

FINRA Investor Survey

Report of Research Findings

November 6, 2014



Applied Research & Consulting LLC

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320 West 13th Street
Seventh Floor
NYC, NY 10014

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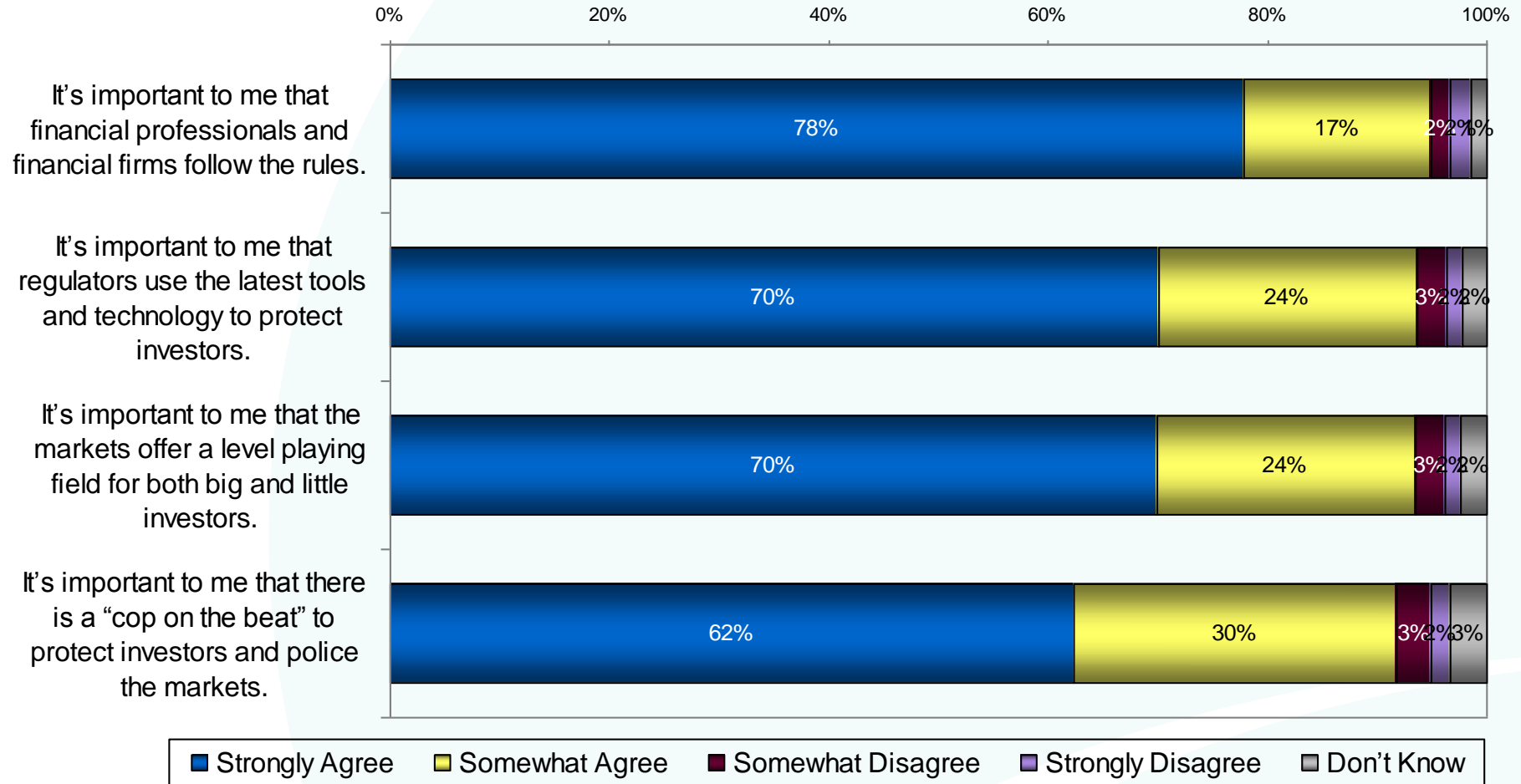
Tel. 212.226.1007

