

Survey Results Summary

When was the survey conducted?

The survey was conducted between February and April 2018.

Who replied?

- The survey generated useable data from approximately 1,200 respondents.
- About 1,000 respondents indicated they were registered as an IAR;
- About 100 respondents were staff of state securities regulators; and
- About 100 respondents indicated they were either compliance consultants or compliance officers (though not registered as IARs).

IAR-CE Survey Results: Current CE Requirements

- 56 percent of respondents already are subject to CE.
- The majority indicated CE requirement was due to a CFP designation and/or FINRA registration.
- 61 percent of respondents already are subject to CE if state regulator responses are excluded.

IAR-CE Survey Results: Does Industry Think IAR CE Is Important and Needed?

- 50 percent indicated IAR CE was important or very important.
- 75 percent indicated IAR CE was at least somewhat important.
- Nearly 40 percent said IAR CE was needed or critically needed.
- Almost 70 percent said IAR CE was at least somewhat needed in their jurisdiction.

IAR-CE Survey Results: Does Industry Support an IAR-CE Program?

- 35 percent indicated they would support or strongly support IAR-CE.
- 72 percent said that they would at least somewhat support the creation of an IAR-CE program.