**Certified Financial Planner Code of Ethics and Standards of Care Survey**
**August 1, 2019**

## Q1: Will you be ready to comply with the Code and Standards?

Answered: 699 Skipped: 8

| ANSWER CHOICES | RESPONSES | |
|---|---|---|
| Yes | 67.24% | 470 |
| No | 6.15% | 43 |
| I don't have enough information to answer | 26.61% | 186 |
| TOTAL | | 699 |

## Q2: Do you feel ready to comply with the Duty of Loyalty and Duty of Care, and when they apply, under the Code and Standards?

Answered: 693 Skipped: 14

| ANSWER CHOICES | RESPONSES | |
|---|---|---|
| Yes | 86.87% | 602 |
| No | 13.13% | 91 |
| TOTAL | | 693 |

## Q3: Do you understand the difference between when you would be providing financial advice or when you would be providing financial planning under the practice standards in the Code and Standards?

Answered: 697 Skipped: 10

| ANSWER CHOICES | RESPONSES | |
|---|---|---|
| Yes | 62.12% | 433 |
| No | 37.88% | 264 |
| TOTAL | | 697 |

## Q4: Do you understand under which circumstances you need to provide different types documentation to a client or potential client as required under the practice standards in the Code and Standards?

Answered: 698 Skipped: 9

| ANSWER CHOICES | RESPONSES | |
|---|---|---|
| Yes | 53.44% | 373 |
| No | 46.56% | 325 |
| TOTAL | | 698 |