



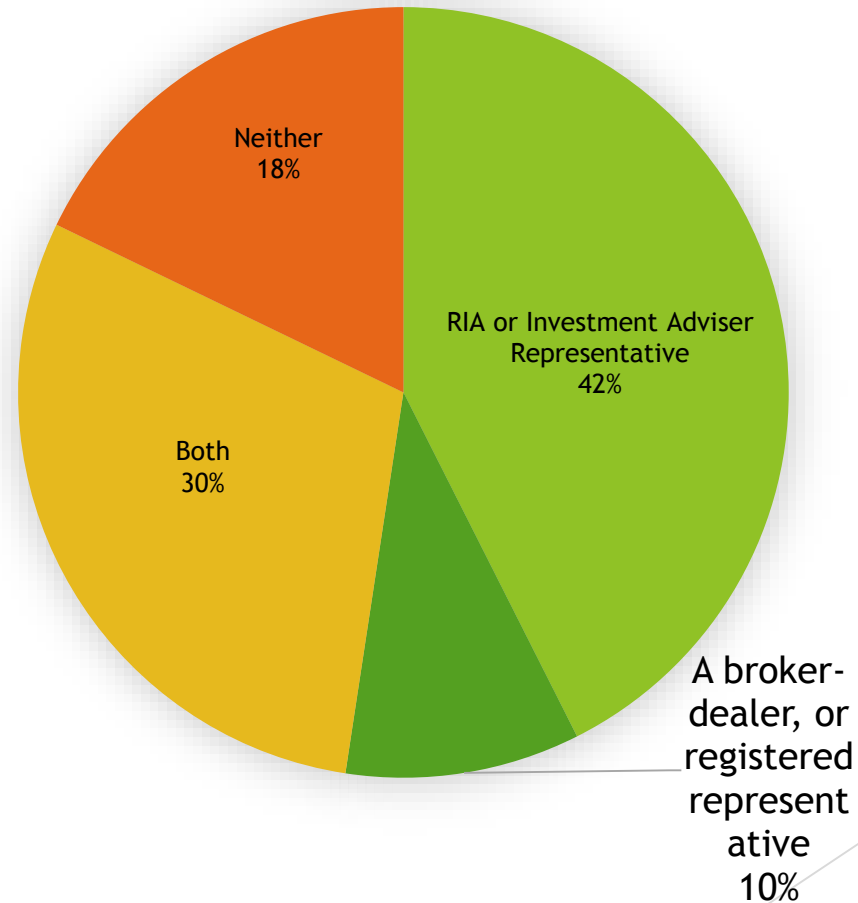
# **FPA Annual Advocacy Survey**

## **November 2015**

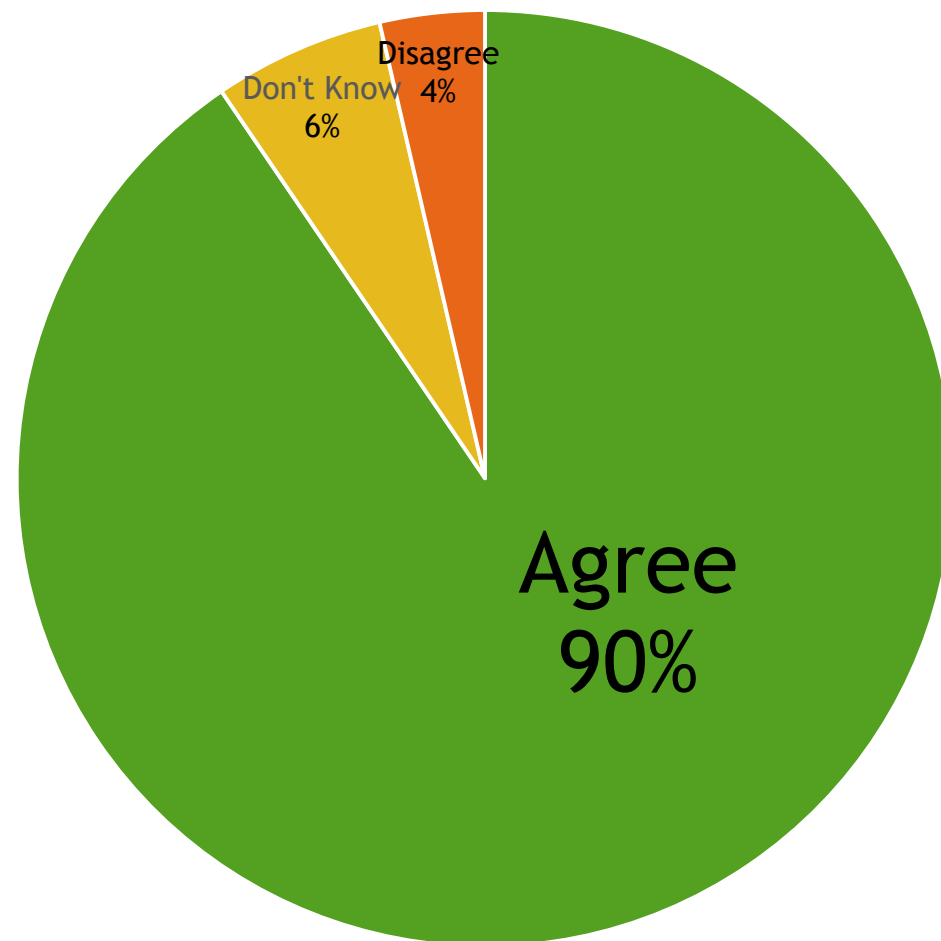
## Survey Demographics

- Survey was sent to 15,297 FPA Members
- Of 1109 who started, 967 participated
- Survey has margin of error of  $\pm 3.04\%$  for entire FPA membership

