

**CalCPA - PFP Committee  
Strategic Alliance Task Force**

**Association, Organization & Agency Evaluation**

| Priority | Acronym | Full Name  | Website   | Type of Entity                  | State or National | Who/What does it influence?   | Entities Mission/Goals   | Current CPA Involvement at State Level? | If Yes, on PFP Committee? |
|----------|---------|--|---|---------------------------------|-------------------|---|--|---|---------------------------|
|          | AFSP    | Association of Financial Services Professionals          | <a href="http://www.financialpro.org/Program/forum/content/index.htm">http://www.financialpro.org/Program/forum/content/index.htm</a>             | Membership                      | National          | Members/Investors   | The Society is dedicated to advancing the professionalism of its members by providing quality continuing education, ethical guidance, networking opportunities and other valuable professional resources. Our clients desire a relationship with credentialed professionals who are knowledgeable in applying their skills and expertise to their individual clients' circumstance. Therefore, we are committed to:<br>Empowering networks that create a professional home identified by a set of core values, beliefs and the opportunity for learning and growth; Providing continuing education that is comprehensive, current, and practical and which extends the wisdom within our membership<br>Recognizing as members those who abide by our Code of Professional Responsibility.  |   |                           |
|          | NAPFA   | National Association of Personal Financial Advisors      | <a href="http://www.napfa.org/">http://www.napfa.org/</a>   | Membership                      | National          | Educes Members  | To promote the public interest by advancing the financial planning profession and supporting our members consistent with our core values   |   |                           |
|          | FPA     | Financial Planning Association                           | <a href="http://www.fpanet.org/">http://www.fpanet.org/</a>   | Membership                      | National          | Government/Members  | The Financial Planning Association (FPA) is the preeminent advocate on behalf of the financial planning profession and CERTIFIED FINANCIAL PLANNER™ professionals. FPA actively promotes the legislative, regulatory and professional interests of the financial services profession before Congress, the 50 state legislatures, and federal and state regulators.   |   |                           |
|          | NAIFA   | National Association of Insurance and Financial Advisors | <a href="http://www.naifa.org/">http://www.naifa.org/</a>   | Membership                      | National          | Government/Members, etc:<br><a href="http://www.naifa.org/about/affiliated.cfm">http://www.naifa.org/about/affiliated.cfm</a>   | NAIFA's mission is to advocate for a positive legislative and regulatory environment, enhance business and professional skills, and promote the ethical conduct of its members.  |   |                           |
|          | FSI     | Financial Services Institute                             | <a href="http://www.financialservices.org/">http://www.financialservices.org/</a>   | Membership                      | National          | Government/Members  | FSI was formed in January 2004 as an advocacy and membership organization for independent broker-dealers and independent financial advisors. We advocate on behalf of our members. We provide insight, information, influence, and involvement – all in support of our mission to provide visibility, credibility, and an improved regulatory environment for the independent channel. Our strategy is to help our members get involved in the FINRA governance structure and process, engage in the rulemaking process constructively, and build our political strength through the grassroots power and resources of our members.<br><br>Our priorities in 2008 are:<br>Preserve 12b-1 fees for the benefit of small investors.<br>Clarify the application of privacy rules (specifically, Regulation S-P) to client/account portability and recruiting.<br>Protect against federal and state regulatory and tax challenges to the independent contractor status of FSI members.<br>Educate key policymakers about the independent business model. |   |                           |
|          | CFP     | Certified Financial Planners Board of Standards          | <a href="http://www.cfp.net/aboutus/">http://www.cfp.net/aboutus/</a>   | Volunteers                      | National          | Government/Members  | The mission of Certified Financial Planner Board of Standards, Inc. is to benefit the public by granting the CFP® certification and upholding it as the recognized standard of excellence for personal financial planning.   |   |                           |
|          | AICPA   | AICPA Personal Financial Specialist & PFP Committee      | <a href="http://pfp.aicpa.org/">http://pfp.aicpa.org/</a>   | Membership                      | National          | Government/Members  | The PFP Section works hard to promote a favorable environment for CPA Financial Planners—representing your interests and monitoring legislation in Washington, D.C., and in your state. We also launch targeted public awareness campaigns that are designed to promote the image of CPAs as the premier providers of financial planning services. We continuously monitor the financial landscape to ensure that we are serving your best interests. PFP Section Members benefit from our advocacy and outreach efforts   |   |                           |
|          | IAA     | Investment Advisor's Association                         | <a href="http://www.investmentadviser.org/">http://www.investmentadviser.org/</a>   | Membership/SEC Registered Firms | National          | SEC   | To provide effective, quality representation of the investment advisory profession at all levels of government with respect to the development, formulation, and enactment of legislation, rules, and regulations relating to investment advisers  |   |                           |
|          | NAABC   | National Association of Alternative Benefits Consultant  | <a href="http://www.naabc.com/">http://www.naabc.com/</a>   | Membership/Trade Association    | National          | Educes Members  | The National Association of Alternative Benefits Consultants, Inc. (NAABC) is a professional not-for-profit trade organization that was developed to represent insurance producers and brokers across the United States who market Health Savings Accounts, Health Reimbursement Arrangements and other Consumer Driven Health Plans to individuals and employers/groups. Our goal is to provide formal support and education to those agents who are, or wish to become active in the consumer driven health plan and self-funding markets.   |   |                           |
|          | ABA     | American Banker's Association                            | <a href="http://www.aba.com/about+aba/default.htm">http://www.aba.com/about+aba/default.htm</a>   | Membership/Banks                | National          | Government/Legislature  | The mission of the American Bankers Association is to serve its members by enhancing the role of financial services institutions as the preeminent providers of financial services. This mission is accomplished through federal legislative and regulatory activities, legal action, communication and consumer education, research, and products and services that promote, educate, train, inform and support members.  |   |                           |
|          | CBA     | California Banker's Association                          | <a href="http://www.calbankers.com/content/aboutcba/presidentmessage.asp">http://www.calbankers.com/content/aboutcba/presidentmessage.asp</a>     | Membership/Banks                | State             | Government/Legislature  | CBA's mission is to provide our members with unparalleled resources to help them prosper in California's dynamic marketplace. We help them stay ahead of new banking trends and on top of critical issues  |   |                           |
|          | CTA     | California Taxpayers Association                         | <a href="http://www.caltax.org/">http://www.caltax.org/</a>   | Membership/Tax Lobbyist         | State             | Government/Legislature  | Founded in 1926, our mission is to protect taxpayers from unnecessary taxes and to promote efficient, quality government services. We serve our members through research and advocacy on significant tax and spending issues in the legislative, executive and judicial branches of government.  |   |                           |
|          | FINRA   | Financial Industry Regulatory Authority                  | <a href="http://www.finra.org/index.htm">http://www.finra.org/index.htm</a>   | Non-Government Regulators       | National          | All aspects of investment industry - including regulator agencies:<br><a href="http://www.finra.org/Resources/industrylinks/p009958">http://www.finra.org/Resources/industrylinks/p009958</a> | FINRA is dedicated to investor protection and market integrity through effective and efficient regulation and complementary compliance and technology-based services.  |   |                           |
|          | CDI     | California Department of Insurance                       | <a href="http://www.insurance.ca.gov/0500-about-us/0300-boards-committees/">http://www.insurance.ca.gov/0500-about-us/0300-boards-committees/</a> | Government                      | State             | Regulatory agency   | The CDI ensures that consumers are protected; that the insurance marketplace is fostered to be vibrant and stable; that the regulatory process is maintained as open and equitable;and that the law is enforced fairly and impartially.  |   |                           |

