



# REGISTRATION FORM

The Forum for Retirement Sales and Investment Professionals  
**Manchester Grand Hyatt | San Diego, CA | February 25-27, 2007**

Please register only one person per form. Form may be duplicated for additional registrations. Type or clearly print information.

1. Name: Mr./Mrs./Ms. \_\_\_\_\_ Designation(s): \_\_\_\_\_  
 Nickname: \_\_\_\_\_ \*E-mail: \_\_\_\_\_  
 Title: \_\_\_\_\_ Company: \_\_\_\_\_  
 Street Address/PO Box: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Zip code: \_\_\_\_\_  
 Phone: ( \_\_\_\_\_ ) \_\_\_\_\_ - \_\_\_\_\_ Fax: ( \_\_\_\_\_ ) \_\_\_\_\_ - \_\_\_\_\_

NOTE: Information listed above for nickname, company, city and state will appear on your conference badge exactly as stated.

\* E-mail address is required for complimentary membership offer.

2. Is this your preferred mailing address for all ASPPA correspondence?  Yes  No  Business  Home  
 3. If the address above is different from this brochure's mailing label, does this signify a change of address?  Yes  No

4. Your Industry Role: (Please check the MOST applicable description.)  
 Financial Advisor or Registered Rep  
 Registered Investment Advisor  
 TPA Please check one:  Producing Third Party Administrator  Non-Producing Third Party Administrator  
 Product Service and Support Please check one:  
 Sales and Marketing  Legal and Accounting  Administration and Systems  Other

5. Your Broker-Dealer or RIA, if applicable: Firm Name \_\_\_\_\_  
 Type:  Wire house  Regional  Independent  Insurance  Bank  RIA  
 Other \_\_\_\_\_

6. If you require special arrangements due to a disability, please specify \_\_\_\_\_

## 7. Workshop Registration

### Saturday, February 24, 2007

11:30 a.m. – 2:00 p.m.

- RPF-1 QPFC Intensive Review Course
- PFC-1 QPFC Intensive Review Course

2:30 p.m. – 5:00 p.m. (Extra fee applies)

- RPF-2 QPFC Intensive Review Course
- PFC-2 QPFC Intensive Review Course

### Sunday, February 25, 2007

8:00 a.m. – 12:00 p.m.

- Insurance CE Forums
- Sales & Marketing Forums

### Monday, February 26, 2007

#### Concurrent Workshops—Round One

10:00 a.m. – 11:00 a.m.

- 1. Communicating with Decision Makers (Repeated as Workshop 7)
- 2. Prospecting, Proposing and Closing 401(k) Business
- 3. The Autopilot 401(k) after the Pension Protection Act
- 4. Taking Participant Education to the Next Level (Repeated as Workshop 10)
- 5. Service Models: RIA? Commissions? Fixed Fees?
- 6. I'm Not Your Boss: Transform Your Staff into Entrepreneurs Who Manage You for Greater Success (Repeated as Workshop 18)

- Wholesaler Workshop 1: Managing Your Career: How to Stand Out, Move Up & Dominate in the Distribution Marketplace

#### Concurrent Workshops—Round Two

3:00 p.m. – 4:00 p.m.

- 7. Communicating with Decision Makers (Repeat of Workshop 1)
- 8. How 401(k) Sponsors and Advisors Can Profit from ESOPs
- 9. Industry Best Practices for Managing a Provider Search
- 10. Taking Participant Education to the Next Level (Repeat of Workshop 4)
- 11. Growing and Retaining Large Plan Sponsor Relationships
- 12. What You Need to Know about Revenue Sharing & Point of Sale Disclosures
- Wholesaler Workshop 2: Seven Secrets of the Masters

#### Concurrent Workshops—Round Three

4:30 p.m. – 5:30 p.m.

- 13. Winning over Cautious Plan Sponsor Retirement Committees and Board Members (Repeated as Workshop 19)
- 14. How TPAs and Advisors Can Work Together to Build the Ideal Selling and Service Model

- 15. Pre-Diversified Portfolios: Evaluating the Options
- 16. Delivering Effective Annual Fiduciary Reviews (Repeated as Workshop 22)
- 17. A Town Meeting with the Attorney Who Sues Advisors and the One Who Stops Him
- 18. I'm Not Your Boss: Transform Your Staff into Entrepreneurs Who Manage You for Greater Success (Repeat of Workshop 6)

### Tuesday, February 27, 2007

#### Concurrent Workshops—Round Four

9:45 a.m. – 10:45 a.m.

