TRAU

THE RETIREMENT ADVISOR UNIVERSITY

Welcome Guide

First Steps

Towards your C(k)P® Designation

C(k)P = The Certified 401(k) Professional Designation

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Welcome Letter

Fred Barstein, JD, C(k)P
Founder & CEO, TRAU, TPSU & 401kTV

Dear New C(k)P® Candidate,

On behalf of The Retirement Advisor University ("TRAU"), in collaboration with UCLA Anderson School of Management Executive Education and the C(k)P Board of Standards, we congratulate you on your decision to enroll and begin training for your C(k)P® Designation. The focused curriculum that you will experience can be the stepping stone to a rewarding career where you help individuals to be well prepared for retirement, and enhance your present practice.

TRAU is the first retirement planning certification program offered in collaboration with a nationally recognized institution of higher learning. We hope that you will benefit by earning a certification that has real meaning to plan sponsors, participants, clients, prospects, and the retirement industry as a whole.

We encourage you to visit our website www.TRAUniversity.com regularly for news, updates, and to be an active member in the TRAU community. Your instructors and I are looking forward to meeting you during the campus session. This guide is designed to provide you with information you will need in the program, and we recommend that you review it thoroughly.

Sincerely,

Fred Barstein, JD, C(k)P
Founder & CEO
TRAU, TPSU & 401kTV

Meet Senior Business Development Representative

Miguel Dorsan

Miguel Dorsan is the Senior Business Development Representative for The Retirement Advisor University ("TRAU") and TRAU's affiliate The Plan Sponsor University ("TPSU").

Miguel began his career planning large scale events in the healthcare industry. Within a few years the next step for him was to transition to Sales to better leverage his insight forming strategic partnerships, targeted outreach and innovative marketing campaigns.

Under Fred and Diane Barstein, Miguel will co-assess the development of internal Programs, Event Logistics related to Sales, increase the Registration results through better time management, positive cross-department communication and individual personalized coaching.

Miguel has the focus, dedication and heart necessary to elevate the TRAU/TPSU Client Experience through innovation, technology and old school commitment.

Miguel is based in Atlanta Georgia.

Liam Trent

Liam is the newest member of TRAU / TPSU Sales Team, with many years of customer service and sales experience. He has developed a strong passion for helping others and finds joy in solving problems and creating positive experiences for clients.

His enthusiasm for sales and client engagement naturally led Liam to pursue a career in sales. Currently, as a Sales Representative for The Retirement Advisor University ("TRAU"), in collaboration with UCLA Anderson School of Management Executive Education, he is dedicated to guiding clients through the TRAU C(k)P Designation registration process.

With a deep understanding of client needs and a commitment to excellence in service, Liam strives to make every interaction meaningful, ensuring that current and new clients feel valued and supported by the new TRAU Sales Team.

Liam is based in Jupiter, Florida.

About The Retirement Advisor University

TRAU®, The Retirement Advisor University, in collaboration with UCLA Anderson School of Management Executive Education is the first retirement planning certification program associated with a nationally recognized institution of higher learning. Participating advisors, wholesalers and institutional plan sponsors can benefit by earning a certification that has real meaning to plan sponsor clients, prospects and throughout the retirement industry. TRAU, Inc. is a Minority Woman Owned Business. EOE.

UCLA Anderson Executive Education Curriculum is a combination of on-site classes on the UCLA campus, E-Learning, and self-study. By combining world class professors and retirement industry leaders, TRAU has created the most comprehensive retirement training programs for Financial Services Professionals/C(k)P and Institutional Plan Sponsors/iC(k)P.

This approach combines the academic excellence and the practical experience needed to develop a highly skilled and knowledgeable retirement plan professional.

Recognizing that practice management is important to Financial Service Professionals, and Key Team Members just beginning their careers. Working with experienced Financial Services Professionals is increasingly critical to the average Plan Participant. TRAU has been designed to train Financial Professionals and Institutional Plan Sponsors with the skill sets necessary to assist and enlighten their clients.

