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 Your Director of Advisor Development

Daniel W. Hall
Director of Advisor Development
TRAU & TPSU

Daniel Hall is the Director of Advisor Development for The Retirement Advisor University, in collaboration with UCLA Anderson School of Management Executive Education. Dan spent much of his career in the Recordkeeping business starting with the MassMutual Retirement Plan Division.

"When I started out, it was a great time as the 401(k) business was in its infancy. The rules and regulations were quite simple compared to today's complex plan design and product options. Strong Recordkeepers provide great product and sales training; from which I also benefit".

Dan went onto The Standard in Portland, Oregon starting as a Regional Sales Manager and eventually held the role of National Vice President of Sales.

"I was fortunate to work for Recordkeepers who are advisor-centric. In my experience, the retirement plan advisor is the center of the relationship with the plan sponsor, which is consistent with the beliefs of The Retirement Plan University. It's fun now to work with all facets of the business, including retirement plan advisors, DCIOs and Recordkeeper wholesalers. My background gives me a good perspective on how the industry ties together".

Dan spent time as a Board member at Mercy Corps NW in Portland, Oregon, an organization that works to build productive and resilient communities across the Pacific Northwest. In his free time, Dan spends quality time with his family, keeps fit by working out, enjoys hiking, and is an ardent reader.

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 and wholesalers can benefit by earning a certification that has real meaning to plan sponsor clients, prospects and throughout the retirement industry.

The Retirement Advisor University, in collaboration with UCLA Anderson Executive Education Curriculum is a combination of on-site classes at the UCLA campus, virtual classroom courses, E-Learning, and self-study. By combining world class professors with retirement industry leaders TRAU has created the most comprehensive retirement training program in America for financial advisors.

Individuals attending TRAU® are instructed by both World Class faculty members, and some of the most accomplished financial professionals in the retirement plan industry. This approach combines the academic excellence and the practical experience needed to develop a highly skilled and knowledgeable retirement plan advisor.

Recognizing that access to a skilled retirement advisor is becoming increasingly critical to the average Plan Participant in the United States, TRAU has been designed to empower financial advisors with the skill sets they need to assist their clients in the structuring of a successful retirement.

Development:

TRAU is designed to provide executive education and certification for financial advisors and other professionals in the retirement industry. 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 empowering financial advisors to help companies and individuals prepare for a successful retirement.

UCLA Anderson Executive Education:

A leader in executive education since 1954, the school offers more than 40 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 C(k)P® Designation

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

☐ *Step 2: Make payment for TRAU program to obtain 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 Dan Hall at: Dan@TRAUniversity.com
855.755.4015 Ext. 133

☐ *Step 3: Pay remaining tuition balance, if any, 30 days prior to attending the next TRAU Campus Session.

A. Personally pay remaining tuition balance, or
B. If you have support from Providers, please 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 set up 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 non-proctored TRAU Campus Exam (Taken online once UCLA classes 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.

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.

Best User Experience

- ☐ Apply
- ☐ Enroll & Pay Tuition
- ☐ Level 1 (Complete A or B)
  A. Complete Online Modules
  B. Complete Level 1 Test-Out
- ☐ Levels 2 & 3 (Complete Online Modules)
- ☐ Attend TRAU at UCLA Anderson
- ☐ Campus Exam
- ☐ C(k)P® Designation Exam

TECHNICAL COMPETENCE

TC-325 Distinguishing Your Practice: Uncovering the Alpha in The DC Market

Instructor: Fred Barstein, JD, C(k)P
Founder & CEO
The Retirement Advisor University

Course Overview:

The landscape of the retirement plan business is both complex and 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 and developments shaping the retirement industry
- Explain strategies to partner with providers, academics and regulators for improved results
- Explain the role of an advisor with the DC market

MANAGEMENT AND BUSINESS

MB-270: Using the TRAU Education in a Rapidly Changing Environment

Instructor: Fred Barstein, JD, C(k)P
Founder & CEO
The Retirement Advisor University
Dan Hall, TRAU

Course Overview:

Financial Advisors position substantial resources in the form of time, energy and capital when attending TRAU.

