

The Morningstar – ASPPA 401(k) Advisor Leadership Award

Presented at The ASPPA 401(k) SUMMIT on Monday, March 15, 2010.

www.asppa.org/summit

Give your peers the ultimate recognition for their industry contributions.

Nominate an advisor for the prestigious Morningstar-ASPPA 401(k) Advisor Leadership Award, exemplifying innovation, industry expertise, client service and mentorship.

WHAT is included?

- National recognition as the Morningstar-ASPPA 401(k) Advisor Leader
- Press conference and written profiles in Financial Planning, On Wall Street, et al.
- Engraved crystal trophy
- Complimentary ASPPA benefits, including credential training, membership and registration for The ASPPA 401(k) SUMMIT 2011

WHO should be nominated?

- Advisors with proven commitment to client service
- Contributors to retirement industry best practices
- Advisors with noteworthy participant focus
- Active industry figures engaged in speaking, publishing or other areas

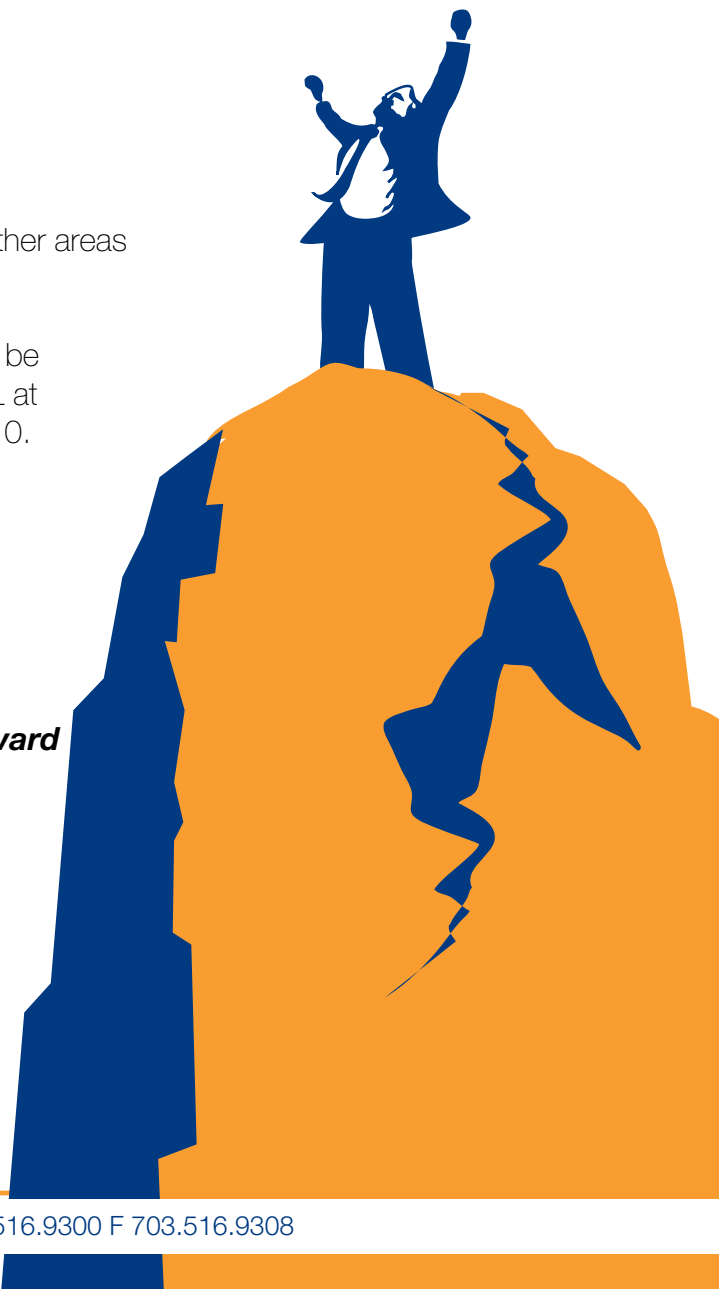
WHEN will it be presented?

The Morningstar-ASPPA 401(k) Advisor Leadership Award will be presented at The ASPPA 401(k) SUMMIT 2010 in Orlando, FL at the Orlando World Marriott Center on Monday, March 15, 2010.

HOW do I nominate myself or a colleague?

Use the Nomination Form online or submit via USPS or fax to 703.516.9308. Complete and submit all nominations by **January 22, 2010**. Some Terms & Conditions may apply.

