

Continuing Education Quiz

Return the completed quiz to ASPPA at the address below with a grading fee of \$30. If seven questions are answered correctly, ASPPA will award you with three ASPPA continuing education credits and send you a certificate for your records. To receive credit, 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. ASPPA also offers online CE quizzes. Visit the ASPPA Web site at www.asppa.org/education/ed_conted_quiz.htm#news.

Circle One

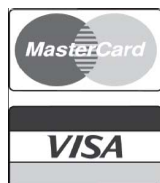
- True or False 1. Providing investment education can be done without incurring fiduciary liability.
- True or False 2. Tommy Thomasson recommends in his oral testimony before the House that fees be broken down into two categories – recordkeeping and advisory fees.
- True or False 3. The one and only perceived shortfall with auto-enrollment is that the 3% starting contribution rate is too high for everybody.
- True or False 4. Participants should set a minimum goal of acquiring 10 – 12 times their annual salary within their retirement account before they reach retirement age at 65.
- True or False 5. PPA does not prohibit advisers from acting as both plan-level and participant-level fiduciary advisers as long as their compensation is unaffected by the investments recommended by the fiduciary adviser.
- True or False 6. Fiduciaries are allowed to render investment advice to plan participants regarding investments that result in the payment of additional advisory and other fees to the fiduciaries and their affiliates.
- True or False 7. The task force established by ASPPA has completed development of the standard qualifications for admission to ASPPA’s self regulation program for recordkeeping firms.
- True or False 8. The fatal flaw of plan governance can be described simply as the Plan Sponsor and/or trustees failure to identify who is in charge of what.
- True or False 9. Many Plan Sponsors are well equipped to devise and implement a comprehensive qualified plan governance plan.
- True or False 10. Obtaining ASPPA’s Qualified Plan Financial Consultant credential is a good starting point for starting down the road to becoming an elite pension consultant or advisor.

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