

Ethics Continuing Education Quiz

Please visit www.asppa.org/tajce to submit the \$50 grading fee, take the quiz and receive immediate grading online.

If four or more questions are answered correctly, ASPPA will award you with one ASPPA ethics continuing education credit and send a certificate to you for your records. To receive credit, the quiz must be submitted no later than 24 months after the date of the quiz, and credit can only be applied to the cycle in which the grade is received.

You may also mail or fax a completed quiz to ASPPA, following the instructions below, with the \$50 grading fee.

Circle One

- True or False 1. A plan trustee owes its duty to the participants/beneficiaries and not necessarily the employer/plan sponsor who hired them.
- True or False 2. The issue of “conflicts of interest” addresses whether or not the professional can represent a specific employer and its impact on other clients and the professional’s own interest.
- True or False 3. The Department of Labor’s Field Advisory Bulletin 2008-1 requires contribution tracking by the employer and recordkeeper.
- True or False 4. Under Circular 230, a return, claim for refund or other document is not considered a client record if the practitioner is withholding it pending the client’s payment of fees required by contractual obligation.
- True or False 5. When a problem arises, it may be necessary to retain an attorney on behalf of the employer because attorneys are always the best-informed advisors.

Name: _____

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