Fax. 212.226.0240

E-mail. arc@arcllc.com

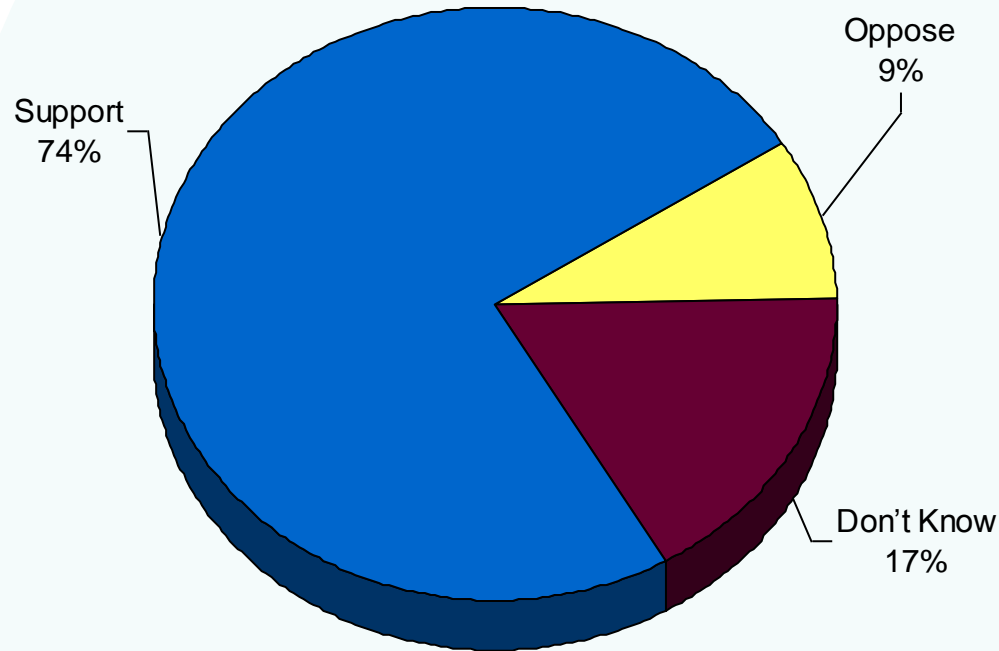
Large majorities agree that regulation and investor protections are important

Regulation and new investor protections



Nearly three quarters would support additional protections for investors

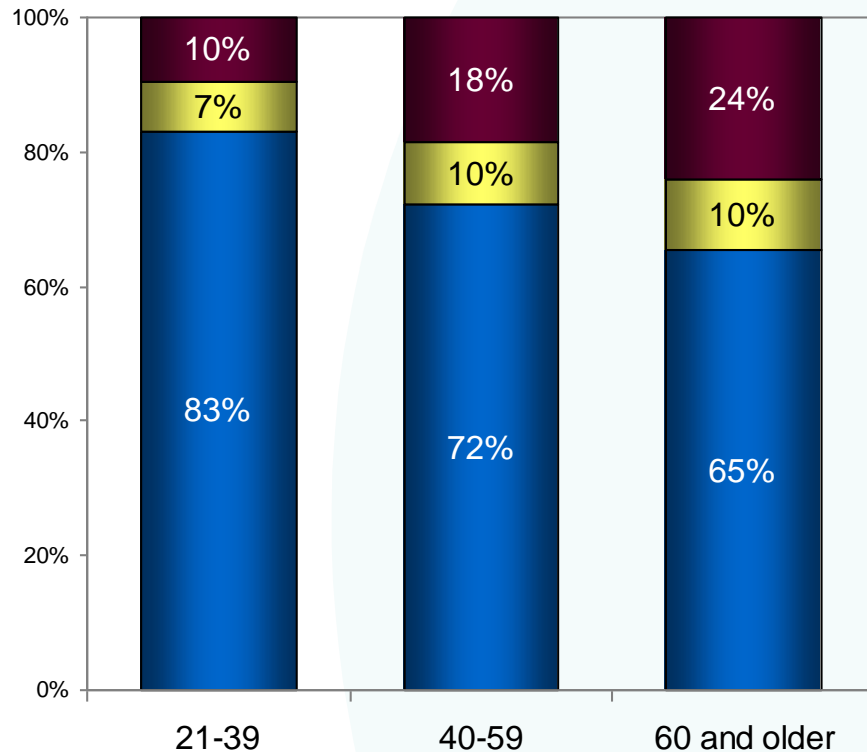
Would you support or oppose the introduction of additional regulatory protections to further safeguard investors from misconduct by brokers or brokerage firms?



