

Continuing Professional Education Quiz

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If seven or more questions are answered correctly, ASPPA will award you with three ASPPA continuing professional education credits and send a certificate to you for your records. To receive credits, the quiz must be submitted no later than 24 months after the date of the quiz, and credits 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. "Covered service providers" are defined as providers that reasonably expect to receive \$1,000.00 or more in direct compensation only and that provide "covered services."
- True or False 2. In a defined benefit plan, non-vested participants may not be fully vested because of a partial plan termination.
- True or False 3. In a stock purchase the buyer is responsible for events occurring prior to closing thus making a strong indemnification clause or even plan termination pre-closing necessary.
- True or False 4. All non-vested participants in a defined benefit plan are fully vested because of a partial plan termination.
- True or False 5. When receiving indirect compensation, the regulation requires identification of the payer of the indirect compensation.
- True or False 6. If a partial plan termination occurs due to later related events, participants who were affected by an earlier related event will be retroactively affected.
- True or False 7. In a stock purchase, the buyer is normally responsible for all contributions in the acquisition year.
- True or False 8. If the acquiring company has a 401(k) plan, the successor plan rule limits the ability to terminate a target company's 401(k) qualified plan after the business is acquired.
- True or False 9. The final 408(b)(2) regulations require that covered service providers comply with disclosure requirements for *all* covered plans by January 1, 2012.
- True or False 10. Plan fiduciaries cannot transfer their selection and monitoring duties to an ERISA investment manager/independent fiduciary.

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