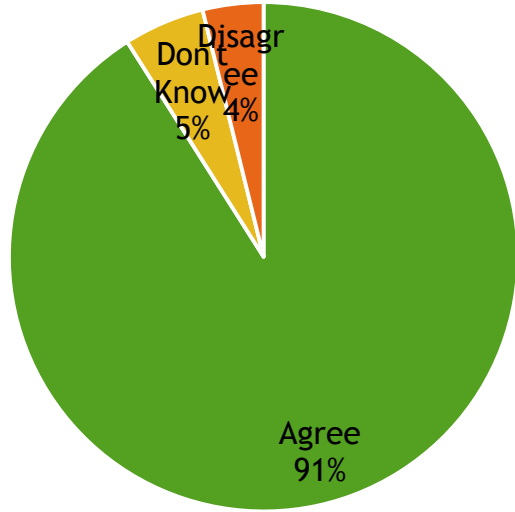
## Participants by Role:



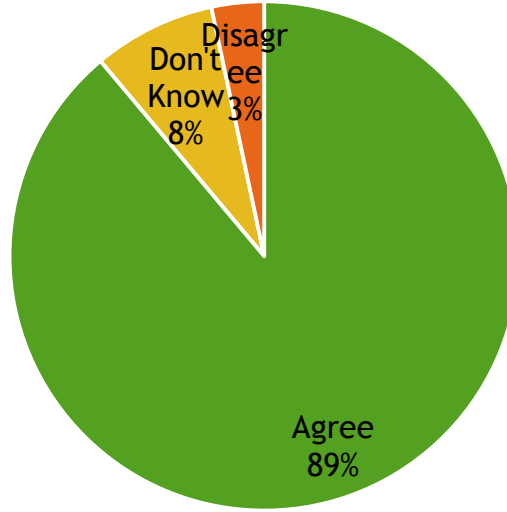
It is important to me that financial planners be recognized as a distinct profession