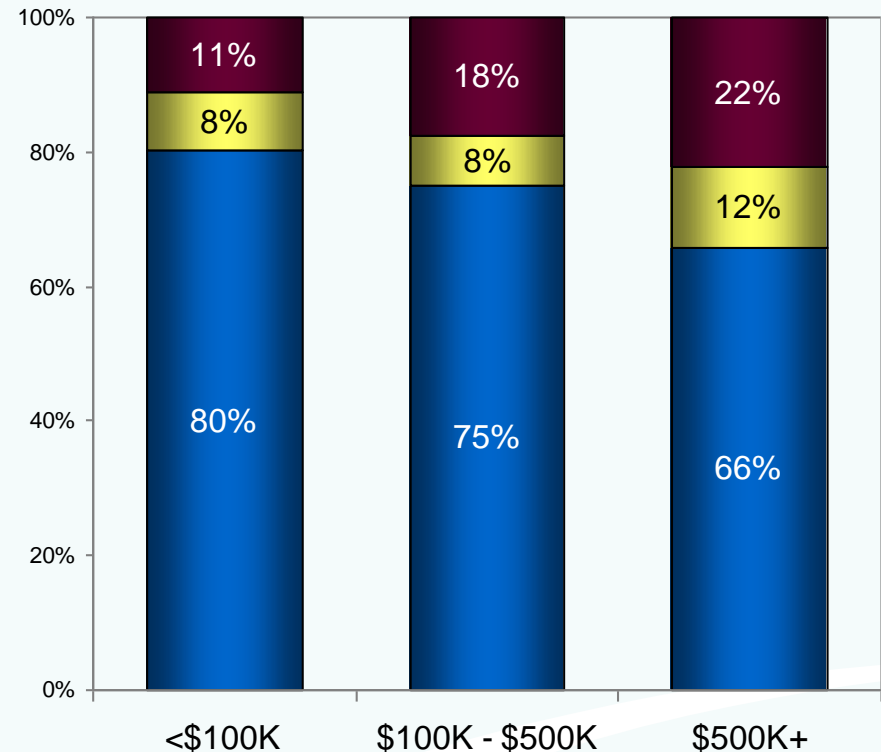
Strong support across age groups and investment levels

Would you support or oppose the introduction of additional regulatory protections to further safeguard investors from misconduct by brokers or brokerage firms?

