

PPC™ - Professional Plan Consultant™

Designation Accreditation Application
Robert Morris University

Name as it should appear on certificate: _____
Company name: _____
Address: _____
City/State/Zip: _____
Phone: _____
Email: _____
Web-site: _____

Qualifications for designation:

I certify that I passed the online 401k Service Training Program™ exam on: _____

I attended the following program: _____

- Enclosed is the PPC™ accreditation fee. I understand this is an annual fee required to maintain my designation and all rights associated with it.
- I agree to abide by the attached PPC™ Code of Ethics and understand that my designation could be revoked if I fail to do so.
- I agree to abide by the attached Intellectual Property Use Guide and use all copyrights, trademarks, and designation correctly on signage, business cards.
- I understand that the PPC™ designation and the 401k Service Solution™ tools can only be used while I am properly registered with Financial Service Standards and meeting existing continuing education requirements of 12 hours every two years.
- I understand the Financial Service Standards will list my contact information on the 401kServiceSolution.com and 401kServiceTraining.com websites.

Name: _____

Signature: _____ Date _____

Your annual designation fee of **\$245.00** is included in your monthly subscription fee. No payment is due.

“The 401k Service Solution”, “the 401k Service Training Program”, “Professional Plan Consultant” and “PPC” are all trademarks of Financial Service Standards, LLC. All rights reserved.

PPC™ Designation Requirements

PROFESSIONAL PLAN CONSULTANT™ REQUIREMENTS

There are seven basic requirements to becoming a certified Professional Plan Consultant.

1. Complete the 401k Service Training Program;
2. Successfully pass an exam documenting a full understanding of the material taught in the training class;
3. Commit to twelve hours of continuing education every two years after the first full year;
4. Comply with the FSS trademark and copyright use agreement, including the use of the PPC Designation;
5. Agree to adhere to a professional code of ethics;
6. Annually renew designation and if applicable, licensing agreement to continue to use tools taught in training program; and
7. Annually acknowledgement to abide by a Code of Ethics, Continuing Education, and Trademark policies.

Benefits of PPC Designation include:

- Exclusive access to the tools taught in the training program.
- Ongoing industry updates by FSS. This includes updates to the individual on issues that are important, as well as updates to the tools developed when necessary to comply with industry and regulatory changes.
- Ongoing sales and training ideas are provided by FSS to certified PPCs. This includes tips and suggestions on overcoming objections and how to use the tools to sell to and service the qualified plan market.
- Marketing your expertise. FSS spends a percentage of annual revenue on marketing the PPC designation to raise awareness and credibility to the benefit of PPC designees.

PPC Designation Requirements

Code of Ethics

PROFESSIONAL PLAN CONSULTANT ETHICS CODE

Individuals who provide services to employer-sponsored retirement plans have a significant responsibility to act in a manner consistent with the interest of the plan sponsors and participants, and the general public.

The following code of ethics should be adhered to in addition to any other code that governs my professional and ethical conduct.

As a Professional Plan Consultant, I will:

1. At all times put the interests of my clients first and foremost.
2. Continually strive to maintain and improve my knowledge and skill set to the benefit of those I serve.
3. Avoid anything that would constitute a conflict of interest on any of the plans I have any direct or indirect relationship with.
4. Respect any confidential relationships that may arise as I service the retirement plan industry.
5. Comply with all regulatory requirements affecting the delivery of consulting services to clients and my profession.
6. Maintain the highest standard of personal and professional conduct.

PPC Designation Requirements

FSS Trademark Policy

INTELLECTUAL PROPERTY USE GUIDELINES

All uses of Financial Service Standards, LLC ("FSS") marks and copyrighted materials must conform to the following rules and guidelines and must contain the following notices of ownership.

- The 401(k) Service Solution Mark: The TM symbol shall be used whenever the mark appears, and the following notice must be linked to, and identified with, the first appearance of the mark: "The 401(k) Service Solution" is a service and trademark of FSS.
- PPC Mark: The TM symbol shall be used whenever the mark appears, and the following notice must be linked to, and identified with, the first appearance of the mark: "PPC" is a service and trademark of FSS, unless used exclusively in context of listing the designation after individual's name.
- Setting the Standard for 401(k) Service Excellence Mark: The TM symbol shall be used whenever the mark appears, and the following notice must be linked to, and identified with, the first appearance of the mark: "Setting the Standard for 401(k) Service Excellence Mark" is a trademark of FSS.
- All copyrighted, original FSS published materials shall contain the following notice: "© [year of first publication], Financial Service Standards, LLC. All rights reserved."
- All re-published works of FSS copyrighted material shall contain the notice "Republished from (source) by permission of the Financial Service Standards, LLC. © (year of first publication), Financial Service Standards, LLC. All rights reserved."
- All derivative works originating from FSS copyrighted material shall contain the notice "Derived from (source) by permission of the Financial Service Standards, LLC. © (year of first publication), Financial Service Standards, LLC. All rights reserved."