Learning Outcomes:

- Recognize the value of proper preparation
- Identify the major business foundational components that should be in place
- Generate improved outcomes for plan sponsors and plan participants by utilizing the knowledge and strategies conveyed by TRAU

MANAGEMENT & BUSINESS

MB-203: Building Strong Brands in Financial Services

Instructor: Sanjay Sood
Faculty Chairman and Deputy Dean of Academic Affairs
Professor of Marketing and Behavioral Decision Making
UCLA Anderson School of Management

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:

- Identify and define what brand equity is
- Conceptualize and understand brand equity
- Understand and apply practices to attract and to retain clients

MB-300: The Birkman Method

Instructor: Robert M. McCann
Professor of Management and Organizations
UCLA Anderson School of Management

Course Overview:

The Birkman Method has surfaced as a true humanistic psychological assessment strategy. Continuing Roger W. Birkman's legacy, we have continued down this same path in our products, research and development. The Birkman Method reports on both behavioral and occupational data and leverages a methodology for assessing personality. This is accomplished via positive Psychology has earned the distinction of being the scientific study of the strengths and virtues. This combination has enabled individuals and communities to thrive. The goal or positive psychology is to help people live and flourish rather than merely exist.

Learning Outcomes:

- Identify the motivation measures for passion and interest for different roles and initiatives in the workplace
- Recognize how we see ourselves through our own self-perception. Self-perception is how a person feels when they approach tasks, manage relationships & contribute to their company.
- Comprehend the meaning of the Mindset-data which provides insights into an individual's belief system concerning themselves and others.
- Analyze a person's needs, thus, enabling a person to anticipate their reaction to new or changing situations in their lives.

MANAGEMENT & BUSINESS

MB-260: Bringing the Future to the Present

Instructor: Iris Firstenberg
Adjunct Professor of Management and Organizations
UCLA Anderson School of Management

Course Overview:

Examine today's business environment that requires thinking skills giving you the agility and readiness to respond to ovel 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
- Discuss application of strategies in the business world

MB-TBD: Data Visualization: Influencing with Insights

Instructor: Stephen Stiller
Associate Professor of Marketing and Behavior Decisions
UCLA Anderson School of Management

Course Overview:

Building on the marketing and behavioral finance foundation courses provided, Professor Stiller examines details of fundamental economic concepts related to consumer behavior and the psychology of planning related to money.

Learning Outcomes:

- Psychology of money, product differentiation and consumer behavior
- How and when people consider their opportunities costs

MANAGEMENT & BUSINESS

MB-330: Washington Updates

Instructor: Claire Rowland, Esq.
Morgan Lewis

Course Overview:

Landscape of current activities in a complex rapidly changing Washington DC environment. Topics are generally scaled to reflect financial services specific to retirement.

Learning Outcomes:

- Status of current regulatory items related to financial industry
- Learn how the applications of decision making affect your practice, clients, etc.
- Learn and discuss what looms on the horizon as 2023 draws to a close and 2024 comes forth

MB-325: Current Industry Court Cases

Instructor: Fred Reish, Esq.
Partner
Faegre Drinker Biddle & Reath

Course Overview:

In-depth review of current industry court cases presented by the extraordinary Fred Reish.

Learning Outcomes:

- Define status of related activity as seen by an industry expert
- Gain an understanding and consider course of action for the benefit of your practice

OPTIMIZING PLAN OUTCOMES

OP-232: Decisions Under Risk & Uncertainty

Instructor: Craig Fox
Professor of Psychology and Professor of Medicine
UCLA Anderson School of Management

Course Overview:

Judgment and decision making under risk and uncertainty, choice architecture and behavioral policy and decision dynamics are presented in tangible format applicable to professional environment. Extensive research through academic and industry collaborations results in the next generation of behavioral finance and beyond.

Learning Outcomes:

- Recent observations of decision-making
- Application of academic study and research in specific industries
- Reflection of vast resources and the evolution of subject matter

OP-TBD: Reframing: A Tool for Innovation

Instructor: Olav Sorenson
Professor of Strategy (& Innovation)
UCLA Anderson School of Management

Course Overview:

Professor Sorenson's primary stream of research pertains to economic geography, focusing on how entrepreneurship influences the growth and competitiveness of regions within countries, and on why some regions appear more supportive to entrepreneurs than others.

Learning Outcomes:

- Defining strategy and innovation for entrepreneur
- Unexpected consequences and important role Social Capital plays in entrepreneurial success
- How organizations can better learn from interactions with customers from their experience

OPTIMIZING PLAN OUTCOMES

OP-TBD: Happier Hour: Beat Distraction, Expand Your Time and Focus on What Matters Most

Instructor: Cassie Holmes
Professor of Marketing and Behavioral Decision Making
UCLA Anderson School of Management

Course Overview:

In Professor's Holmes' empirical pursuit of happiness, she is hoping just to help people of all ages finding a bit more happiness in their lives.

Learning Outcomes:

- Define Happier
- Applying principals to personal and business
- Evaluating possibilities