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|          | CDC     | California Department of Corporations              | <a href="http://www.corp.ca.gov/about/default.asp">http://www.corp.ca.gov/about/default.asp</a> | Government                       | State             | Regulatory agencies/ <a href="http://www.dfi.ca.gov/resources/related/related.asp">http://www.dfi.ca.gov/resources/related/related.asp</a> | The Department of Corporations is California's Investment and Financing Authority, and has exclusive authority to bring both civil and administrative actions under the laws subject to the jurisdiction of the California Corporations Commissioner. Its mission is to ensure an efficient and accessible financial services marketplace in California, Educate the public about the risks and rewards in investing and finances, and Enforce California's financial services laws to protect the public from fraud.   |   |                           |
|          | DFI     | Department of Financial Institutions               | <a href="http://www.dfi.ca.gov/">http://www.dfi.ca.gov/</a>                                     | Government                       | State             | Regulatory agency  | The mission of the Department is to protect and serve California's citizens through the effective regulation and supervision of financial institutions licensed by the Department. DFI is responsible for administering state laws regulating: banks, credit unions, industrial banks, trust companies, offices of foreign banks, issuers of travelers checks and payment instruments (money orders), money transmitters and premium finance companies. The Department also administers the Local Agency Security program, which ensures that public deposits in California financial institutions that exceed the federal deposit insurance limit are secured by pledged assets. |   |                           |
|          | NAIBD   | National Association of Independent Broker Dealers | <a href="http://www.naibd.org/membership.htm">http://www.naibd.org/membership.htm</a>           | Membership Organization/Advocate | National          |  | Our purpose is to positively impact rules, regulations, and legislation by facilitating a consistent, productive relationship between industry professionals and regulatory organizations and by providing education and member benefits for Broker/Dealers   |   |                           |
|          | NAIP    | National Association of Investment Professionals   | <a href="http://www.naip.com/Home">http://www.naip.com/Home</a>                                 | SRO/Lobbying/Advocate            | National          | Regulatory bodies: FINRA   | Our organization is dedicated to promoting the interests of our members. We promote the interests and the image of these individuals, and encourage and facilitate higher levels of competency in our members so that they may better serve the investing public. We are also the only non-profit organization that monitors and responds to proposed legislation and regulations from Congress, the Securities and Exchange Commission (SEC), and the National Association of Securities Dealers (NASD), on behalf of individual financial professionals.  |   |                           |
|          | FDIC    | Federal Depository Insurance Corporation           | <a href="http://www.fdic.gov/about/index.html">http://www.fdic.gov/about/index.html</a>         | Independent Agency               | National          |  | The Federal Deposit Insurance Corporation (FDIC) is an independent agency created by the Congress that maintains the stability and public confidence in the nation's financial system by insuring deposits, examining and supervising financial institutions, and managing receiverships. The FDIC preserves and promotes public confidence in the U.S. financial system by insuring deposits in banks and thrift institutions; by identifying, monitoring and addressing risks to the deposit insurance funds; and by limiting the effect on the economy and the financial system when a bank or thrift institution fails.   |   |                           |
|          |         |  |   |                                  |                   |  |   |   |                           |

- Others [Securities Industry Financial Markets Association](#)  
[Association for Investment Management and Research](#)  
[North American Securities Administrators Association, Inc.](#)  
[National Futures Association](#)  
[Investment Company Institute](#)  
[Office of the Comptroller of the US](#)  
[The Association for Advanced Life Underwriting \(AALU\)](#)  
[The Association of Health Insurance Advisors \(AHIA\)](#)  
[GAMA International](#)  
[The Life and Health Insurance Foundation for Education \(LIFE\)](#)  
[The Million Dollar Round Table \(MDRT\)](#)  
[The American College/LUTC](#)  
[Women in Insurance and Financial Services](#)  
[LIMRA International](#)