By age



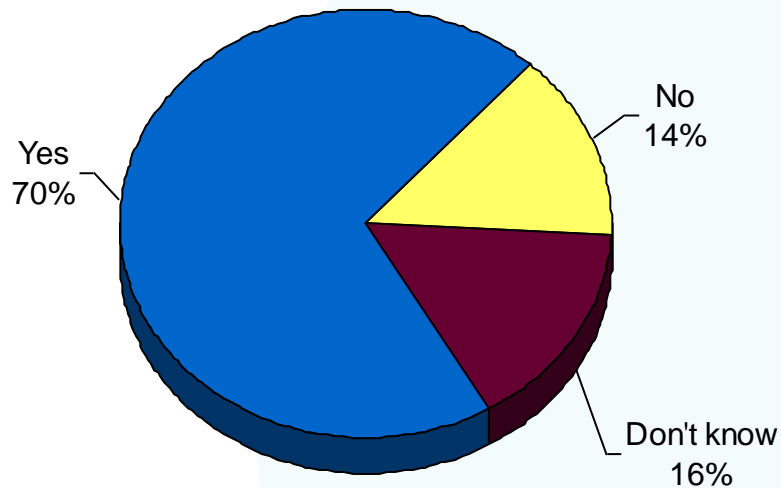
By investment level



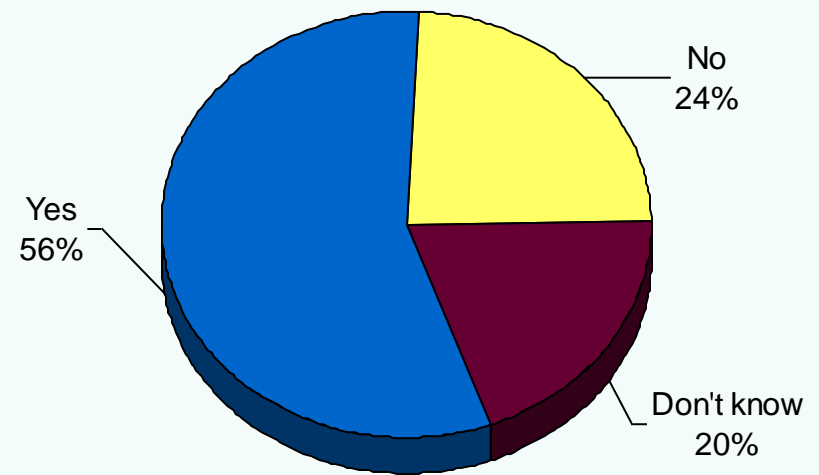
■ Support ■ Oppose ■ Don't know

Majority of investors would be more confident with additional protections

Would additional protections for investors make you more confident about investing?

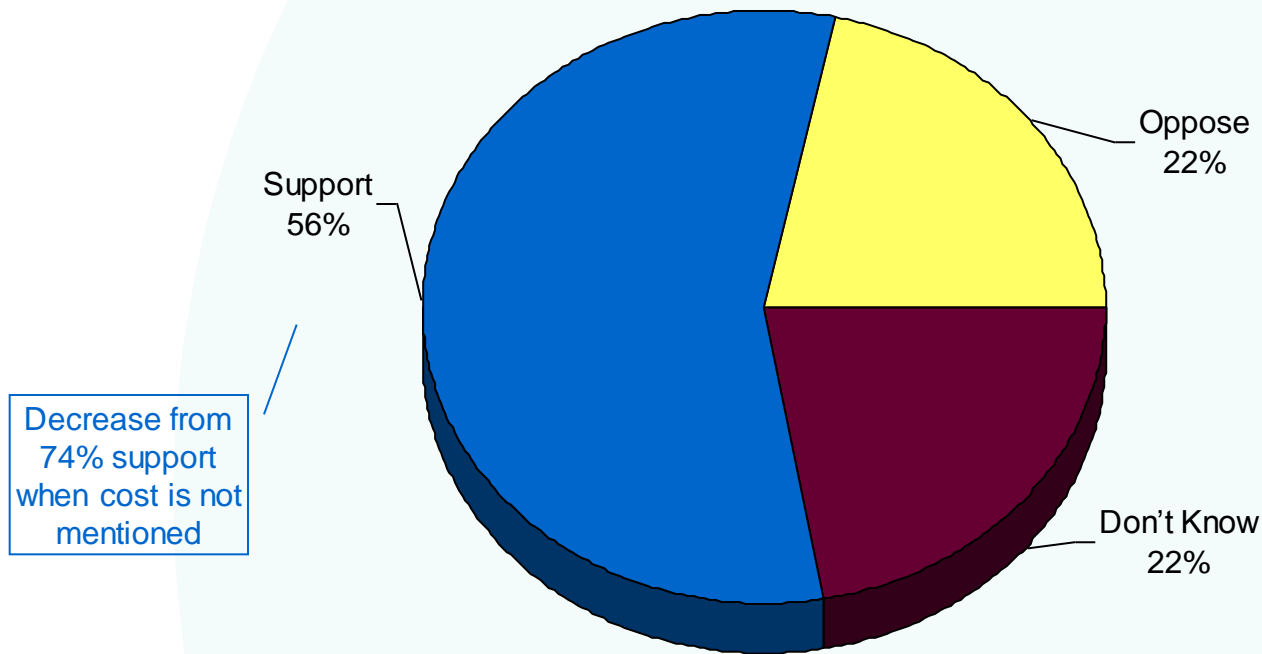


Would additional protection for investors encourage you to invest more in the markets?



