



About the Financial Planning Coalition

The Financial Planning Coalition is a collaboration of Certified Financial Planner Board of Standards, Inc. (CFP Board), the Financial Planning Association® (FPA®), and the National Association of Personal Financial Advisors (NAPFA). These organizations' stakeholders and members account for over 75,000 financial planning professionals in the U.S. The Coalition is a strong and unified voice on investor protection issues and for the recognition and regulation of financial planners in the U.S.

About CFP Board

CFP Board is a non-profit certification and standard-setting organization whose mission is to benefit the public by granting the CFP® certification and upholding it as the recognized standard of excellence for the delivery of competent and ethical personal financial planning services. Over 70,000 CFP® professionals voluntarily agree to comply with CFP Board's rigorous standards, including education, examination, experience and ethics, as well as subject themselves to the disciplinary oversight of CFP Board.

About FPA®

FPA® is the largest membership organization for CFP® professionals and those who support the financial planning process in the U.S. Working in alliance with academic leaders, legislative and regulatory bodies, financial services firms and consumer interest organizations, FPA® helps connect all in its membership in a variety of unique and compelling ways. With over 23,000 members and a national network of over 90 chapters, FPA® represents financial planners, educators and allied professionals involved in all facets of providing financial planning services.

About NAPFA

NAPFA is the nation's leading organization of fee-only comprehensive financial planning professionals. NAPFA members are trusted, objective financial advisors for consumers and institutions alike. Professionals who become NAPFA-registered financial advisors are committed to the organization's core values of competency, comprehensive financial planning, fee-only compensation, client-centered standard of care, complete disclosure of potential conflicts of interest and explanation of fees.

Current Coalition Policy Priorities

- **Section 913 of Dodd-Frank – Fiduciary Standard of Care**
Urging Securities Exchange Commission (SEC) adoption of a rulemaking to extend the fiduciary standard of care to broker-dealers who provide personalized investment advice to retail clients.
- **Section 914 of Dodd-Frank – Investment Adviser Oversight**
Urging Congress to authorize the SEC to collect reasonable user fees from investment advisers to increase the number and frequency of adviser examinations to protect investors.
- **Regulation of Financial Planners**
Supporting legislative reform that would require financial service providers who hold themselves out to consumers as “financial planners” to meet established competency and ethical standards and to provide financial planning services pursuant to a fiduciary standard of care.