

INVESTMENT ADVISOR'S INDUSTRY ASSOCIATIONS DIRECTORY

THE PRIORITIES OF the associations listed on the following pages are what you might think: fostering respect and acceptance of the group and its designations; providing services to its members; building the financial backbone of these mostly volunteer organizations. But the growing savvy and altruism of these groups are witnessed by their pledge to bolster their advocacy efforts, especially in the nation's capital, and to educate consumers to be more savvy themselves.

AMERICAN INSTITUTE OF CERTIFIED PUBLIC ACCOUNTANTS; PERSONAL FINANCIAL PLANNING SECTION

888-777-7077 • www.aicpa.org/pfp

Association leader:

Stephen L. Winters
*Director, Specialized Communities
and Practice Management*

Annual membership fee: \$200

Annual budget: NA

Permanent staff: 7

Members: 9,250; 3,750 hold Personal Financial Specialist (PFS) credential

Top priorities for the group over the next 12 months:

Promoting community, competence, and communication among financial planners; continuing to make the public aware of the PFS credential

Top priorities for the group over the next five years:

Same

Meetings:

January 7-10, 2007, *AICPA Personal Financial Planning Conference*, Las Vegas, Nevada

DIVORCE FINANCIAL PLANNING NETWORK (DFPN)

631-360-9027 • www.dfpn.org

Association leader:

Rita Barrera, CDFA
President

Annual membership fee: \$125

Annual budget: \$3,000

Permanent staff: 1

Members: 20

Top priorities for the group over the next 12 months:

Spin off Collaborative Divorce Network of Long Island from Divorce Financial Planning Network; promote collaborative divorce process as an alternative choice for divorce to the public

Top priorities for the group over the next five years:

Membership growth across the country; continue to promote alternative choices to the public through collaborative divorce or mediation

Meetings:

NA

FEE ADVISORS NETWORK

888-854-0931 • www.feeadvisorsnetwork.com

Association leader:

Joseph W. Maczuga, LIC, CFIS, LUTCF
Executive Director

Annual membership fee: \$200-\$450

Annual budget: \$105,000

Permanent staff: 4

Members: 210

Top priorities for the group over the next 12 months:

Complete proprietary system of Fiduciary Process and Standards for Risk Management with insurance planning issues; create educational forums for fee-engagement insurance planning with no-load policies and the comprehensive fiduciary planning process

Top priorities for the group over the next five years:

Work with other experts in the development of total fiduciary process for advisors to facilitate and complete financial planning program that adheres to fiduciary standards; link as a resource to professional organizations, such as NAPFA and FPA

Meetings:

NA

FINANCIAL PLANNING ASSOCIATION (FPA)

800-322-4237 • www.fpanet.org

Association leaders:

Marvin W. Tuttle, Jr., CAE
Executive Director/CEO

Daniel B. Moisand, CFP

President

Annual membership fee: \$295

Annual budget: \$13 million

Permanent staff: 73

Members: 28,500

Top priorities for the group over the next 12 months:

Enhance and strengthen technology initiatives; strengthen advocacy efforts

Top priorities for the group over the next five years:

Focusing on increasing consumer awareness of financial planning and recruitment/retention efforts

Meetings:

October 21-24, 2006, *FPA Nashville 2006*, Nashville, Tennessee;
May 5-8, 2007, *FPA Retreat*, Galveston Island, Texas

INVESTMENT ADVISOR'S INDUSTRY ASSOCIATIONS DIRECTORY

FINANCIAL SERVICES INSTITUTE INC. (FSI)

888-373-1840 • www.financialservices.org

Association leaders:

Dale E. Brown, CAE
Executive Director/CEO

John Poff, President/CEO of Mutual Service Corp.
Chairman, Board of Directors

John Simmers, CEO of ING Advisors Network
Vice Chairman, Board of Directors

Annual membership fee: Varies
Annual budget: \$2.2 million
Permanent staff: 8
Members: 3,500

Top priorities for the group over the next 12 months:
Enhancing influence in Washington by continuing to build relationships with members of Congress; engaging the SEC in a dialogue on critical regulatory issues

Top priorities for the group over the next five years:
Building grassroots strength by expanding individual and company membership

Meetings:
January 29-31, 2007, *2007 Broker-Dealer Conference*, Orlando, Florida

INTERNATIONAL ASSOCIATION OF REGISTERED FINANCIAL CONSULTANTS (IARFC)

800-532-9060 • www.iarfc.org

Association leader:

Edwin P. Morrow, CLU, ChFC, CFP, CEP, RFC
Chairman/CEO

Annual membership fee: \$150
Annual budget: \$1 million
Permanent staff: 5
Members: 7,000

Top priorities for the group over the next 12 months:
Launch in 2007 of a new domestic RFC educational curriculum which will include marketing, planning, and operational software