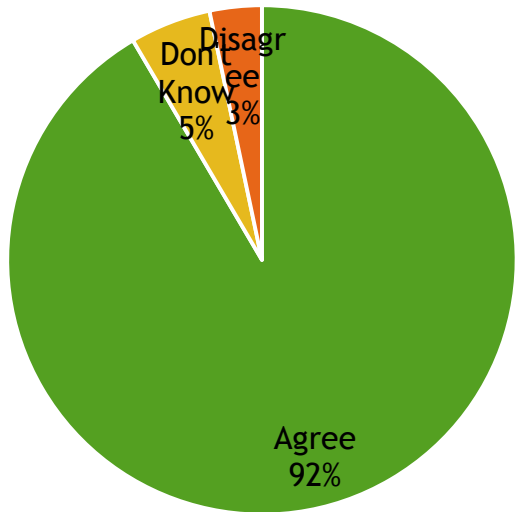
RIAs



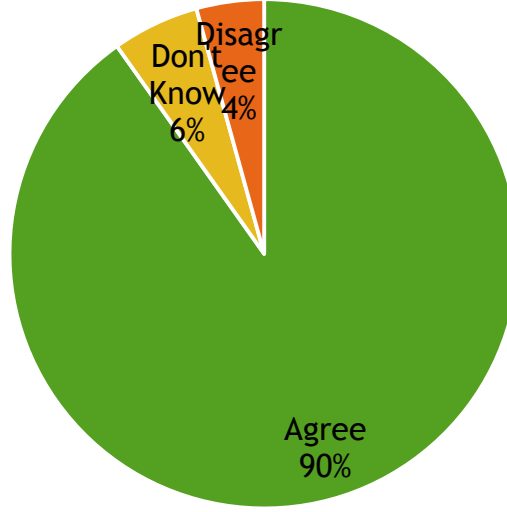
RR-BDs



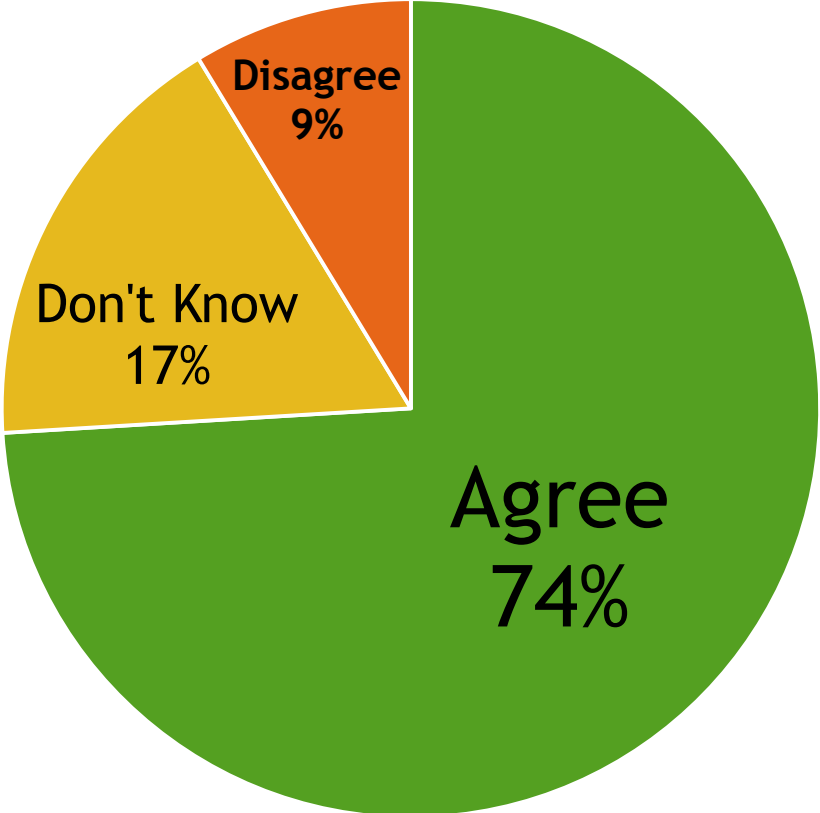
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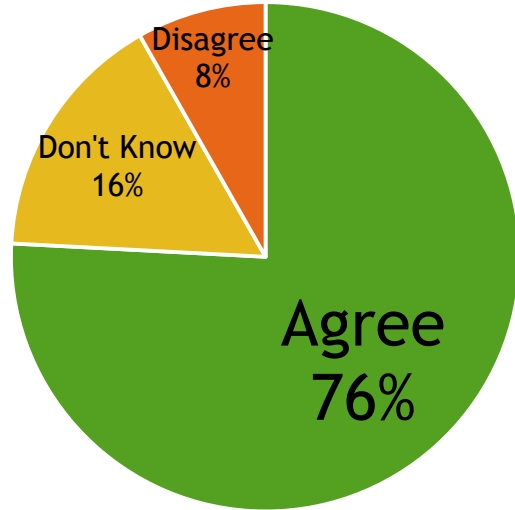
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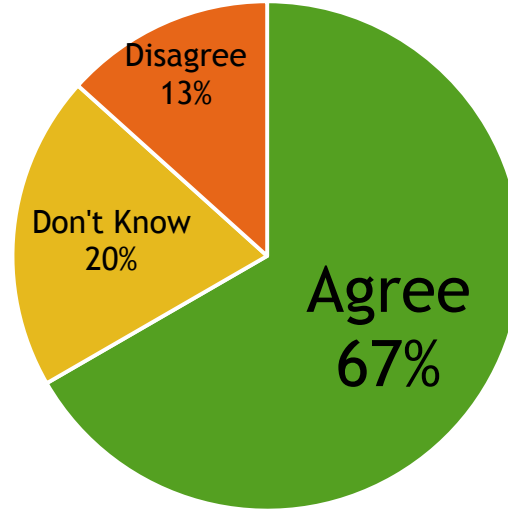
**It is important to me that financial planners be regulated  
as a distinct profession**



