2016 – 12/24/2016	Susanna A. Gutkin – AWMA <sup>®</sup>	7/13/2016 – 4/13/2017
Joel E. Blum – CRPC <sup>®</sup>	2/22/2017 – 3/14/2017	Michael D. Hanke – CRPC <sup>®</sup>	10/15/2013 – 10/15/2014
Frederick J. Bothmer – CRPC <sup>®</sup>	6/20/2012 – 3/19/2013	Patrick J. Illies - CRPC <sup>®</sup>	11/22/2010 - 8/22/2011
Kye R. Bounds, CRPC <sup>®</sup>	9/10/2015-12/31/2016	Ronald C. Kemp - CRPC <sup>®</sup>	1/1/2010 - 1/15/2010
David F. Brochu – AAMS <sup>®</sup> , CRCP <sup>®</sup>	9/15/2009 - 9/15/2010	Raymond W. Lee – CRPS <sup>®</sup>	4/20/2012-4/19/2013
Scott A. Brooks – CRPC <sup>®</sup>	7/21/2015 – 8/30/2015	Roshan A. Loungani – CRPC <sup>®</sup>	1/2/2017 – 3/3/2017
Kwok C. Chiu – CRPC <sup>®</sup>	2/17/2016 – 3/17/2016	John C. Miller – APMA <sup>®</sup>	8/6/2016-9/5/2016
J. Graydon Coghlan - CRPC <sup>®</sup>	5/1/2010 - 7/30/2010	Joseph S. Miller - CRPC <sup>®</sup>	5/14/2009 - 5/30/2009
Beth E. DuToit – CRPS <sup>®</sup>	8/2/2017 – 11/1/2017	Robert L. O'Neil - CMFC <sup>®</sup>	7/20/2011 - 11/20/2011
Adam D. Estes – AAMS <sup>®</sup>	1/19/2018-7/19/2018	John L. Ong - CRPC <sup>®</sup>	6/1/2010 - 5/31/2011
Phil J. Fiore – CRPC <sup>®</sup>	8/7/2017 – 9/7/2017	Joseph A. Weber – AAMS <sup>®</sup>	3/19/2018 – 3/19/2019
Michael Jason Gamez – AAMS <sup>®</sup>	3/3/2017 - 7/31/2017	Kathryn A. Winter – AAMS <sup>®</sup>	12/16/2011 – 3/16/2012
Kenton Kyle Gearhart – CRPC <sup>®</sup>	8/8/2017 – 9/7/2017		

### Revocation

Anthony H. Barkate - CRPS <sup>®</sup>	3/18/2010
Scott T. Harstad – CRPC <sup>®</sup>	9/7/2012