

What is it?

Conducted annually for decades, the Dealers' Report Card (DRC) is an in-depth, qualitative, sentiment-focused survey of financial advisors in the full-service and mutual fund dealer space (advisors working with CIRO-registered firms that operate as both investment and mutual fund dealers, or only as mutual fund dealers). The 11 firms included are a mix of large, full-service companies and smaller independent organizations across Canada. All are firms where advisors work with the business but build and serve their own books. The research is conducted and published exclusively by *Investment Executive (IE)* and *Finance et Investissement (FI)*, both owned by Newcom Media Inc.

Why is the research conducted?

The Report Card series, of which the DRC is one part, is conducted to measure advisor sentiment across a range of topics – it's not an awards contest or program, and it's not a ranking exercise based on firms' or advisors' sales activity, revenue or assets. Respondents rate their firms' support services and leadership in a range of 25 categories on a scale of zero to 10. The results provide a thematic industry snapshot and help the firms understand how well they're supporting their advisors and where to invest in the business. For the advisor, the survey results show whether their views match those of their peers and how well firms generally are supporting advisors. The Report Cards track broad industry trends.

The methodology and why advisors can take part

The team of research journalists at *IE* and *FI* conducts confidential and anonymous phone interviews with advisors. They use several methods to locate and contact advisors, and the firms are aware they'll be emailing/calling in March and April each year. The research calls are not media interviews, so compliance approval is not required. *IE* and *FI* are in contact with firms' leaders and communications departments throughout this highly valued and approved project, for which the firms do not pay to participate or have control over who is surveyed. Note that advisors' names, personal and business details will never be published or identified, and their responses will remain anonymous. The anonymity of the calls enables open, candid conversations, contributing to the value of our research.

Have questions? Please contact research editor Katie Keir to find out more.

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