Over half support additional protections even if it increases costs

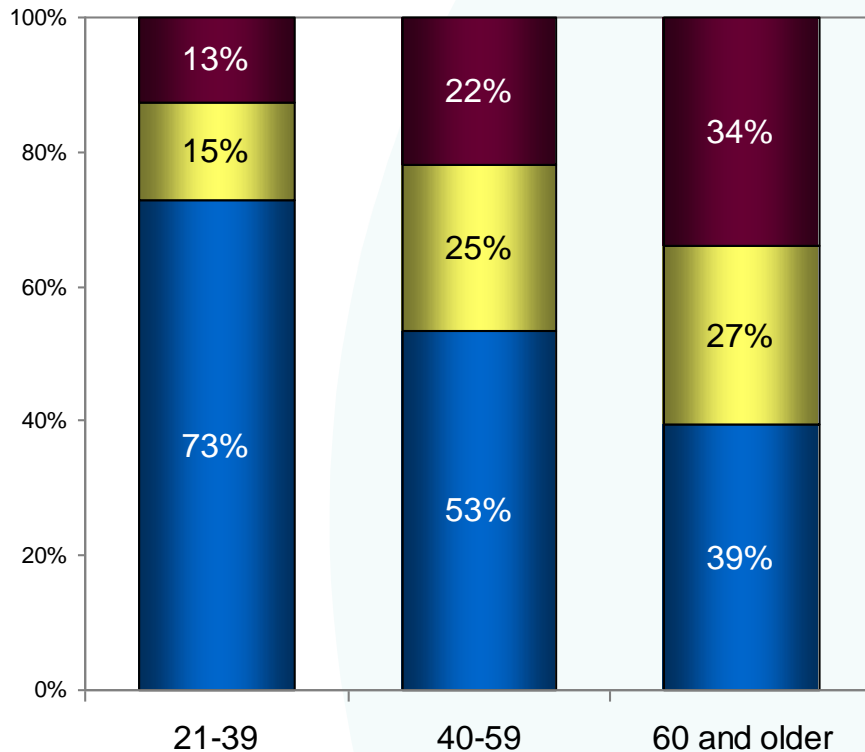
If additional regulatory protections for investors led to a minimal increase in the costs that brokerage firms passed on to you, would you support or oppose the introduction of those additional protections?



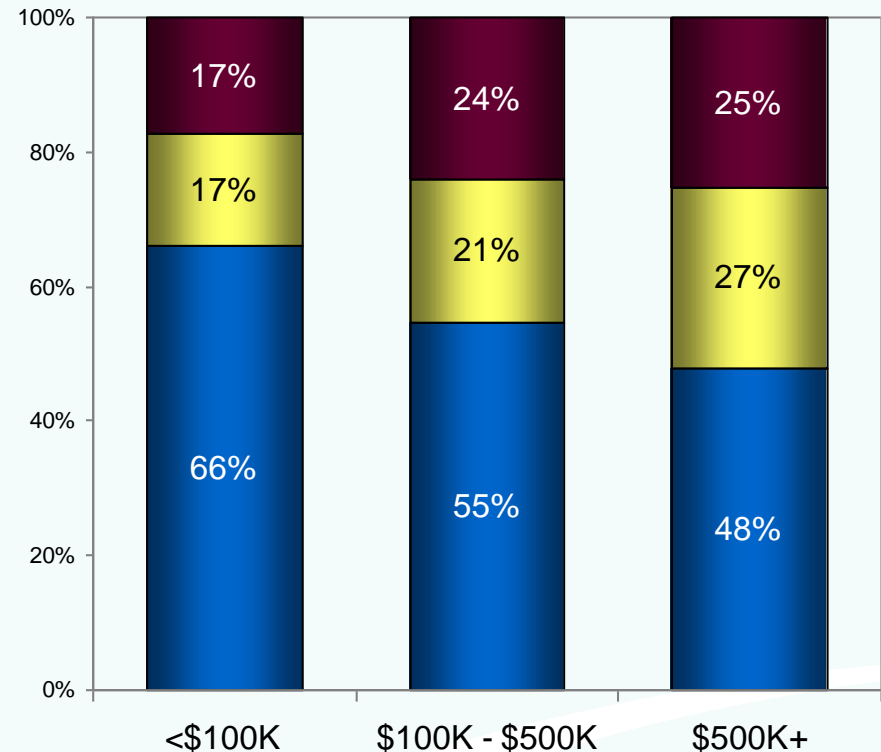
Support is greater than opposition for all age groups and investment levels

If additional regulatory protections for investors led to a minimal increase in the costs that brokerage firms passed on to you, would you support or oppose the introduction of those additional protections?

By age



By investment level



■ Support ■ Oppose ■ Don't know

Protections are perceived as highly important by half or more of investors

How important are the following regulatory actions to your feelings of confidence in the markets for stocks, bonds, and mutual funds?