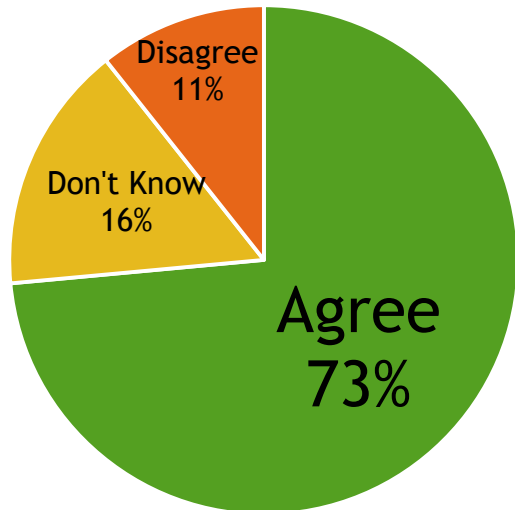
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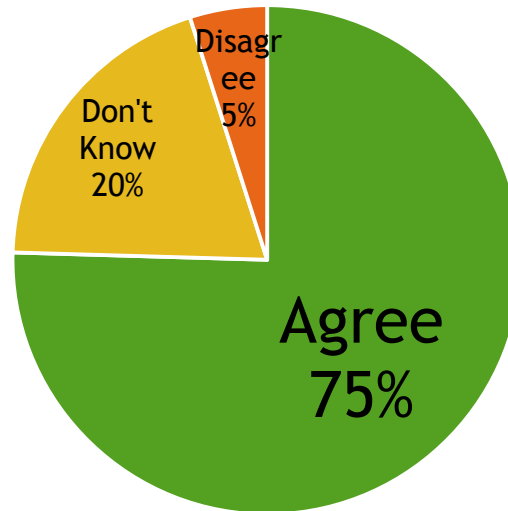
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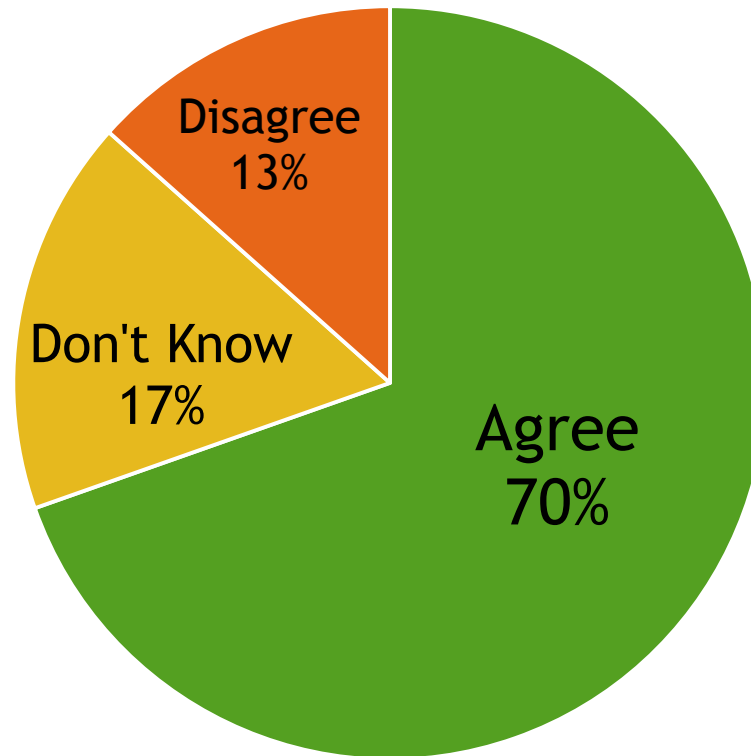
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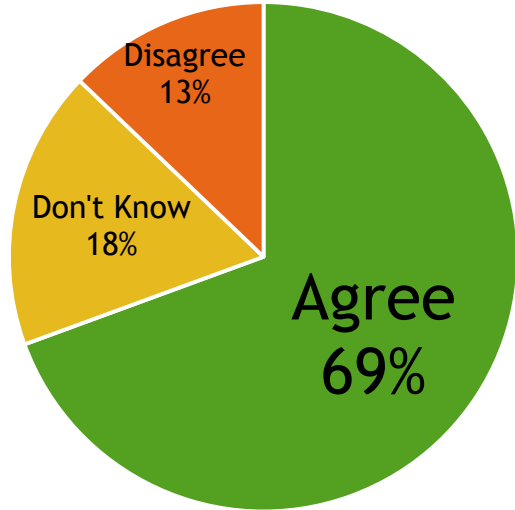
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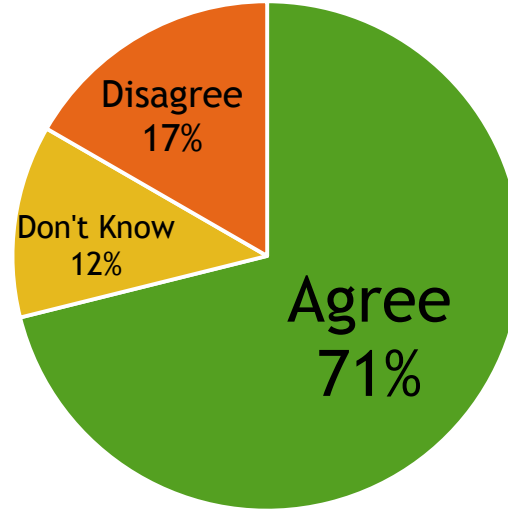
Would you support the regulation of financial planners at the state level that included reciprocity between states, similar to how attorneys and CPAs are regulated?



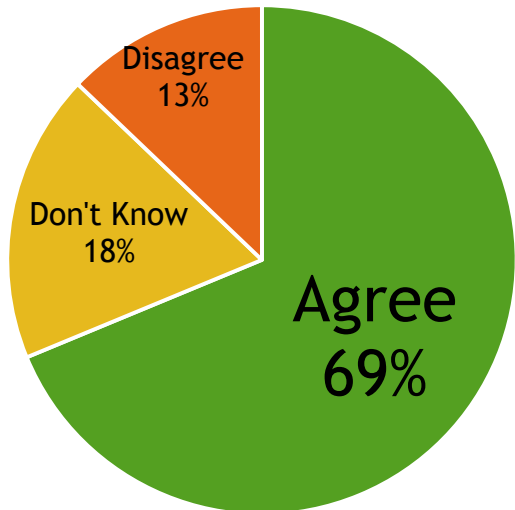
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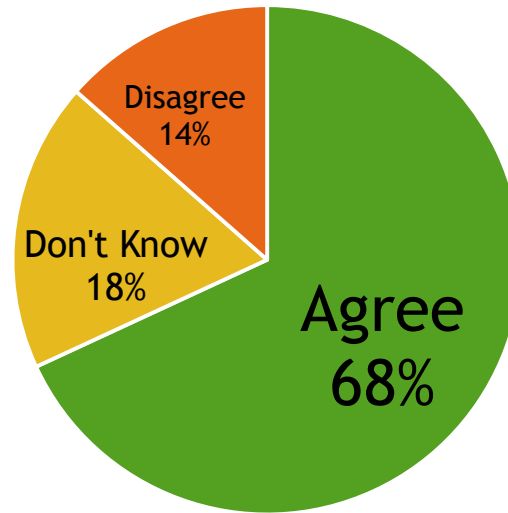
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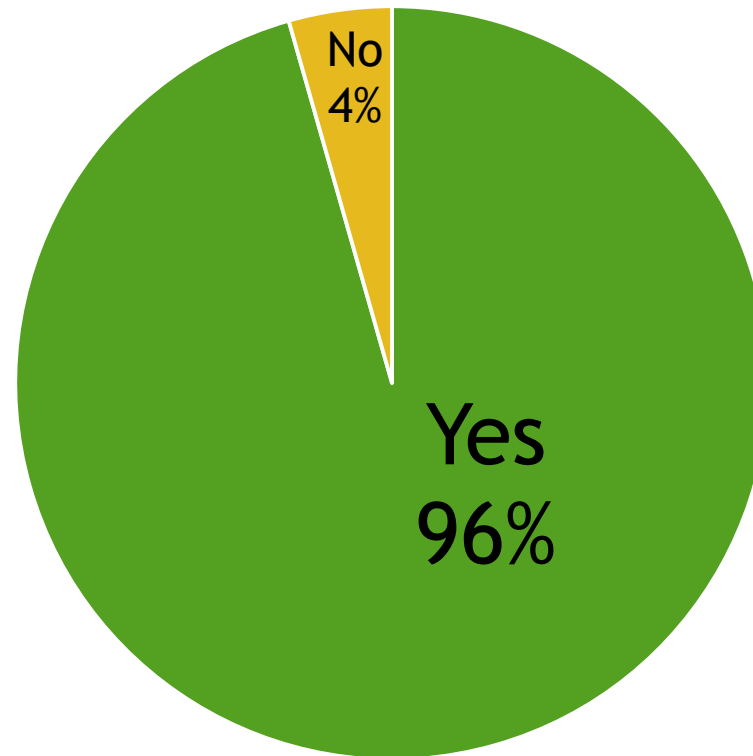


