

NTSA RICHARD FORD VOLUNTEER SERVICE AWARDS (FVSA)

2024 Awards Terms and Conditions

Amended and Effective January 1, 2023

FVSA AWARDS PROJECT OVERVIEW

NTSA FVSA Awards Purpose

The NTSA Richard Ford Volunteer Service Awards are prestigious lifetime service awards that honor NTSA (National Tax-Deferred Savings Association) members who are role models for volunteer and service work with NTSA and with their community. Awardees demonstrate *outstanding* commitment in the following areas:

- **Volunteerism.** NTSA volunteer for various standing committees and/or projects through the NTSA member's donation of time and talent, in ways that are *extraordinary, unique, and valuable*.
- **Service.** In-Community Service for various causes through the NTSA member's donation of time and talent, in ways that are *significant, innovative, and meaningful*.

Promoting Corporate Service Responsibility (CSR) and Diversity/Equity/Inclusion (DEI), as key NTSA and American Retirement Association (ARA) values for all its members, is central to the Awards' branding, promotion, and implementation.

NTSA Awards demonstrate to the retirement industry and the community at large that NTSA members exemplify commitment to excellence and lifelong service in their field and with their community spheres of influence. FVSA Awardees serve as ambassadors of the NTSA values to their clients and communities.

About the Awards

NTSA FVSA were established in 2019, NTSA's 30th year, to honor Richard Ford's example for us. Ford was a founding NTSA member, who exemplified the NTSA values of volunteerism and service through his unique and meaningful contributions to NTSA and his community throughout his career. After Richard's untimely passing, in his memory, NTSA established these Awards to recognize NTSA members who follow Richard's example of giving back to the retirement industry and to the broader community.

NTSA FVSA Awards Oversight

The NTSA Awards Chair leads all NTSA Awards. The FVSA Coordinator leads, organizes and collaborates with the NTSA Manager and the FVSA Award Judging Project Team (AJT) which represents various NTSA sectors and acts collaboratively with utmost confidentiality, pursuant to the ARA (American Retirement Association) Data Confidentiality Agreement. In the second quarter of each year, there is a three-phase process: (1) Nomination, (2) Application, Affirmation and Selection, and (3) Announcement and Presentation.

Timetable projected for the NTSA 2024 FVSA Process.

Phase 1 (external)	Nomination	April 20 – May 11, 2023
Phase 2 (internal)	Application Period	April 27 – May 18, 2023
	Affirmation Period	May 4 – May 25, 2023
	Selection Period	May 17 – June 6, 2023
Phase 3 (external)	Announcement & Presentation	June 6 - 8, 2023 & February, 2024

About Richard Ford

In addition to his active role with NTSA, Richard was an impactful leader at PlanMember Financial Corporation, a leading NTSA Strategic Partner, where he served as Senior Vice President of Marketing. As one of its longest-serving employees, Richard made a lasting contribution at the firm, including his creation of the PlanMember "Make a Difference" Annual Award. Throughout his career, he was a tireless community service volunteer and advocated for NTSA and the retirement industry through extensive volunteer work on NTSA committees and other leadership roles. He was respected and beloved by all who knew him.

FVSA PROJECT DETAILS ... Second Quarter: April – June, generally

I. FVSA AWARDS LOGISTICS PERIOD

A. Annual Post-Awards Review July, February & March

B. Project Overview. February & March

1. Phase 1: External Public Branding and Outreach. The Nomination Period.

Phase 2: Internal Data Gathering and Decisions. The Application, Affirmations and Selection Periods.

Phase 3: External Public Information. The Announcement and Presentation Periods.

2. External Activities. Branding, Outreach and Information.

a. Target Sectors. NTSA Standing Committees and Projects, NTSA Strategic Partners, and, if possible, Community entities as evidenced in a potential NTSA member CSR/DEI Survey.

b. Outreach Formats for Nomination Solicitation. NTSA Advisor, email series, social media, including FAQs, Flyers, Virtual meetings and PowerPoint presentations ... plus direct contact by NTSA leaders.

c. External Activities.

- Phase 1. Potential Member Survey (based on CSR/DEI Summit response), Awardee Stories, Nominations Solicitation.
- Phase 3. Announcement, Awards Brochure or like format, Presentation.