***The Morningstar-ASPPA 401(k) Advisor Leadership Award
...the ultimate recognition for industry contributions!***



PART 1
Nominee AND Nominator Basic Information

A. BASIC NOMINEE INFORMATION *(Complete all fields):*

Nominee Name: _____

Business Title: _____

Firm Name: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Phone: _____ Fax: _____

E-mail: _____ Cell: _____

Web site: _____

B. BASIC NOMINATOR INFORMATION *(Complete all fields):*

Nominator Name: _____

Business Title: _____

Firm Name: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Phone: _____ Fax: _____

E-mail: _____ Cell: _____

Relationship to Nominee:

- | | | |
|---|---|---|
| <input type="checkbox"/> Plan Sponsor | <input type="checkbox"/> Plan Participant | <input type="checkbox"/> Employer / Broker Dealer |
| <input type="checkbox"/> CPA / JD | <input type="checkbox"/> Plan Administrator | <input type="checkbox"/> Investment Vendor |
| <input type="checkbox"/> Other <i>(detail):</i> _____ | | |



PART 2

Reflections and Impressions on the Nominee's Work with Plans and within the Industry

- 1. Plan Sponsor Impact. *Please provide actual instances (<500 words) of positive impact upon plan sponsors.*

- 2. Plan Participant Impact. *Please provide actual instances (<500 words) of positive impact upon plan participant(s).*

- 3. Overall Nomination Considerations. *Please provide all information (<1,000 words) that you feel should be taken into consideration of this Nominee for this Award.*

PART 3

Nominee Specific Information

Completion of this form by the Nominee indicates acceptance of being nominated and agreement with the Award Terms & Conditions. The nominee's employer will signify approval no later than when being considered as a Finalist.

Clearing Broker-Dealer: _____

Supervising Principal, if any: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Phone: _____ Fax: _____

E-mail: _____ Cell: _____

A. EXPERTISE

1. Accredited Education:

HS BS/BA MBA MS/MA PhD JD

Other (detail): _____



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2. Credentials and Professional Designations (Check all that apply):

- Sr 7 Sr 6 Sr 65/RIA Life&Health CFP ChFC CLU AIF/AIFA
 CIMA CFA CPA JD PRP CRPC CPC QKA
 QPA QPFC Other (detail): _____

3. Continuing Professional Education in last three years (Please give detail topics):

4. Years serving employer-sponsored retirement plans: _____

5. Awards and Recognition details:

B. EXPERIENCE WITH EMPLOYER-SPONSORED RETIREMENT PLANS

If detailed, accurate information is unavailable, please use approximate numbers and so note.

Plans in Total: _____

Average Plan Retention (yrs): _____

In past 12 months, New Plans: _____ Lost Plans: _____

Target Market \$.5M – 2M \$2M – 10M \$10M – 50M >\$50M

Assets in Total: \$_____ Approximate % 401(k) Defined Benefit: _____ Other: _____

With how many product providers do you work? _____

Participants in Total: _____

C. SERVICE OF EMPLOYER-SPONSORED RETIREMENT PLANS

1. Plan Services (Check all boxes that apply and add detail as appropriate):

- Mission Statement _____ Business Plan _____
 Written Service Contract _____ Investment Policy Statement _____
 Enrollment Meetings _____ Ongoing Participant Education _____
 Vendor/Fee Review _____



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2. Plan Sponsor Meetings (Check appropriate box for each):

- | | | | | |
|-------------------------|------------------------------------|--|------------------------------------|------------------------------------|
| Investment Review | <input type="checkbox"/> Quarterly | <input type="checkbox"/> Semi-Annually | <input type="checkbox"/> Annually | <input type="checkbox"/> As Needed |
| Plan Design/Compliance | <input type="checkbox"/> Annually | <input type="checkbox"/> 1-3 Years | <input type="checkbox"/> 3-5 Years | <input type="checkbox"/> Not Done |
| Recordkeeper/TPA Review | <input type="checkbox"/> Annually | <input type="checkbox"/> 1-3 Years | <input type="checkbox"/> 3-5 Years | <input type="checkbox"/> > 5 Years |

3. Plan Participant Meetings (Check appropriate box for each):

- | | | | | |
|-----------|---|---|---|------------------------------------|
| Method | <input type="checkbox"/> In Person as Group | <input type="checkbox"/> In Person Individually | <input type="checkbox"/> Electronically | |
| Frequency | <input type="checkbox"/> Quarterly | <input type="checkbox"/> Semi-Annually | <input type="checkbox"/> Annually | <input type="checkbox"/> As Needed |

4. Impact on Retirement Plans in last three years (Please check your experiences and complete as possible, noting average percentages or common details):

- | | | | |
|--|-------|---|-------|
| <input type="checkbox"/> Increased Participation | _____ | <input type="checkbox"/> Increased Deferrals | _____ |
| <input type="checkbox"/> Lowered Aggregate Fees | _____ | <input type="checkbox"/> Enhanced Service Details | _____ |

5. Compensation (Check boxes and include percentage of total business revenue):

- | | | | |
|--|-------|---|-------|
| <input type="checkbox"/> Commissions | _____ | <input type="checkbox"/> Fees based on Assets | _____ |
| <input type="checkbox"/> Fees based on Service/Project | _____ | | |

6. Support Staff (Check and number, as appropriate):

- | | | | |
|--|-------|--|-------|
| <input type="checkbox"/> Dedicated Retirement Team | _____ | <input type="checkbox"/> Shared Office Staff | _____ |
|--|-------|--|-------|

D. REFERRALS

Please provide two (2) from different sources (i.e., plan sponsor, plan administrator, plan participant, plan CPA, plan JD, etc.)