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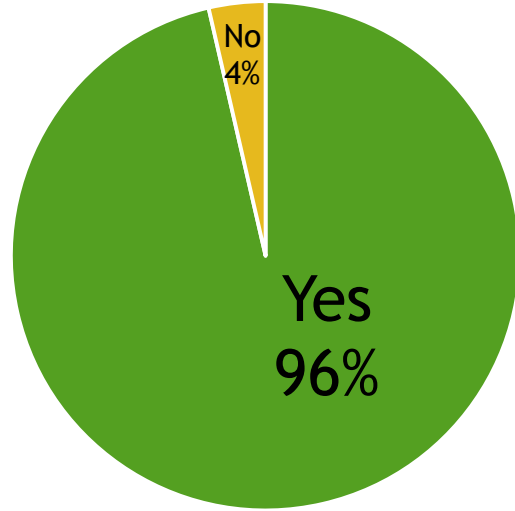




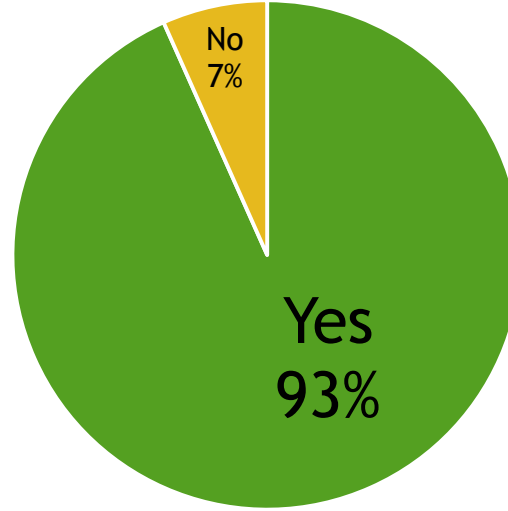
FPA strongly opposes efforts to tax financial planning services at the state level. Do you oppose the state taxation of financial planning services?