- 19. Winning Over Cautious Plan Sponsor Retirement Committees and Board Members (Repeat of Workshop 13)
- 20. Strategies for Capturing Rollover Assets
- 21. Making 401(k) Plans More Income-Focused
- 22. Delivering Effective Annual Fiduciary Reviews (Repeat of Workshop 16)
- 23. Software Roundtable: Investment Analytics for Your Business
- 24. Winning Clients in a Wired World

**8. Meals Registration.** To help us plan for the conference, please indicate your intent to attend the following:

**Sunday, February 25, 2007**

- Box Luncheon in the Exhibit Hall .....  Yes  No
- Welcome Reception, 5:15 p.m. – 6:45 p.m.....  Yes  No
- GUEST Reception Ticket .....# of guest tickets \_\_\_\_@ \$60 each

**Monday, February 26, 2007**

Luncheon Options (Please choose only one):

- Discussion & Networking Lunch for Financial Advisors and Independent TPAs ONLY
  - My primary focus is:  Smaller market (plan assets up to \$10 million)
  - Mid/large market (plan assets over \$10 million)
  - Third Party Administration

- Buffet Luncheon in the Exhibit hall
- Networking Reception, 5:30 p.m. – 6:30 p.m  Yes  No

GUEST Reception Ticket .....# of guest tickets \_\_\_\_@ \$60 each

Please check dietary requirements (if applicable):

- Kosher  Vegetarian  Other Details: \_\_\_\_\_

**9. Marketing Outreach Information.**

How did you hear about The ASPPA 401(k) SUMMIT 2007? (Please check all that apply)

- Attended a past 401(k) SUMMIT
- A colleague who attended previously
- ASPPA materials, Web site
- Morningstar E-mail
- PLANSPONSOR/PLANADVISER advertisement
- PLANSPONSOR.com, AdvisorDash.com
- Benefits Link
- Registered Representative E-mail
- McHenry Group E-mail
- 401khelpcenter.com E-mail
- Metrics Partners E-mail
- ICC Plan Solutions E-mail
- Reish Luftman Reicher & Cohen E-mail
- Larkspur Data E-mail
- Defined Contribution & Savings Plan E-mail Alert

**10. Registration Fees.** Check all fees that apply. Payment must be received by the dates indicated.

**\*\* SPECIAL:** All non-ASPPA members will receive a complimentary 2007 electronic affiliate membership to ASPPA (valid e-mail address must be provided at the time of registration). Membership notification will be made by e-mail and will include validation details. Membership validation must be completed by March 30, 2007.

\* To qualify for the Additional ASPPA Member or Non-member fee, registrants must be from the same company and registrations must be submitted together, at one time, with payment, by the early registration deadline.

|                              | <b>Early</b><br><b>(by 1/19/07)</b> | <b>Regular</b><br><b>(1/20-2/16/07)</b> | <b>On-site</b><br><b>(after 2/16/07)</b> |
|------------------------------|-------------------------------------|---|--|
| <b>Check One:</b>            |                                     |   |  |
| ASPPA Member                 | <input type="checkbox"/> \$525      | <input type="checkbox"/> \$625          | <input type="checkbox"/> \$1000          |
| Additional ASPPA Member*     | <input type="checkbox"/> \$475      | n/a                                     | n/a                                      |
| Non-member**                 | <input type="checkbox"/> \$775      | <input type="checkbox"/> \$875          | <input type="checkbox"/> \$1250          |
| Additional Non-member*       | <input type="checkbox"/> \$675      | n/a                                     | n/a                                      |
| <b>Check all that apply:</b> |                                     |   |  |
| Guest Sunday Reception       | <input type="checkbox"/> \$60       | <input type="checkbox"/> \$60           | <input type="checkbox"/> \$60            |
| Guest Monday Reception       | <input type="checkbox"/> \$60       | <input type="checkbox"/> \$60           | <input type="checkbox"/> \$60            |
| RPF-1 Course (11:30 a.m.)    | <input type="checkbox"/> \$50       | <input type="checkbox"/> \$50           | <input type="checkbox"/> \$50            |
| RPF-2 Course (2:30 p.m.)     | <input type="checkbox"/> \$50       | <input type="checkbox"/> \$50           | <input type="checkbox"/> \$50            |
| RPF 1 & 2                    | <input type="checkbox"/> \$85       | <input type="checkbox"/> \$85           | <input type="checkbox"/> \$85            |
| PFC-1 Course (11:30 a.m.)    | <input type="checkbox"/> \$50       | <input type="checkbox"/> \$50           | <input type="checkbox"/> \$50            |
| PFC-2 Course (2:30 p.m.)     | <input type="checkbox"/> \$50       | <input type="checkbox"/> \$50           | <input type="checkbox"/> \$50            |
| PFC 1 & 2                    | <input type="checkbox"/> \$85       | <input type="checkbox"/> \$85           | <input type="checkbox"/> \$85            |

**11. Payment.** ASPPA membership is individual, not corporate. If you are not personally a member of ASPPA, the Non-member rate will be applied.

Registration Fee: \$ \_\_\_\_\_

Total for Guest Reception Tickets: \$ \_\_\_\_\_

Total for RPF/PFC Courses: \$ \_\_\_\_\_

Total amount: \$ \_\_\_\_\_

Enclosed is a check or money order payable to ASPPA.

Please charge my credit card (check one):  Visa  MasterCard  American Express  Discover

Card No.: \_\_\_\_\_ Expiration Date: \_\_\_\_\_

Signature: \_\_\_\_\_