3. Internal Activities. Data Gathering and Decisions.

- Phase 2. Nominator, Applicant and Affirmations: Contact Information & Stories

a. Staffing. ARA Staff / NTSA Manager, together with volunteer FVSA Coordinator.

b. Skills & Abilities. Attention to detail and collaborative communication; broad industry understanding, with utmost confidentiality; computer and software systems designed to meet particular needs.

c. Availability. Based on their other responsibilities, generally one day or days of the week can be used to consolidate Timeline activities for efficiency. For accuracy and ease of use, data receipt can be consolidated directly onto a single spreadsheet to organize and communicate to related parties based on their needs.

d. Data Gathering. NTSA Manager reviews past update of external and internal processes and deliverables, together with the FVSA Coordinator and industry volunteer teams. Business plan is mutually agreed-to between NTSA Executive Director (ED), NTSA Awards Chair (AC) and FVSA Coordinator, together with NTSA Manager and ARA staff.

II. PHASE 1: NOMINATION PERIOD

Public Branding and Outreach: April

A. Definition of Terms.

1. FVSA Nomination Year. Year during which the Nomination Process occurs.

2. FVSA Service Year. Generally, the year before the Nomination Process.

3. Awards Year. Year of Awards being honored, generally, the next NTSA Summit at a plenary session or Awards Luncheon, if any.

B. FVSA Nominators.

1. Eligible Nominators.

a. General: ARA Divisions of Membership: ASEA, ASPPA, NAPA, NTSA, PSCA members.

b. Specific: NTSA Strategic Partner (SP) Ambassadors, Advocacy Representatives, Designated Points of Contact; NTSA Leadership Council (LC), Chairs and Vice Chairs of and Liaisons to NTSA standing committees and projects; CSR/DEI Member Survey participants.

2. Ineligible Nominators.

NTSA AC, FVSA Coordinator and FVSA AJT members in the Nomination Year; Self-Nomination; NTSA ED; ARA Staff.

C. FVSA Nominees.

1. Eligible Nominees.

a. NTSA Member in good standing, and in compliance with the ARA Code of Conduct.

b. If NTSA Financial Advisor Member: must be in good standing with FINRA, SEC and any applicable state insurance regulatory body(ies), or

c. If NTSA non-Financial Advisor Nominee: must be good standing with employer and the retirement industry. Affirmation by supervisor, if other than Nominator, may be requested.

2. Ineligible Nominees. NTSA AC, FVSA, Coordinator, FVSA AJT in Nomination Year, Self-Nomination, NTSA ED, ARA Staff.

- D. Nomination Criteria.** To be eligible for Awards consideration, Nominees must meet the following criteria:
- 1. Membership.** NTSA Individual, Associate or Affiliate Membership for three (3) or more years, including the Awards Year, e.g., for the 2024 Awards, member as of 2022 or before.
 - 2. Present Volunteerism and Service.** Minimum of ten (10) hours in the most recent calendar year preceding the Nomination Year, both for NTSA various standing committees and/or projects, as well as separately for their Community for various causes, e.g., for the 2024 Awards, with 2023 Nomination Year, the 2022 calendar year; in addition, current volunteerism and service can also be considered.
 - 3. Past Volunteerism and Service.** Minimum of twenty (20) hours total in the last one (1) to five (5) previous calendar years, for NTSA various standing committees and/or projects, as well as separately for their community for various causes, e.g., for the 2024 Awards, with the 2023 Nomination Year, the 2018 – 2022 calendar years.
- E. FVSA Nomination Process.** April & May
- 1. Nomination Solicitations.** ARA scope of influence, NTSA, NTSA SPs, NTSA certified and credentialed members, and, if engaged, Member Survey respondents
 - 2. Nomination Timing.** Generally, Nominations are open for up to four (4) weeks at the discretion of the FVSA Coordinator and FVSA AJT, as published in the annual Timetable.
 - 3. Nominator Forms.** Nominations can be made singly or in a group, using the Nomination Form developed and enabled by the NTSA Manager and approved by the NTSA FVSA Coordinator and FVSA AJT.
 - 4. Nomination Form Content.**
 - a. Nominator Name and Contact Information.**
 - b. Nominee Name, Email and Phone.**
 - c. Nominator Story.** 50 – 100 words from Nominator perspective about Nominee's unique, innovative excellence in NTSA and Community volunteer service, with public use approval.
 - d. Thank You.** With next steps and dates.
 - 5. Nominee Acceptance.**
 - a. NTSA Member Nominees.** NTSA Manager notifies Nominee within one week of Nomination receipt, together with the Application Form, copied to Nominator and FVSA Coordinator, with at least a bi-weekly report per the Timeline to the NTSA ED, NTSA Awards Chair, FVSA Coordinator and FVSA AJT.
 - b. Non-NTSA Member Nominee(s).** NTSA Manager notifies non-NTSA Member Nominee(s) of ineligibility within two weeks of Nomination receipt, together with Affiliate and/or Individual Membership Application(s), copied to the Nominator and FVSA Coordinator. Before the end of the Nomination Period, the NTSA Membership Engagement Committee (MEC) receives a consolidated report of the non-NTSA member Nominee(s) from the NTSA Manager. MEC solicits the Ineligible Nominee(s) for Affiliate or Individual Membership, considering NTSA benefits, including Awards.

