

Savings and Investments - Intermediary Focus - UK - November 2011

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"The next 12 months are set to be very challenging for intermediaries, as firms make their final preparations for the RDR and strive to make a profit in a tumultuous investment climate. IFAs will need to adjust both their service propositions and charging models to succeed under the new regime."

– Sarah Hitchcock, Senior Analyst – Financial Services

In this report we answer the key questions:

- How confident are IFAs feeling about their business prospects?
- And how are investors responding to the unsettled market conditions?
- Which asset classes are IFAs recommending to their clients during these difficult times?
- How are IFAs preparing for the RDR in one year's time?
- What impact will the new rules have on the advice market?
- And will it really improve consumer access to advice?

The focus of this report is on intermediaries that are active in the retail investment market. There are three main types of intermediary:

- independent financial advisers (IFAs)
- multi-tied intermediaries
- single-tied intermediaries.

In a regulatory context, retail intermediaries can be either directly authorised (DA) or appointed representatives (AR) of a DA firm.

- **DA** – are individual advisers or firms who are directly authorised by the Financial Services Authority (FSA).
- **AR** – individual advisers or firms that are appointed by a directly authorised firm (known as the 'Principal').

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