

In a perfect world all of the additional paperwork requested by FINRA and the regulatory agencies would catch all unethical and criminal activity, however, crooks will be crooks. What ultimately happens is, the advisors who are doing all the right things are “paperworked” right out of the business or have to hire additional staff just to handle the extensive reporting and compliance demands.

Those “advisors/crooks” who want to do things they shouldn’t, aren’t filling out all the paperwork, which leaves the compliance abiding advisors busy with paperwork and not with their clients or the industry education that is so essential to making a positive difference in their clients financial success.

Tiffany King, CLU, ChFC, CASL

Director of Planning Services | Symphony Financial Team

1515 International Pkwy | Suite 2031 | Lake Mary, FL 32746

O: 407-792-5576 | F: 321-249-6767

tking@symphonyfinancialteam.com

www.symphonyfinancialteam.com