III. PHASE 2: APPLICATION, AFFIRMATIONS AND SELECTION PERIODS

Internal Data Gathering and Decisions. April, May & June

A. FVSA APPLICATION PERIOD April & May

- 1. FVSA Application Content.** Assertion of compliance with ARA Code of Conduct and industry good standing, with approval for public use.
 - a. Nominee Name and Contact Information.** Nominee's distinctive volunteer service information, such as, but not limited to, details of Nominee's volunteer organization(s), topic(s), project(s), description(s), role(s), results, achievements, and hours served for both NTSA and their Community.
 - b. Nominee Stories.** As a critical part of the Application, reflections separate the distinctive applicants' works with their differentiating responses. "Who is Served? How are they served? Why do you serve? What results have you seen?" in 50 - 150 words, each for NTSA Volunteerism and for Community Service, covering Applicant's multiple volunteer and service points in each aspect.
 - c. Nominee Affirmations' (two) Contact Information.** Two required, one each from NTSA and Community volunteer service supervisors and/or colleagues, neither of which can be the Nominator, NTSA 2024 FVSA AJT, the NTSA Awards Chair or the NTSA ED.
 - d. Biography & Photos.** Professional vitae, resume and/or biography of 100 – 300 words, plus electronic format professional head shot and casual volunteer photo.
 - e. Thank You.** With next steps and dates.
- 2. Sole Responsibility.** Lies with the individual Nominee for completing the Application process, with assertions, with their full completion of the Application before the deadline. However, NTSA Manager and FVSA Coordinator engage in email and phone follow-up, copied to Nominator and informed at least bi-weekly per Timetable to the NTSA ED, NTSA AC and FVSA AJT.

B. FVSA AFFIRMATION PERIOD April & May

1. **Process.** NTSA Manager informs Affirmations within one week of Application receipt, together with Affirmation Form, copied to Nominator, Applicant and FVSA Coordinator, with at least a bi-weekly report per the Timeline to the NTSA ED, NTSA AC, FVSA Coordinator and FVSA AJT. Affirmations are due generally within one week of Affirmation notification.
2. **Single Affirmation Form.** Used by the two (2) NTSA Volunteer Supervisor or Colleague, and, the Community Service Supervisor or Colleague, with public use approval.
3. **FVSA Affirmation Content.** Assertion of approval for public use.
 - a. **Affirmation Name and Contact Information.**
 - b. **Affirmation Story.** 50 – 100 words about the impact of the Applicant's works of time and talent from the perspective of the particular supervisor or colleague, for both NTSA and for Community.
 - c. **Thank You.** With next steps and dates.
4. **Sole Responsibility.** Lies with the Affirmation supervisor or colleague for completing the Affirmation process, with assertions, and their full completion of their Affirmation before the deadline. However, NTSA Manager and FVSA Coordinator engage in email and/or phone follow-up, copied to the Applicant and Nominator, and informed at least bi-weekly per the Timetable to NTSA ED, NTSA AC, FVSA Coordinator and AJT.