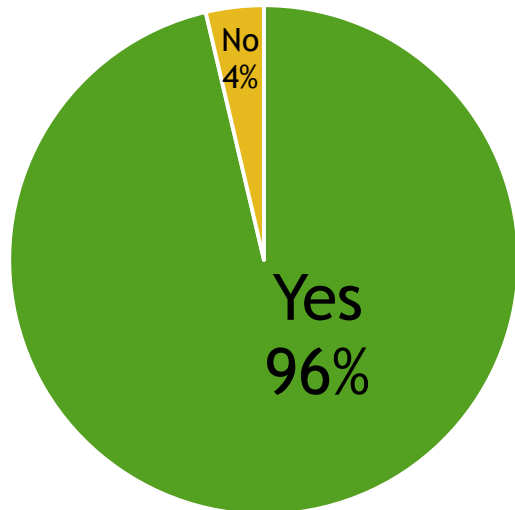
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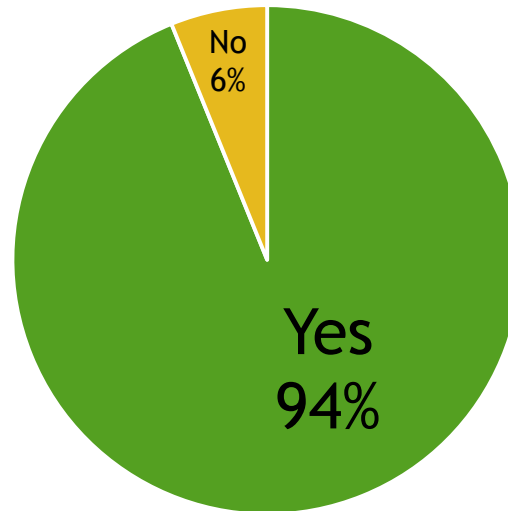
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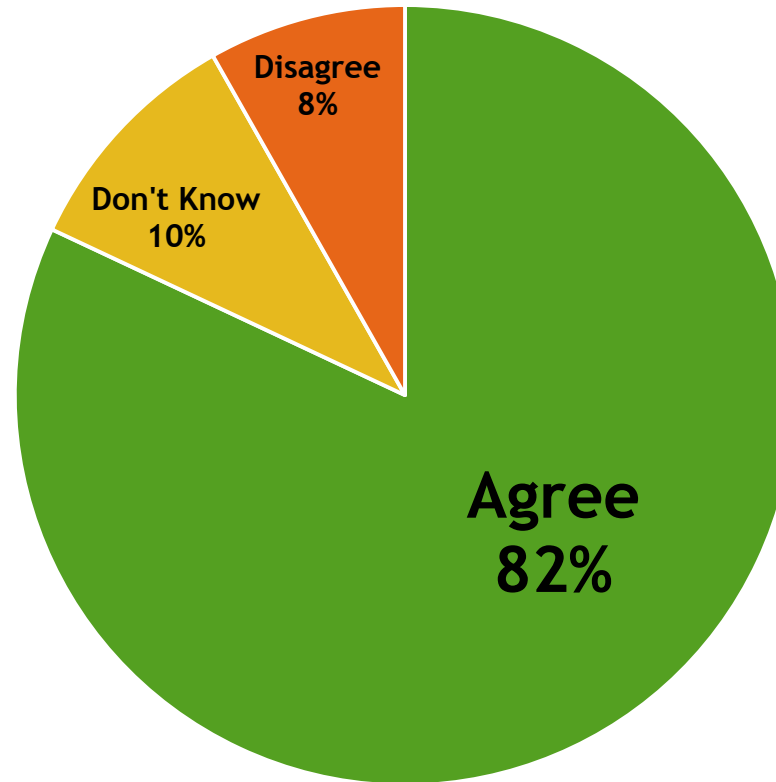
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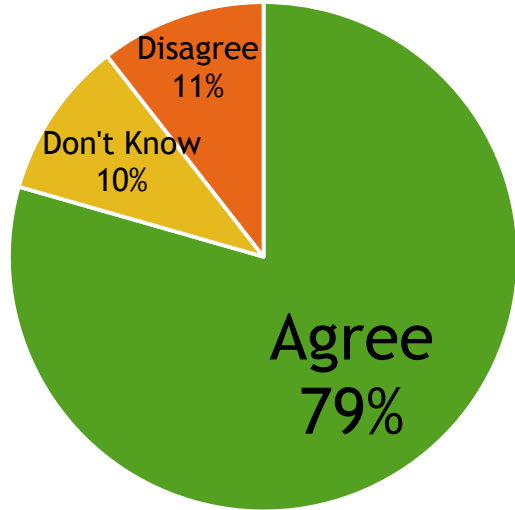
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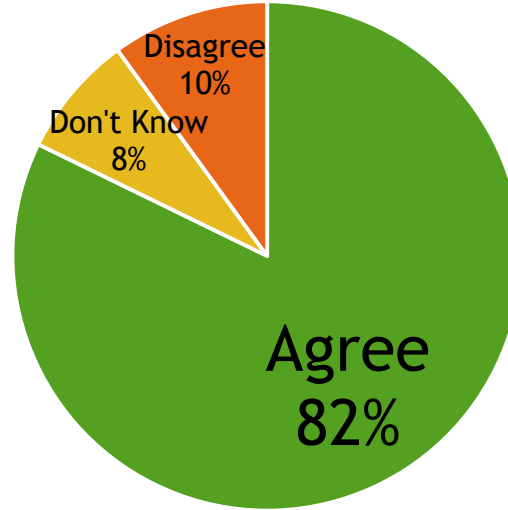
FPA is a compensation neutral association. FPA has emphasized the need for financial planners to act as fiduciaries in their clients' best interests, by fully disclosing and fairly managing all conflicts of interest. Do you agree with FPA's emphasis of fi



