

# National Association of Plan Advisors

## Application for Membership

Apply Now!  
Questions?  
Call 800.308.6714

Employees or Advisors affiliated with a Firm Partner should register for membership at [napamember.org](http://napamember.org).  
Your Firm Partner will provide you with the required partner code for membership. A complete list of current Firm Partners is located at [napa-net.org](http://napa-net.org).

Membership in NAPA must be renewed annually.

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

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

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

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

Home  Business

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

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

Email Address: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

### Which position best describes your work?

401(k) Advisor  Wholesaler (External)  TPA  Home Office (DCIO, RIA, Broker-Dealer)  Accountant  Attorney  Other: \_\_\_\_\_

### Broker-Dealer or RIA Affiliation:

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

### Business Model:

Fee Only  Commission Only  Hybrid Fee and Commission

### DC Experience:

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

### 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

### Primary Market Served Based on Plan Assets:

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

### Licenses:

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

### Code of Conduct:

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 NAPA 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 NAPA Code of Professional Conduct, please call the NAPA office to request one.)

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

### Dues Information:

#### Payment Date:

Jan. 1 – June 30  \$440  
July 1 – Oct. 31  \$220  
Nov. 1 – Dec. 31  \$440 (Includes 2019 dues)

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 or email [accountsreceivable@usaretirement.org](mailto:accountsreceivable@usaretirement.org).  
Questions? Please call us at 800.308.6714. Dues appearing on this application not valid after 12/31/2018.

### Tax Deductions:

Dues, contributions or gifts to NAPA 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 2018, 20% of your dues are non-deductible in accordance with this provision.



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[www.napa-net.org](http://www.napa-net.org)