C. FVSA SELECTION PERIOD May & June

1. **Award Judging Project Team (AJT).** Activities are led by FVSA Coordinator.
 - a. **FVSA AJT Composition.** The FVSA AJT consists generally of up to five (5) representative voting members.
 - PlanMember Representative and/or Strategic Partner (SP) Ambassador
 - Prior FVSA Awardee(s)
 - TPA / technical professional
 - Prior Elite Advisor Awardee (EAA)
 - NTSA LC member, or designee
 - b. **FVSA AJT Member Selection.** Upon the recommendation of the NTSA Awards Committee, the FVSA AJT is confirmed by NTSA Management Council (MC) and informed to the NTSA Leadership Council (LC) and NTSA ED.
 - c. **FVSA Leadership.** The NTSA AC and the FVSA Coordinator collaborate and lead. Neither is a member of the FVSA AJT, and, as such, do not vote and abstain themselves from collaborations, as necessary, giving only generic public information and advice, based solely on this document.
 - d. **FVSA AJT Term.** Generally, the term of FVSA AJT project service is for up to three (3) years, with generally no more than three (3) new AJT members each year.
 - e. **FVSA AJT Responsibilities.**
 - Know and work with updated Terms and Conditions, forms, communications and processes, based on Awards experience.
 - Believe in and Promote FVSA Awards and CSR/DEI, together with their call to excellence fulfilling the NTSA mission, in their spheres of influence.
 - Expand and Mentor Nominators, Nominees and Interested Parties through the Nomination, Application and Affirmation process.
 - Participate in the Awards Selection, Announcement and Presentation.
 - f. **Confidentiality.** All FVSA AJT deliberations, paperwork, communications, etc., are strictly confidential to the FVSA AJT and the property of NTSA. All FVSA AJT members, FVSA Coordinator, and NTSA AC must agree to and sign the ARA Data Confidentiality Agreement, as do all ARA volunteers to whom member information may be available via survey, Nomination, Application or Affirmations forms..
2. **FVSA Award Selection Basics.**
 - a. **Focus.** Extraordinary, unique and valuable activities, as well as significant, innovative and meaningful results.
 - b. **Consequences.** The collaborative FVSA AJT consensus decision on naming FVSA Awardees, if any, has far-reaching consequences and thus must be made carefully and conscientiously.
 - c. **No Requirement.** Awards need not be given in any particular Nomination Year, depending on the quality of the Nominations, Applications and Affirmations received.
 - d. **Not a Single Award.** NTSA Awards philosophy generally precludes having just one Awardee named in any Award Year, but rather that multiple, diverse individual Awardees be honored.

- e. **FVSA AJT Phone Interviews.** The need for Nominator, Nominee and/or Affirmation Interviews may be considered and, if so, conducted by the NTSA AC, FVSA Coordinator and FVSA AJT, on a consistent basis.
- f. **FVSA Applicant Supervisor(s).** As part of due diligence, Applicant Supervisor(s) may be contacted to confirm data presented.

3. Data Preparation. Consolidated Information Review. NTSA Manager, together with the FVSA Coordinator, reviews all Nominator, Applicant and Affirmations submissions for any missing, conflicting or questionable information. In such cases, clarification is sought before FVSA AJT data review. If indicated, there may be an interview process engaged in by the entire AJT. There may be 2 – 4 standard questions, followed by individually indicated 1 – 3 clarifications.

4. FVSA AJT Applicants Review.

- a. **Process.** Each FVSA AJT member is encouraged to review each class of Stories first before rating each individual Applicant, e.g., review all Nominator stories, then go back to rate each Applicant.
- b. **Stories.** Each FVSA AJT member, individually and without consultation or collaboration, reviews each Applicant on the Nominator, Applicant, and Affirmations Stories, plus quantitative aspects of their volunteer and service works. Ratings are from 1 to 25 points each.
- c. The numerical score is only a guide for the FVSA AJT deliberations that consider all aspects of the Applicant situation.
- d. Importantly each Applicant is reviewed on their own merits.

IV.PHASE 3: FVSA AWARDEE ANNOUNCEMENT AND PRESENTATION PERIODS

Public Information: May, June & following February

A. Awardee Announcements to Applicants.

- 1. **Awardees.** Contacted by NTSA AC via phone with possible follow-up via USPS letter from the NTSA ED, NTSA AC, and FVSA Coordinator, copied to Nominator and Affirmations and any appropriate Awardee Supervisor(s).
- 2. **Applicants not selected.** Notified by NTSA AC via phone with email of gratitude and encouragement, copied to Nominator, Affirmations and any appropriate Applicant Supervisor(s).