Top priorities for the group over the next five years:
Expansion of five additional countries in Asia, 12 in Europe, five in South America; Online education learnings; MBA program in financial planning

Meetings:
May 15-17, 2007, *IARFC Financial Advisor Forum*, Las Vegas, Nevada;
August 17-24, 2007, *Conferences Cruise*, Vancouver to Alaska;
August 10-12, *IDA Conference*, Xiamen, China

INSTITUTE FOR DIVORCE FINANCIAL ANALYSTS

800-875-1760 • www.institutedfa.com

Association leader:

Fadi Baradihi, CFP, ChFC, CLU, CDFA, MBA
President/CEO

Annual membership fee: \$145
Annual budget: NA
Permanent staff: 5
Members: 1,700

Top priorities for the group over the next 12 months:
Provide financial professionals with the tools to help them market themselves effectively to divorcing individuals, matrimonial lawyers, and their existing clients; educate and certify financial professionals about divorce-related issues

Top priorities for the group over the next five years:
Become the most respected financial-planning specialty in the industry; educate divorce-industry professionals and the marketplace about the crucial role played by CDFAs

Meetings:
October 12-14, 2006, *Advanced Topics Workshop*, Atlanta, Georgia

INTERNATIONAL ASSOCIATION OF ADVISORS IN PHILANTHROPY, INC.

888-597-6575 • www.advisorsinphilanthropy.org

Association leaders:

Randy Fox, CFP, ChFC
President

Johnne Syverson, CAP, CFP, AEP
Vice-President

Annual membership fee: \$400
Annual budget: NA
Permanent staff: 1
Members: 200

Top priorities for the group over the next 12 months:
Get the word out about our association; encourage further education and skill development of our members

Top priorities for the group over the next five years:
Continue to serve membership well and become the "must attend" conference on philanthropy and client-centered planning in the industry

Meetings:
April 26-28, 2007, *Conference on Philanthropy*, Rosemont, Illinois

INVESTMENT ADVISOR'S INDUSTRY ASSOCIATIONS DIRECTORY

INVESTMENT ADVISER ASSOCIATION

202-293-4222 • www.investmentadviser.org

Association leader:

David G. Tittsworth
Executive Director/Executive Vice President

Annual membership fee: Varies

Annual budget: NA

Permanent staff: 9

Members: 460

Top priorities for the group over the next 12 months:

Represent the interests of SEC-registered investment advisory firms before Congress, the SEC, Department of Labor, state securities regulators, and other policymakers on all relevant legal/regulatory/compliance issues; provide educational resources to our members regarding key issues facing investment advisory firms

Top priorities for the group over the next five years:

Same

Meetings:

November 2, 2006, *Succession Planning Workshop*, Chicago, Illinois;
November 13-14, 2006, *Technology/Operations Conference*, Atlanta, Georgia;
April 26-27, 2007, *Annual Membership Meeting*, Austin, Texas

MILLION DOLLAR ROUND TABLE (MDRT)

847-692-6378 • www.mdrt.org

Association leaders:

Philip E. Harriman, CLU, ChFC
President

James E. Rogers, CLU, CFP
First Vice-President

Annual membership fee: \$350

Annual budget: NA

Permanent staff: 80

Members: 35, 781

Top priorities for the group over the next 12 months:

Mobilizing resources to serve the baby boomer market; making special efforts to advocate why life, disability, long-term care, and critical illness insurance are at the heart of a sound financial plan; look for ways to lend helping hands to other life insurance-related organizations

Top priorities for the group over the next five years:

NA

Meetings:

June 10-13, 2007, *Annual Meeting*, Denver, Colorado

INVESTMENT MANAGEMENT CONSULTANTS ASSOCIATION (IMCA)

303-770-3377 • www.imca.org

Association leader:

Edythe McClatch Pahl
Executive Director

Annual membership fee: \$395

Annual budget: NA

Permanent staff: 20

Members: 6,200

Top priorities for the group over the next 12 months:

Increase the visibility of the CIMA designation; keep IMCA members on the leading edge of investment knowledge and practice management

Top priorities for the group over the next five years:

Same

Meetings:

November 2-3, 2006, *Advanced Wealth Management Conference*, Washington, D.C.;
December 4-5, 2006, *Practice Management Conference*, Beaver Creek, Colorado;
January 29-30, 2007, *New York Consultants Conference*, New York, New York

THE NATIONAL ASSOCIATION OF ACTIVE INVESTMENT MANAGERS (NAAIM)

888-261-0787 • www.naaim.org

Association leader:

John McClure
President

Annual membership fee: \$600

Annual budget: NA

Permanent staff: NA

Members: 260

Top priorities for the group over the next 12 months:

NA

Top priorities for the group over the next five years:

NA

Meetings:

May 7-10, 2007, *Uncommon Knowledge 2007*, Orlando, Florida

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NATIONAL ASSOCIATION OF CHRISTIAN FINANCIAL CONSULTANTS (NACFC)

