



National Association of Estate Planners & Councils

1120 Chester Avenue - Suite 470, Cleveland, Ohio 44114

COMPLAINT POLICY AND PROCEDURE FOR THE ACCREDITED ESTATE PLANNER® DESIGNATION

The National Association of Estate Planners & Councils (NAEPC) is dedicated to setting and promoting standards of excellence for professionals in estate planning. The NAEPC recognizes the importance of promulgating a code of behavior for its members that emphasizes a team approach to estate planning, and relies upon the competency, knowledge, professionalism, integrity, objectivity, and responsibility of each person qualifying as a candidate for certification.

To this end, all active Accredited Estate Planner® (AEP®) designees agree to continuously abide by the NAEPC Code of Ethics (<http://www.naepc.org/codeofethics.web>) and to maintain an ongoing commitment to the team concept of estate planning. Should an individual or a state or federal agency believe that an active AEP® designee has acted in an unethical or unprofessional manner, a complaint may be filed against the designee. A Complaint Form, available below in a downloadable PDF format, with supporting documentation should be submitted to the NAEPC, 1120 Chester Avenue, Suite 470, Cleveland, Ohio 44114 or by email to admin@naepc.org.

Any complaint filed against an active Accredited Estate Planner® (AEP®) designee will be directed to the Chairperson of the AEP® Committee for his or her consideration. If the chairperson determines that the complaint has merit, a Complaint Review Committee consisting of three (3) members who have the following characteristics shall be formed at the discretion of the AEP® Chairperson to determine if the designation should be revoked:

- non-NAEPC board members who currently hold the AEP® designation, one of whom must share the same primary discipline as the subject of the complaint and the other two must primarily practice in two different professional disciplines from the subject of the complaint;
- who do not work for the same company or firm as the subject of the complaint;
- who are not related within the fourth degree of consanguinity to the subject of the complaint; and
- who do not personally know the subject of the complaint.

The chairperson will review the complaint within thirty (30) days of receipt to determine whether a review committee should be convened. If convened, the review committee will make a recommendation to the AEP® Committee within sixty (60) days of receipt of the complaint. The AEP® Committee will review the recommendation of the Complaint Review Committee and make a final recommendation to the NAEPC board of directors as to whether the designation should be revoked. All decisions made by the NAEPC board of directors shall be final.