

# National Association of Plan Advisors

## 2012 Membership Application

**Join Now!**  
**Questions?**  
**Call 800-308-6714**

Membership must be renewed annually.

Mr./Mrs./Ms. Name: \_\_\_\_\_  
(circle one) First MI Last (former name)

Company: \_\_\_\_\_ Title: \_\_\_\_\_  
(provide company name, even if home address is noted below)

Street Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Home  Business

NAPA membership labels are sold upon request. Please check the box if you do not want your name and address distributed.

Work Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Home Phone: \_\_\_\_\_ Home Zip Code: \_\_\_\_\_  
(for government affairs purposes)

E-mail Address: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

**Position** (choose the one that most closely describes your position):

Advisor  Wholesaler (External)  Home Office (Provider, Broker-Dealer, TPA)  Accountant  Attorney  Other \_\_\_\_\_

**Broker-Dealer or RIA Affiliation** (if applicable):

Broker-Dealer \_\_\_\_\_ (Broker-Dealer Name)  RIA \_\_\_\_\_ (RIA Firm Name)

**Business Model:**

Fee Only  Commission Only  Hybrid Fee and Commission

**Number of Defined Contribution Plans:**

Less Than 10  10 – 25  26 – 100  More than 100

**Defined Contribution Assets Under Management:**

Less Than \$1 Million  \$10 Million – \$24.9 Million  \$75 Million – \$99.9 Million  More than \$1 Billion  
 \$1 Million – \$4.9 Million  \$25 Million – \$49.9 Million  \$100 Million – \$149.9 Million  
 \$5 Million – \$9.9 Million  \$50 Million – \$74.9 Million  \$150 Million – \$1 Billion

**Top 3 Provider Affiliates** (please list):  
\_\_\_\_\_  
\_\_\_\_\_

**Years of DC Experience:**

What year did you start with DC plans? \_\_\_\_\_

**Primary Market Served Based on Plan Assets:**

Less Than \$5 Million  \$16 Million – \$50 Million  More Than \$100 Million  
 \$5 Million – \$15 Million  \$51 Million – \$100 Million

**Licenses** (Please indicate which you currently hold, if applicable):

Series 6  Series 24  Series 63  Series 66  
 Series 7  Series 26  Series 65  Life Insurance  
 Health Insurance

**Code of Ethics:**

Have you been found guilty of a felony, violation of insurance or securities regulations or any violation of the code of ethics of any professional or business organization?

No  Yes (If yes, explain on a separate attachment.)

I have read the ASPPA Code of Professional Conduct and if my application is accepted I agree to abide thereby. I certify that the information provided in this application is true and correct to the best of my knowledge. (If you do not have a copy of the ASPPA Code of Professional Conduct, please call the ASPPA office to request one.)

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

**Dues Information:**

**Founding Partner Dues\*:**

Membership Through December 31, 2012  \$195 (dues waived through 12/31/2012)

**Not Affiliated with a Founding Partner\*:**

\$395: First member from your firm to join\*\*  
 \$275: Each additional member\*\*

**\* Not sure if you are affiliated with a NAPA Founding Partner?**

**\*\* Not sure if you are the first to join? Call 800-308-6714**

I am paying by  Check  Money Order  Mastercard  Visa  Amex  Discover

Name as it appears on card: \_\_\_\_\_

Card No.: \_\_\_\_\_ Exp. Date: \_\_\_\_\_

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

Please fax your completed application to 703.516.9308 or mail it to NAPA, P.O. Box 34725, Alexandria, VA, 22334-0725. Fees appearing on this form are no longer valid after December 31, 2012. After this time, contact the Customer Support Department to confirm the appropriate fees. Questions? Please call us at 800.308. 6714 or email customersupport@asppa.org.

**Tax Deduction:**

Dues, contributions or gifts to ASPPA are not deductible as charitable contributions; they may be deductible, however, as ordinary and necessary business expenses. Federal law prohibits a tax deduction for the portion of membership dues attributable to lobbying expenses incurred by the organization. Consequently, for 2012, 22% of your dues are non-deductible in accordance with this provision.



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