Development:

The program and its curriculum are developed in accordance with goals, competencies, and purposes identified by TRAU. The curriculum is designed with the goal of supporting financial advisors to help companies and individuals prepare for a successful retirement.

TRAU C(k)P Designation Tuition for May 2025: $5,950

TRAU C(k)P Designation Annual Fee: $480 – For your ?s contact Sandy Espinal: Accounting@TRAUniversity.com
If you accepted a Provider or Event Scholarship (e.g. NAPA Summit, RPAG, etc.) alert : Accounting@TRAUnivesity.com

UCLA Anderson School of Management Executive Education:

A leader in executive education since 1954, the school offers more than 120 programs, including open enrollment programs that focus on leadership, general and functional management, and strategic vision, as well as custom programs designed in collaboration with leading organizations to meet their specific business objectives.

Checklist for the TRAU C(k)P® Designation

☐ *Step 1: "Apply" for the C(k)P® Designation on the TRAU website at www.TRAUniversity.com

☐ *Step 2: Pay TRAU Program Tuition. Sales Team will waitlist you for hotel room at UCLA Luskin Conference Center on the UCLA Campus. A hotel rooming link will be provided after registration and payment are processed, but not until January 2025. Gain access to the Learning Management System ("LMS")

If you do not gain access to the LMS within 24 hours of payment, contact TRAU Support:

Support@TRAUniversity.com or Miguel@TPSUniversity.com or Liam@TRAUniversity.com
855.755.4015 Ext. 103 / DJ Ext. 120 / Miguel Ext. 114 / Liam

☐ *Step 3: If you have support from Providers, provide the firm name, contact name, phone number, email address and the amount of support to: Accounting@TRAUniversity.com

☐ *Step 4: Login to the TRAU LMS, an email will be sent with a link to setup an account. "LMS" icon can be found on the homepage of the TRAU website at: www.TRAUniversity.com
And complete the Level 1 coursework by:

A. Completing all Level 1 Modules or
B. Completing and Passing the Level 1 Test Out Exam

*Step 5: Check that you have the current TRAU Welcome Guide (found under the "Resources" on the TRAU homepage.

☐ Step 6: Complete Levels 2 & 3 LMS modules via the TRAU LMS. (This is the optimal time to complete and pass the two available C(k)P® Designation Practice Exams in preparation for the Final exam)

☐ Step 7: Complete the TRAU Campus Exam (Taken after live campus sessions have been Completed) via the TRAU LMS.

☐ **Step 8: Complete and pass TRAU C(k)P® Designation Exam via TRAU online proctoring Partner service. Instructions for scheduling your proctored exam can be found in the TRAU Learning Management System.

*Required prior to attending TRAU Session at UCLA Anderson Exec Edu
**Steps 4 & 6 are required prior to taking the TRAU C(k)P® Designation Exam for both the live on campus, or online proctoring options.

Pre-Coursework & Action Steps

Best User Experience

We encourage you to begin working through the online courses prior to your session date. While you may attend the campus session having completed only the minimum of required courses, the best user experience will be to complete all the online courses available prior to attending the UCLA Anderson sessions. You will find step-by-step instructions on taking the online courses in this guide.

Pre-campus Course Work

Complete Prior to Attending the campus courses on-site at UCLA Anderson

Coursework:

At a minimum, TRAU attendees are required to either complete all Level 1 Courses or pass the Level 1 Test-Out Exam located in the TRAU LMS. Completion of all courses listed on the LMS is preferred.