877-966-2232 • www.nacfc.org

Association leader:

Bob Barber
President

Annual membership fee: \$150

Annual budget: NA

Permanent staff: 2

Members: 210

Top priorities for the group over the next 12 months:

To develop our members into Christian financial advisors, counselors, and planners using Biblical principles to run their business; to help our members become more effective in using these principles through our weekly teleconference coaching program

Top priorities for the group over the next five years:

NA

Meetings:

July 26-29, 2007, *Annual Conference*, Virginia Beach, Virginia

NATIONAL ASSOCIATION OF INSURANCE & FINANCIAL ADVISORS (NAIFA)

877-866-2432 • www.naifa.org

Association leaders:

John A. Davidson, LUTCF
President

Jeffrey J. Taggart, CLU, ChFC, LUTCF

President-elect

Annual membership fee: \$325

Annual budget: \$14 million

Permanent staff: 60

Members: 63,000

Top priorities for the group over the next 12 months:

NA

Top priorities for the group over the next five years:

NA

Meetings:

September 8-12, 2007, *NAIFA Annual Convention and Career Conference*, Washington, D.C.

NATIONAL ASSOCIATION OF PERSONAL FINANCIAL ADVISORS (NAPFA)

800-366-2732 • www.napfa.org

Association leaders:

Richard Bellmer
Chair

Ellen Turf
CEO

Annual membership fee: \$475

Annual budget: \$3.8 million

Permanent staff: 10

Members: 1,369

Top priorities for the group over the next 12 months:

Further strengthen NAPFA's outreach to consumers by expanding our Focus on Fiduciary efforts and develop educational offerings; broaden resources available to members

Top priorities for the group over the next five years:

Identify, support, attract, and retain the majority of the Fee-Only comprehensive financial advisors in the country; ensure NAPFA has the financial strength to reach its goals

Meetings:

May 5, 2007, *Annual Conference*, Chicago, Illinois

NATIONAL SOCIETY OF COMPLIANCE PROFESSIONALS

860-672-0843 • www.nscp.org

Association leader:

Joan Hinchman
Executive Director, President and CEO

Annual membership fee: \$350

Annual budget: NA

Permanent staff: NA

Members: NA

Top priorities for the group over the next 12 months:

NA

Top priorities for the group over the next five years:

NA

Meetings:

October 18-20, 2006, *NSCP National Membership Meeting*, Washington, D.C.

INVESTMENT ADVISOR'S INDUSTRY ASSOCIATIONS DIRECTORY

NATIONAL TAX SHELTERED ACCOUNTS ASSOCIATION (NTSAA)

314-692-9861 • www.ntsaa.org

Association leader:

Renee Wilder
Executive Director

Annual membership fee: \$225
Annual budget: \$700,000
Permanent staff: 4
Members: 900

Top priorities for the group over the next 12 months:
NA

Top priorities for the group over the next five years:
NA

Meetings:

January 25-28, 2007, *National Conference*, Las Vegas, Nevada

SOCIAL INVESTMENT FORUM

202-872-5319 • www.socialinvest.org

Association leader:

Lisa Woll
CEO

Annual membership fee: Varies
Annual budget: \$600,000
Permanent staff: 5
Members: 550

Top priorities for the group over the next 12 months:
Strategic expansion of staff capacity and program structure

Top priorities for the group over the next five years:
Establish a robust public policy presence and more groundbreaking research

Meetings:

October 28-31, 2006, *Annual SRI in the Rockies Conference*, Colorado;
October 7-10, 2007, *Annual SRI in the Rockies Conference*, New Mexico

SOCIETY OF CERTIFIED SENIOR ADVISORS

800-653-1785 • www.society-csa.com

Association leader:

Edwin P. Pittock, CSA
President

Annual membership fee: \$195
Annual budget: NA
Permanent staff: 30
Members: 13,000

Top priorities for the group over the next 12 months:
Continue to educate members about aging and how to use that knowledge to benefit seniors and expand the designation's value and services

Top priorities for the group over the next five years:
Same

Meetings:

May 9-11, 2007, *CSA International Summit*, Las Vegas, Nevada

SOCIETY OF FINANCIAL SERVICE PROFESSIONALS (FSP)

800-927-2427 • www.financialpro.org

Association leaders:

Richard H. Lindsay, CLU, ChFC, AEP
President (11/01/06 - 10/31/07)

Joseph E. Frack, CPA
CEO

Annual membership fee: \$212
Annual budget: \$6 million
Permanent staff: 43
Members: 19,000

Top priorities for the group over the next 12 months:
To expand our community of professionals engaged in the practice of financial services through increased education and relationship building at the local and chapter level

Top priorities for the group over the next five years:
To facilitate the success of professionals engaged in the financial services community; to provide networking and educational opportunities at the local level through Society chapters

Meetings:

October 15-20, 2006, *Financial Services Forum*, Palm Springs, California