All required notices stated above shall be linked to, and identified with, the first appearance of any corresponding FSS-owned intellectual property item in any publication, print or electronic. In the case of multiple uses of intellectual properties owned by FSS, a single notice combining appropriate language shall be used

PPC Designation Information

Website Listing

PPC LOCATOR ON WWW.401KSERVICESOLUTION.COM

Financial Service Standards lists all PPC Designees by State on the Plan Sponsor website where plan sponsors would go to learn more about The 401k Service Solution and how to locate a PPC designee in their area.

Please complete the following as you would like it listed on the website:

Print Name and any Designations held: _____

Print Position or Role if desired: _____

Print Company Name: _____

Print City/State: _____

Print Website Address if desired: _____

PPC Designation

Complaint Procedures

FYI—COMPLAINT PROCEDURES AS LISTED ON WEBSITE
WWW.401KSERVICESOLUTION.COM:

Professional Plan Consultant Designees are required to act in accordance with governing regulations. They are also required to adhere to a Code of Ethics confirming they intend to do business by following a strict set of ethical standards. If any person has a complaint against any PPC designee, they may submit a complaint form to Financial Service Standards via U.S. Mail, fax or online and we will investigate the complaint.

Online:

Please send complaint form along with any pertinent information and attachments to investigate@financialservicestandards.com.

Fax:

Please send to: 724-942-4196.

Mail:

Please send complaint form and attach any documents deemed appropriate to:

Financial Service Standards, LLC
2652 Hidden Valley Drive, Suite 100A
Pittsburgh, PA 15241

Information Required:

Complaint form should be accompanied by information surrounding the circumstances, including photocopies of relevant letters, contracts, agreements or other documents. The FSS Board will request additional information and may request a personal interview if it appears necessary.

The public should be aware of normal remedies under state and federal laws and regulations with applicable regulatory bodies and also avail themselves of other avenues. The burden should be on the complainant to pursue such remedies. The findings and actions of appropriate regulatory bodies will be given due consideration by the FSS Board.

PPC Designation


FINRA Listing

FINRA Investor Education

Understanding Professional Designations



FINRA does NOT approve or endorse any professional designation.

PPC - Professional Plan Consultant 	
Designation	Professional Plan Consultant
Acronym	PPC
Issuing Organization	Financial Service Standards
Prerequisites/Experience Required	3 years of direct financial plan industry sales, service, and/or support experience
Educational Requirements	16-hour 401k Service Training Program
Examination Type	Final certification exam
Continuing Education/Experience Requirements	12 hours every two years
Investor Complaint Process	Online , by fax or mail
Public Disciplinary Process	None
Check Professional's Status Online	Online at Locate a PPC

PPC Designation

CFP Continuing Ed Credits

TRAINING PROGRAM CONTINUING EDUCATION REQUEST FORM

The classroom training program has been accepted for 12.5 hours of continuing education by the Certified Financial Planner Board of Standards and the online training program has been accepted for 7 hours.

FSS electronically reports CFP CE credits by individuals that complete our training. For us to do this, you must provide at least one of the following in order for us to properly report your CE request to the CFP Board:

Last 4 digits of your Social Security Number: _____

CFP Certificate Number: _____

Print Name (First, MI, Last): _____

Main Identity

From: <cesponsor@CFPBoard.org>
To: <sharon@financialservicestandards.com>
Sent: Wednesday, November 30, 2005 2:57 PM
Subject: Confirmation of Your Continuing Education (CE) Program

|| CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS INC. ||

SUBJECT: Confirmation of Your Continuing Education (CE) Program

DATE: 11/30/2005

RECIPIENT: Ms. Sharon Pivrotto

CE SPONSOR: Financial Service Standards, LLC

CE SPONSOR ID NUMBER: 3145

This is to provide you with a confirmation of the continuing education (CE) program you submitted to CFP Board. The following CE program has been accepted by CFP Board:

Program Name: The 401K Service Training Program - Professional Plan Consultant

Program ID: 3145-1

Status: Active

Hours Requested: 12.50

HOURS GRANTED: 12.50