The Retirement Advisor University,
in collaboration with UCLA Anderson Exec Edu
May 13, 14 & 15, 2025 / **A G E N D A** / **Draft**

Tuesday, May 13

Collins Center for Executive Education

7:00 - 7:45 a.m.
Breakfast: Luskin Conf Center: Plateia
Morning Refreshments & Boxed Lunches in Breakroom

UCLA Anderson: Collins Center, 2nd Floor

8:00 - 8:30 a.m.
Welcome, Opening Remarks & Logistics
Donna Sharp, UCLA Anderson
Fred Barstein, TRAU

8:30 - 10:15 a.m.
TC-325: Distinguishing Your Practice
Uncovering The Alpha In The DC Market
Fred Barstein, TRAU

10:15 - 10:30 a.m. - Break

10:30 - 12:45 p.m.
Course: The Birkman Method
Description: Assessment Strategy
Professor: Robert McCann, UCLA Anderson

12:45- 1:15 p.m. - Working Lunch

1:15pm - 2:45 p.m.
Course: Future Self
Description: Saving For Your Future Self
Professor: Hal Hershfield, UCLA Anderson

2:45 - 3:00 p.m. - Break

3:00 - 5:00 p.m.
Course: Leading in a Technology Driven World
Description:
Professor: Terry Kramer, UCLA Anderson

5:00 - 5:30 p.m.
Wrap up / Prep for Wed TRAU Session

6:15 - 8:00 p.m.
TBD R.S.V.P. Family Style Dinner: Plateia at Luskin

Wednesday, May 14

Collins Center for Executive Education

7:00 - 7:45 a.m.
Breakfast: Luskin Conf Center: Plateia
Morning Refreshments & Boxed Lunches in Breakroom

UCLA Anderson: Collins Center, 2nd Floor

8:00 - 8:15 a.m.
Insight & Observations
Fred Barstein, TRAU

8:15 - 9:45 a.m.
Course: Building Strong Brands in Finl Services
Description: Building & Leveraging Brands
Professor: Sanjay Sood, UCLA Anderson

9:45 - 10:00 a.m. - Break

10:00 a.m. - 12:00 Noon
Course:Decisions Under Risk & Uncertainty
Description:Advance Behavior Finance
Professor: Craig Fox, UCLA Anderson

12:00 - 12:30 p.m. - Working Lunch

12:30 - 2:30 p.m.
Course: Persuasion and Influence
Description: Biz Dev Tools & Techniques
Professor: Noah Goldstein, UCLA Anderson

2:30 - 3:30 p.m.
Course: TBD - Washington Updage
Description: Legal, Regs, etc.
External Presenter: TBD

3:30 - 3:45 p.m. - Break

3:45 - 5:30 p.m.
Course: Thinking on Your Feet
Description: Setting the Stage For Creative Thinking
Professor: Iris Firstenberg, UCLA Anderson

5:30 - 5:40 p.m.
Conclusion / Tomorrow session at Luskin
Open Invite Casual Social w/ Refreshments

Thursday, May 15

TRAU at Luskin Conference Center

7:00 - 7:55 a.m.
Breakfast: Luskin Conf Center: Plateia
Morning Refreshments & late a.m. Boxed Lunches available

Laureate Room: Luskin Lobby Level

8:00 - 9:30 a.m.
Course #: TBD
External Presenter: Pending: Fred Reish, Esq.
Company: Faegre Drinker Biddle & Reath

9:30 - 9:50 a.m. - Break

9:50 - 10:50 a.m.
MB-270: Using The TRAU Education in
a Rapidly Changing Environment
Fred Barstein, TRAU

10:50 - 11:30 a.m.- Boxed Lunches
Remember your Luskin Boxed Lunch

This schedule and agenda are subject to change

Thank you for your support / Safe Travels

Fred Barstein
TRAU

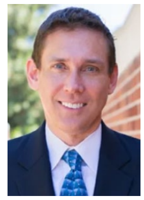
TC-325 Distinguishing Your Practice – Uncovering Alpha In The DC Market

Course Overview:

The Landscape of the retirement plan business is both complex & dynamic. This course provides an overview of how Advisors, Providers, Academics, Regulatory Agencies and Plan Sponsors can work together to produce better results for all involved.

