



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®	1/1/2010 - 3/12/2010
Odias A. Bachelder II - CRPC®	3/1/2011 - 5/29/2011
Carlos Benavidez Jr. – AWMA®	6/24/2016 – 12/24/2016
Frederick J. Bothmer – CRPC®	6/20/2012 – 3/19/2013
Kye R. Bounds, CRPC®	9/10/2015-12/31/2016
David F. Brochu – AAMS®, CRCP®	9/15/2009 - 9/15/2010
Scott A. Brooks – CRPC®	7/21/2015 – 8/30/2015
Kwok C. Chiu – CRPC®	2/17/2016 – 3/17/2016
J. Graydon Coghlan - CRPC®	5/1/2010 - 7/30/2010
Michael Jason Gamez – AAMS®	3/3/2017 - 7/31/2017
Charles C. Grinkmeyer – CRPC®	3/1/2012 – 2/28/2013
Susanna A. Gutkin – AWMA®	7/13/2016 – 4/13/2017
Michael D. Hanke – CRPC®	10/15/2013 – 10/15/2014
Patrick J. Illies - CRPC®	11/22/2010 - 8/22/2011
Ronald C. Kemp - CRPC®	1/1/2010 - 1/15/2010
Raymond W. Lee – CRPS®	4/20/2012-4/19/2013
Roshan A. Loungani – CRPC®	1/2/2017 – 3/3/2017
John C. Miller – APMA®	8/6/2016-9/5/2016
Joseph S. Miller - CRPC®	5/14/2009 - 5/30/2009
Robert L. O'Neil - CMFC®	7/20/2011 - 11/20/2011
John L. Ong - CRPC®	6/1/2010 - 5/31/2011
Kathryn A. Winter – AAMS®	12/16/2011 – 3/16/2012

Revocation

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