Name: _____	Name: _____
Firm name: _____	Firm name: _____
Address: _____	Address: _____
Phone number: _____	Phone Number: _____
E-mail address: _____	E-mail address: _____

- I agree to this Award Nomination and have read and agree to the Award Terms & conditions.

Nominee Signature _____ Date _____

Nominee Supervising Principal. Please sign and date that you confirm the information submitted by the Nominee. Feel free to add additional pertinent quantitative information.

Supervising Principal Signature _____ Date _____



TERMS & CONDITIONS

ELIGIBILITY

Any individual or group of individuals, active as financial advisor(s) of 401(k) plans, is eligible for nomination and receipt of the Morningstar-ASPPA 401(k) Advisor Leadership Award. ASPPA membership is neither a requirement for the Nominee or the Nominator, nor a consideration during judging.

INELIGIBLE NOMINEES

ASPPA staff, ASPPA Management Team members, Board members, The ASPPA 401(k) SUMMIT Steering Committee, including current Co-Chairs, the current Award Judging Committee (AJC), as well as Morningstar, SourceMedia and other Media Partners' employees are ineligible. Award Finalists are ineligible for a period of two (2) years following a year during which they advanced from Nominee to Finalist.

NOMINATION PROCESS

Nominations may be submitted electronically through ASPPA's Web site or manually via fax or USPS for a period of approximately six weeks, ending at midnight on January 22, 2010. Manual submissions must be received in the ASPPA office before midnight on January 22, 2010. The online Nomination Form will be disabled on January 23, 2010.

Nominator submissions: Upon receipt of an incomplete Nomination Form, ASPPA staff will contact the Nominee to confirm his/her acceptance of the nomination and obtain completion of any missing data.

Self-nomination submissions: Upon receipt of self-nominations, ASPPA will presume the Nominee accepts. Part 2 of the nomination form must be accompanied by a signed attestation by the Nominee's supervising principal. ASPPA staff will screen submissions for completeness, verify references and add the Nominee to the consideration list. Nominees will be notified via e-mail when information is complete and verified. All information received about Nominees will remain strictly confidential.

FINALIST SELECTION

Beginning February 5, 2010, the AJC will review completed Nomination Forms with referrals from designated ASPPA staff. Three (3) Finalists will be chosen confidentially by a vote of the AJC. The ASPPA President, CEO or a Co-chair of The ASPPA 401(k) SUMMIT will notify the Finalists by February 15, 2010 via phone, e-mail and USPS, requesting their acceptance forthwith. Concurrent with the February 15, 2010 Finalist notification, all other Nominees considered will be thanked for their participation and notified of the chosen Finalists, via e-mail and USPS.

FINALIST RECOGNITION

1. Paid economy airfare to The ASPPA 401(k) SUMMIT 2010, arriving on Sunday, March 14, 2010 or before.
2. Complimentary registration to The ASPPA 401(k) SUMMIT 2010.
3. One night's hotel accommodations at The ASPPA 401(k) SUMMIT 2010.
4. Per diem for the two-day period.

FINALIST RESPONSIBILITIES

1. Participation in 2-3 conference calls planning the Award presentation between February 15, 2010 and March 10, 2010.
2. Approval by his or her employer and employer compliance department for participation and publicity by January 22, 2010.
3. Agreement for full marketing involvement, including, but not limited to, ASPPA Web site announcements, Morningstar, SourceMedia and ASPPA press releases, interview with the SUMMIT Publication Sponsor, SourceMedia, for feature articles to appear in *On Wall Street*, *Financial Planning* and *Bank Investment Consultant* and other media outlets.
4. Attendance at The ASPPA 401(k) SUMMIT 2010.
5. Participation in the Award presentation plenary session, through active panel discussion and/or brief presentation describing the event(s) of his or her nomination and other practice information as agreed-to with session moderator.

WINNER SELECTION

The AJC will conduct a panel interview of each individual Finalist and deliberate separately to select the winner. All deliberations are strictly confidential. Individual contact between AJC members and Finalists is strictly prohibited.

WINNER RECOGNITION

1. Artistic Award piece.
2. Publicity opportunities with Award Sponsor and Award Publicist.
3. Complimentary ASPPA one-year affiliate or credentialed membership.
4. Complimentary registration for next year's The ASPPA 401(k) SUMMIT 2011, including one night's lodging, economy airfare, pursuant to ASPPA speaker policies.
5. ASPPA support for all four courses to obtain the QPFC credential within a two-year period.

WINNER RESPONSIBILITIES

1. Accept Award with brief acceptance speech and cooperate with press conference reporters and photographers.
2. Be available for interviews to complete the feature articles scheduled to be included in several industry publications.
3. Be available to appear or present at education and advocacy opportunities for the next year.
4. Attend and participate in a general session at The ASPPA 401(k) SUMMIT 2011, and 2-3 conference calls planning same.
5. Participate actively on the AJC for the next potential The Morningstar-ASPPA 401(k) Advisor Leadership Award, including studied review of applicants.