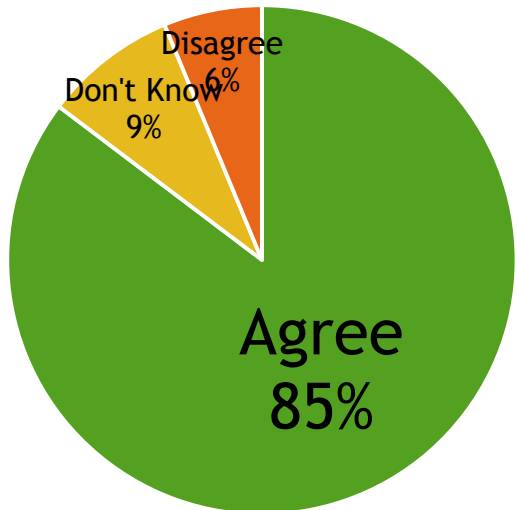
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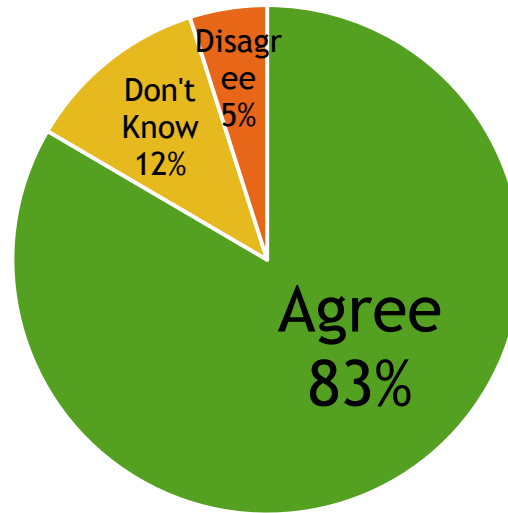
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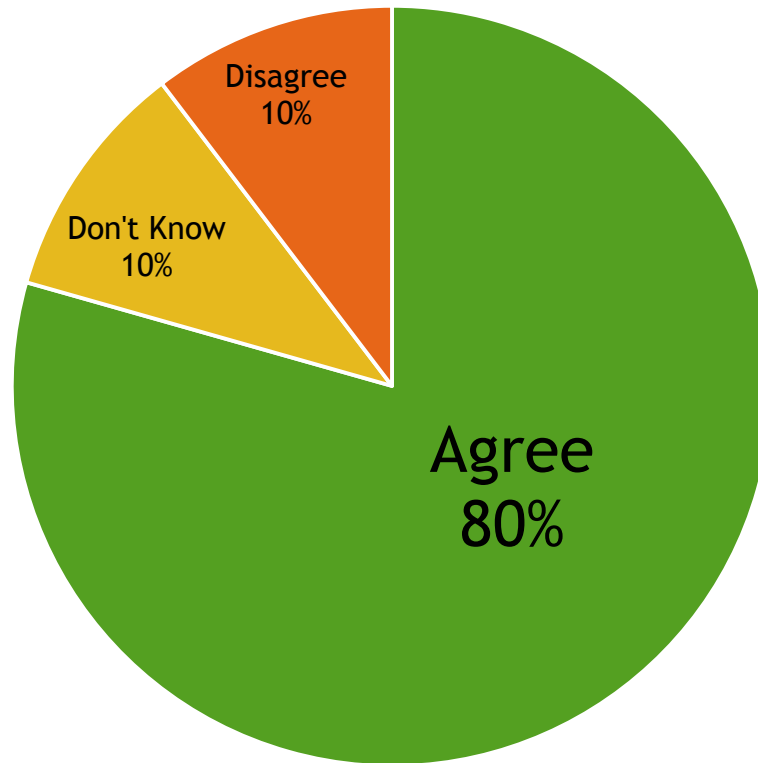
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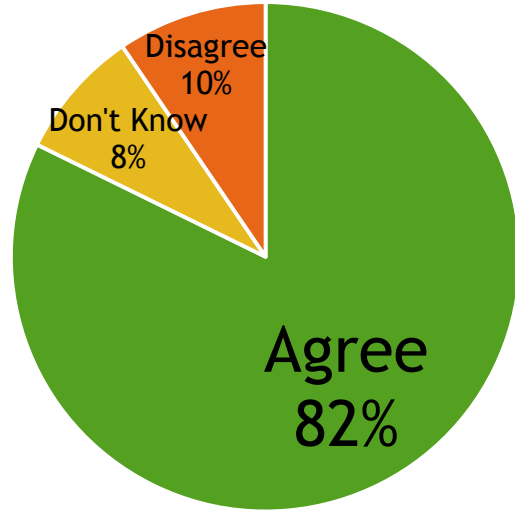
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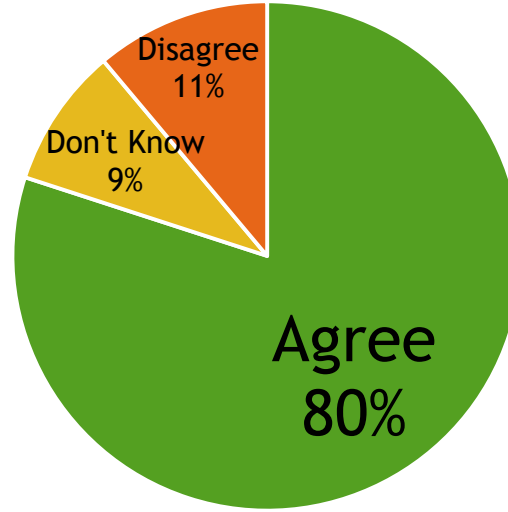
An SEC uniform fiduciary standard should apply to all financial services providers offering personalized investment advice.



