

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 Series 6 license permits the licensee to sell stocks, bonds and mutual funds while the Series 7 only allows the sale of mutual funds.
- True or False 2. The Suitability Standard allows agents to sell products that maximize commissions without concern for the client.
- True or False 3. There are more than 100 financial designations, most with at least academic or exam requirements but few providing ongoing oversight.
- True or False 4. The majority of those who hold themselves out as “financial advisors” or “financial planners” are not currently subject to a *fiduciary* obligation to the plan sponsor or plan participants.
- True or False 5. Three of the most common security licenses are an insurance license, Series 6 or 7, or Series 65.

Name: _____

Address: _____

Phone: (____) _____ Fax: (____) _____

Send \$50 grading fee to
The ASPPA Journal CE Quiz
ASPPA
PO Box 34725
Alexandria, VA 22334-0725



Or fax your credit card payment to 703.516.9308
Visa or MasterCard Number:

Signature

Exp. Date