Learning Outcomes:

- Identify Key Factors & Developments
- Explain Strategies To Partnerships
- Explain Role of Advisor in DC Market



MB-300 The Birkman Method -Psychological Assessment Strategy

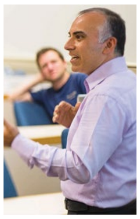
Course Overview:

The goal of positive psychology is to help people live and flourish rather than merely exist.

Learning Outcomes:

- Identify the motivation measures for different roles and initiatives in the workplace
- Recognize how we see ourselves through our own self-perception
- Anticipate reaction to new or changing situations

MANAGEMENT & BUSINESS



Prof Sanjay Sood
UCLA Anderson

MB-203 Building Strong Brands In Financial Services

Course Overview:

Some of the best companies have differentiated themselves and created direct value for their enterprises and customers through strong brands. In this session you'll explore some of the factors that matter in branding financial services.

Learning Outcomes:

- Define & understand what is brand equity
- Conceptualize & understand brand equity

MANAGEMENT & BUSINESS

Prof Terry Kramer
UCLA Anderson

- Leading in a Technology Driven World

Course Overview:

Technology

Learning Outcomes:

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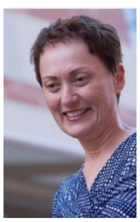
MANAGEMENT & BUSINESS



Adjunct Prof Iris Firstenberg
UCLA Anderson

MB-260 Thinking On Your Feet: Setting The Stage For Creative Thinking

Course Overview:

Today's business environment requires thinking skills that give you the agility and readiness to respond to novel and complex situations. This includes situations of intense time pressure with little opportunity to think through, analyze and weigh options as well as the ongoing complex and ambiguous problems that require a fresh and novel approach.

Learning Outcomes:

- Identify perceptual & cognitive traps constraining your own thinking
- Learn strategies to see beyond the familiar

OPTIMIZING PLAN OUTCOMES

Prof Craig Fox
UCLA Anderson

OP-232 Behavioral Finance: Decisions Under Risk & Uncertainty

Course Overview:

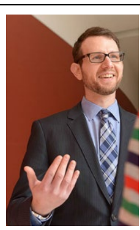
This session is an intro to behavioral economics & psychology of investor decision making. We will examine common biases of investors, analysts & portfolio managers and discuss how to avoid them. Key topics include, but not limited to:

-.How do people behave in the face of risk & uncertainty?
-.In what ways is this behavior irrational?
-.How does this affect investment decisions?
-.How can savvy investors avoid falling prey to these biases?

Learning Outcomes:

- Overcome psychological biases that could sabotage wealth mgmt. & client retention
- Address & incorporate client's psychological biases

OPTIMIZING PLAN OUTCOMES



Prof Noah Goldstein
UCLA Anderson

OP-250 Principles of Persuasion

Course Overview:

Persuasion is an art, but it is also a science, and researchers who study it have uncovered a series of hidden principles for moving others – be they employees, managers, coworkers, prospective clients or customers – in your direction. This session explores the psychological fundamentals of persuasive communication & how to apply those principles to maximize your persuasiveness in an assortment of different contexts and with a variety of different target audiences.

Learning Outcomes:

- Gain understanding of fundamental principles of persuasive communication
- Learn to apply persuasion principles
- Learn variety persuasion tactics in marketing, mgmt, negotiation, sales & client relations

OPTIMIZING PLAN OUTCOMES

Associate Prof Hal Hershfield
UCLA Anderson

OP- Connecting With Our Future Selves

Course Overview:

What are the psychological components of savings when confronted with our future self? This is an interactive course focusing on principals of Behavioral Science, how we think about time, and how it transforms the emotions and alters the judgements and decisions people make. Learn the psychology of long-term decision making and how Millennials, Generation X, Baby Boomers, etc. may be motivated.

Learning Outcomes:

- Emotional connection with a future self
- Learn to connect past, present & future self with virtual digital demonstration
- Make better decisions for future self