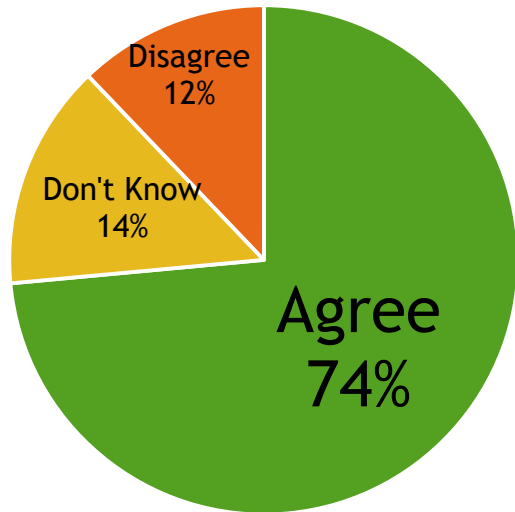
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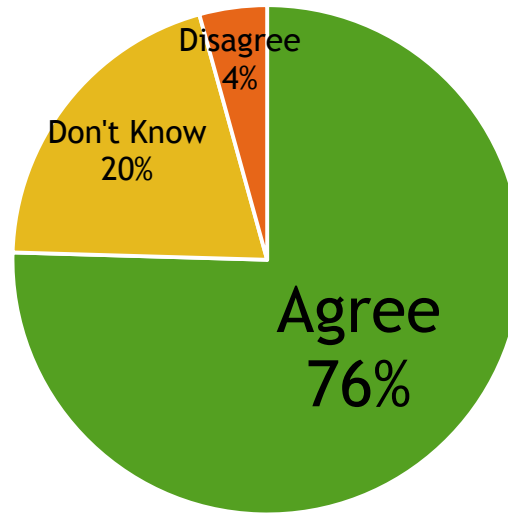
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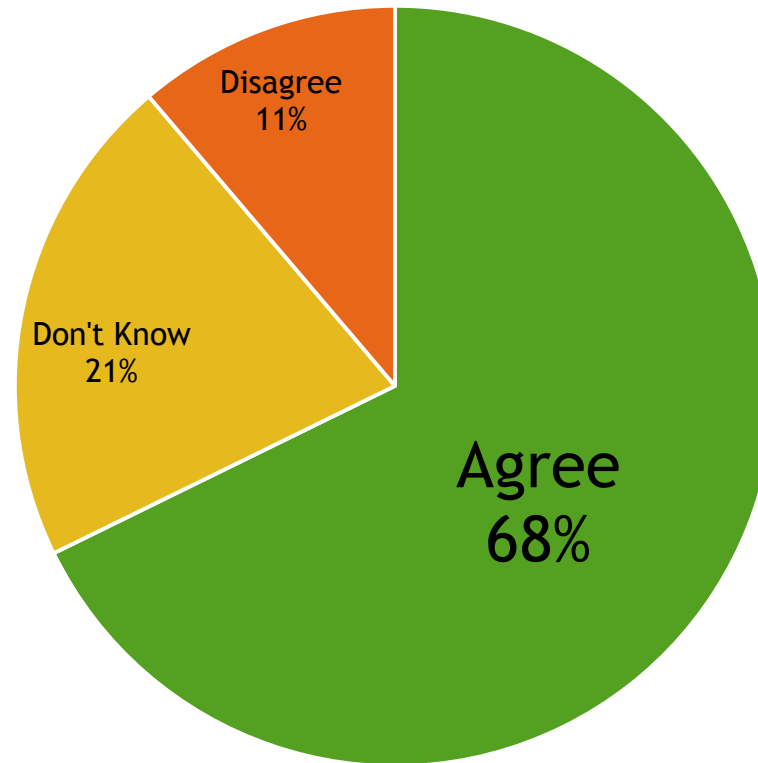
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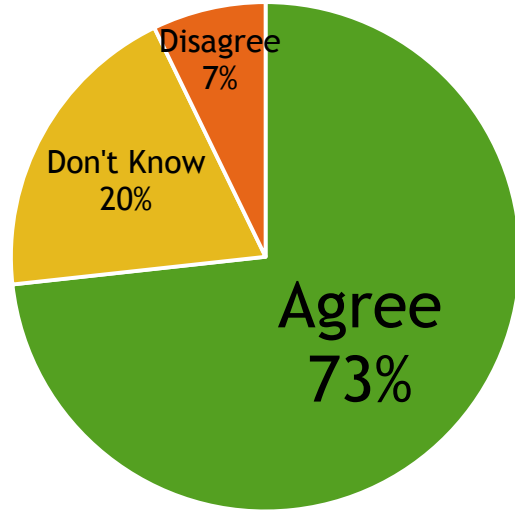
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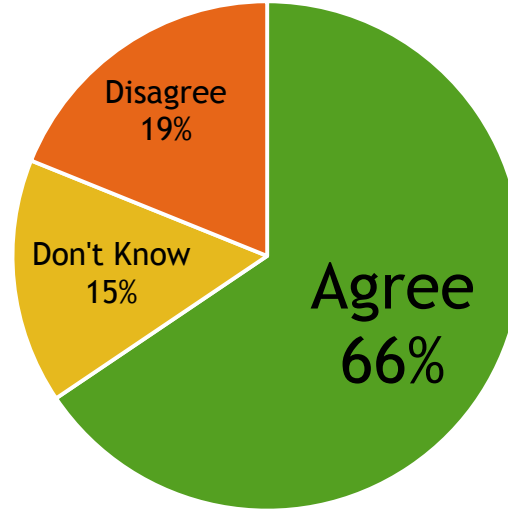
Do you generally agree with FPA and the Coalition's position supporting clarified and modified DOL fiduciary rule for ERISA retirement accounts?



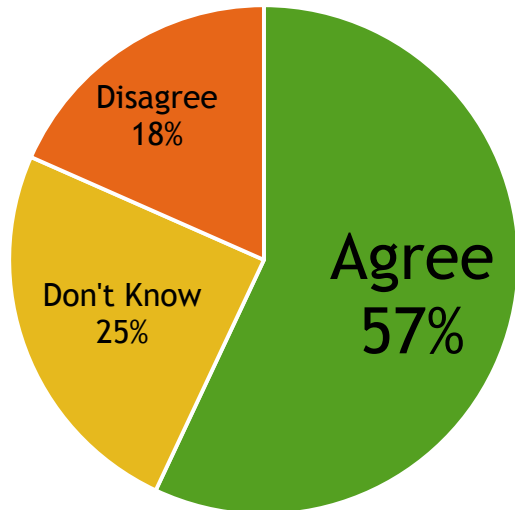
RIAs



RR-BDs



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Neither