B. NTSA FVSA Awards Presentation.

1. **Timing.** The NTSA FVSA, if any, are formally presented in-person generally at a plenary session or Awards Luncheon, if any, during the NTSA Annual Summit, with grateful acknowledgment to FVSA Coordinator and FVSA AJT.

2. **FVSA Awardees' Recognition.**

- a. **Publicity.** Generally within two weeks of Announcements to Applicants.
 - Press Release.** Nationally and provided for Awardees' local press, sensitive to national and/or local volunteer recognition initiatives, enabled by ARA Content staff.
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 - **Electronic signature logo.** With dated FVSA logo, enabled by ARA Marketing staff.
 - **Press interview.** As available, enabled by ARA Conferences and Marketing, onsite at Summit.
 - **NTSA Advisor articles.** Written by FVSA Coordinator and AJT, enabled by ARA Content Staff.

b. **Onsite Recognition.**

- Generally at the NTSA Summit Awards Luncheon plenary session; individual on-stage introduction; presented with framed, personalized Certificate of NTSA FVSA recognition; and, copy of direct deposit of NTSA \$250 or greater contribution to their focus non-profit organization. In some years, Summit attendees and NTSA members may be encourage to contribute to the Awardee(s)' focus non-profit organization 'in honor of' the Awardee.
- **Listed Further.** In annual NTSA Awards Stories publication, or some like recognition, to use for individual professional communications and advancement of cause.

3. **FVSA Awardees' Responsibilities.**

- a. **Be Present and Accept.** NTSA Annual Summit, with short acceptance speech promoting focus community non-profit's works in which Awardee participates.
- b. **Participate.** Interviews to complete feature articles for NTSA Advisor, including WOWcast interviews and potentially other audio and visual venues, webinars, Summit.
- c. **Attend and Participate.** Next year's NTSA Annual Summit projects, as needed, including, possible 2 – 3 conference calls planning same.
- d. **Collaborate Actively.** If chosen, on the FVSA AJT in subsequent years and other NTSA-related works.

FVSA AWARD JUDGING TEAM REPRESENTATION HISTORY

	<u>by Award Year</u>	
NTSA member FVSA Awardee		
David Blask	2022	Lincoln Investment
Lisa Stubbs	2023, 2024*	Security Benefit
tbd	2025, 2026, 2027	
PlanMember and/or NTSA Strategic Partner		
Kevin Twohy	2020, 2021, 2022, 2023 (transition)	PlanMember (SP)
Teresa Ward	2022, 2023	Invesco (SP)
Jen Rossignol	2024, 2025, 2026	PlanMember (AP)
NTSA member Elite Advisor		
Randy Aranowitz	2020, 2021, 2022	US Kades-Margolis (SP)
Michael Goldberg	2022	Equitable (SP)
Christina Winters	2023	Lincoln Investment (SP)
Adam Pearce	2024, 2025, 2026	Lincoln Investment (SP)
NTSA member Plan Administrator		
Sue Diehl	2020, 2021	PenServ (SP)
Jim Kelleher	2023, 2024, 2025	Carruth Compliance Consulting
NTSA LC or designee *		
Teresa Ward	2024	Invesco (SP)
tbd	2025, 2026, 2027	

Rotation Options:

2025 Award: in February, 2024 = Add 2 to replace Stubbs & Ward (from FVSA & LC)

2026 Award: in February, 2025 = Add 1 to replace Kelleher (from TPA)

LEADERSHIP

NTSA Awards Chair		
David Wolfe	2024, 2025, 2026	EFS Advisors (SP)
FVSA Coordinator for Award Years		
Julie Aranowitz	2024, 2025, 2026	US Kades-Margolis (SP)
PAST		
Prior Chairs		
Kris Coffey	2020, 2021	
Sue Diehl	2022	PenServ (SP)
Teresa Ward	2023	Invesco (SP)
Senior Advisor		
Kris Coffey	2022, 2023	CPE Associates, Ltd.

NTSA STAFF - NTSA 2024 Awards

NTSA Executive Director (ED)	Nathan Glassey
NTSA Manager	Elizabeth Duda