

RESOURCES AND USEFUL LINKS

TO FIND A FINANCIAL PLANNER OR ADVISOR IN YOUR AREA...

- ▶ www.CFP.net/search
- ▶ www.fpaforfinancialplanning.org/PlannerSearch/PlannerSearch.aspx
- ▶ www.napfa.org (click "Find An Advisor" on the left navigation panel)

TO CHECK THE BACKGROUND OF A FINANCIAL PLANNER OR ADVISOR...

Some of these resources may also tell you about your advisor's employment history, disciplinary record, and registrations.

- ▶ www.CFP.net/search
- ▶ www.finra.org/brokercheck
- ▶ www.adviserinfo.sec.gov (currently, this site only allows you to search for an advisor's employer or company)

TO FILE A COMPLAINT...

Start by taking your complaint directly to the advisor and the management of your advisor's broker-dealer or investment advisor. If you fail to get a satisfactory response, then contact the agencies below.

If the complaint is about:

- ▶ a broker or securities product (such as stocks or mutual funds), contact:
 - The Financial Industry Regulatory Authority (FINRA):
www.finra.org/Investors/ProtectYourself/p118628
 - Your state securities regulator:
www.nasaa.org/QuickLinks/ContactYourRegulator.cfm
- ▶ an insurance salesperson or product (such as insurance policies or annuities), contact:
 - Your state insurance commissioner:
<https://eapps.naic.org/cis/fileComplaintMap.do>
- ▶ an investment adviser or investment advice, contact:
 - The U.S. Securities and Exchange Commission (SEC):
www.sec.gov/complaint.shtml
 - Your state securities regulator:
www.nasaa.org/QuickLinks/ContactYourRegulator.cfm
- ▶ a CFP® certificant, contact:
 - CFP Board: www.CFP.net/learn/complaint.asp