



You Know Your Credentials Are Impeccable

But How Can You Prove It To Advisors And Prospects?

In a changing and volatile investment environment, retirement plan sponsors are looking for standards that can offer support for a service provider's integrity. Conversely, service providers are looking for a way to show advisors and plan sponsors that **their trust is warranted**. That's why the Centre for Fiduciary Excellence, CEFEX, and ASPPA offer the CEFEX Seal of Excellence.

CEFEX, an independent certification organization, offers an assessment process to substantiate a service provider's conformity to a defined set of best practices. Service Providers who meet these rigorous criteria qualify to display the CEFEX Seal of Excellence.

Whether you're a recordkeeper or a Third Party Administrator, the CEFEX Seal of Excellence provides a way to quickly show advisors and clients that your practices are impeccable.



About CEFEX

CEFEX is an independent assessment and certification organization. CEFEX provides comprehensive assessments as measures of risk and trustworthiness of retirement plan service providers.

A CEFEX assessment includes both on and off-site confidential reviews of an organization's practices by an independent analyst. The process uses the ISO 19011 audit standard, an internationally recognized standard for testing process management systems.

This certification program is based on the ASPPA Standard of Practice for Retirement Plan Service Providers. This Standard was developed by a task force of recordkeepers and TPAs with the objective of best supporting the fiduciary obligations of investment advisors.



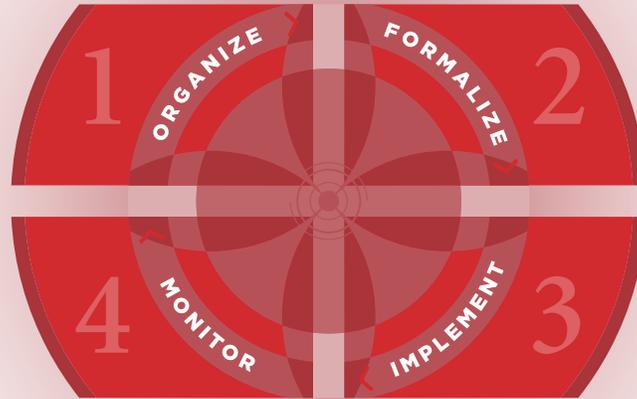
THE STANDARD

The Standard of Practice acknowledges that ASPPA-certified firms are not considered fiduciaries; however, they provide essential services to fiduciaries and their plan participants. These firms help fiduciaries meet their fiduciary obligations and provide increased assurance to fiduciaries that the industry's best practices are in place.

The Standard is comprised of seventeen Practices, which are intended to provide the foundation and framework for a disciplined recordkeeping and administration process.

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The Practices are organized under a four-step Management Process analogous to the global ISO 9000 Quality Management System standard, which emphasizes continual improvement to a decision-making process.



HOW TO GET STARTED

The CEFEX Electronic Assessment Form contains all of the questions and document requirements for CEFEX certification in the ASPPA Retirement Plan Service Provider Program. The file is secure and unique to your firm.

An Analyst will be assigned to work with you and give you informal feedback. When you're ready to proceed with certification, CEFEX will provide you an Assessment Agreement.

Your CEFEX Analyst will coordinate a site visit at your convenience.

To get started, just send an e-mail to Linda (admin@cefex.org) with the subject: "ASPPA CEFEX EAF". Please include your name, title, phone number, firm's name and street address.



CEFOX Centre for Fiduciary Excellence, LLC. is an independent certification organization. CEFEX works closely with industry experts to provide comprehensive assessment programs to promote fiduciary best practices. It certifies investment stewards, advisors, managers, ASPPA recordkeepers, ASPPA administrators, and support services firms. To learn more about CEFEX, please visit www.cefex.org:

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