

Online Continuing Education (CE) Course Descriptions 2017

CE2 - Employee Communications Issues

This course reviews the current industry practices for the development and delivery of retirement plan communications focusing on legally required notices, administrative information, and education campaigns. The course also covers investment advice products and discusses current communications and advice issues. Upon completion of the course, which includes the following lessons, the learner will receive CEUs for 5 contact hours:

- ▶ Legally Required and Administrative Communications
- ▶ Employee Education Needs
- ▶ Education Campaigns
- ▶ Advice Products
- ▶ Current Education and Advice Issues

CE5 - ERISA 403(b) Plans and the Final Regulations

This course reviews the major provisions of the 403(b) plans subject to Title I of ERISA and includes a review of those provisions that are the same for ERISA 403(b) and 401(k) plans. The course also discusses those ERISA 403(b) plan provisions that are different from 401(k) plans. In conclusion, it examines the requirements for implementation and the progress that industry stakeholders have made bringing ERISA 403(b) plans into compliance with the final regulations. Upon completion of the course, which includes the following lessons, the learner will receive CEUs for 5 contact hours:

- ▶ 403(b) Plan Overview
- ▶ Plan Documents and Features
- ▶ Introduction to Plan Documents and Features
- ▶ Plan Administration
- ▶ Plan Investments
- ▶ Final 403(b) Regulations Implementation Issues

CE6 - Retirement Plan Fee Reporting and Disclosure Requirements

This course reviews the requirements and impact of the recent fee reporting and disclosure regulations including the increased fee reporting on the 5500 Schedule C and the required disclosure of service provider fees to plan fiduciaries and plan participants. Upon completion of the course, which includes the following lessons, the learner will receive CEUs for 5 contact hours:

- ▶ Legal Framework for Retirement Plan Fee Disclosure
- ▶ 2009 5500 Schedule C Changes
- ▶ Provider Disclosure Regulations
- ▶ Final Disclosure Rule for Participant Directed Retirement Plans
- ▶ Implementation of the Fee Disclosure Requirements

CE7 - Understanding Multiple Employer Plans (MEPs)

This course reviews the legal basis and structure of defined contribution multiple employer plans. It also covers MEP plan features, administration and compliance, noting the similarities and differences with single employer defined contribution plans. Finally, the course discusses the major issues facing MEPs in today's economic environment. Upon completion of the course, which includes the following lessons, the learner will receive CEUs for 5 contact hours:

- ▶ Introduction to Multiple Employer Plans
- ▶ Plan Design, Administration and Compliance
- ▶ Benefits of Multiple Employer Plans
- ▶ Multiple Employer Plan Issues

CE8 - Retirement Income Products in Defined Contribution Plans

This course provides an overview of the retirement income products available in today's employer sponsored defined contribution plan market and will review the issues with the acceptance of these products by both plan sponsors and participants. Upon completion of the course, which includes the following lessons, the learner will receive CEUs for 5 contact hours:

- ▶ The Need for Retirement Income Products
- ▶ Plan Design Considerations
- ▶ In-Plan Product and Service Options
- ▶ Due Diligence and Implementation Issues
- ▶ Regulatory Issues

CE9 – A Closer Look at Investments

Understanding investments, beyond the basics, can be a challenge for anyone who is not involved with trading on a daily basis. However, an understanding of how to analyze investments and the nuances of how investments are affected in the market is beneficial to a wide range of staff in the retirement industry. This course will look at investment and market performance as well as the tools used to analyze investments. While the investments covered are not unique to retirement plans, the course will look at the legal framework that pertains to investments within a plan and how investment fees are handled within a plan. Upon completion of the course, which includes the following lessons, the learner will receive CEUs for 5 contact hours:

- ▶ Legal Requirements
- ▶ Understanding Investment Performance
- ▶ Analyzing Equity/Stock Investments
- ▶ Analyzing Fixed Income Investments
- ▶ Analyzing Cash Equivalent Investments
- ▶ The Market at Work
- ▶ Key Economic Influences
- ▶ Retirement Plan Investment Expenses

CE10 – The Retirement Plan Market and Industry Overview - 2016

This course reviews the current state of the retirement plan market. It provides research data from the 2016 SPARK Marketplace Update and other sources, discusses product and service trends and reviews current regulatory and legislative activity. Upon completion of the course, which includes the following lessons, the learner will receive CEUs for 5 contact hours:

- ▶ Retirement Plan Market Overview
- ▶ Participant-Directed Plan Market
- ▶ Product Trends
- ▶ Service Trends
- ▶ Regulatory and Legislative Update

CE11 - Trends in DC Plan Investment Menu Design

This course examines how investment menus are designed starting with the key legislation and regulations that shape the process, the investments that are available in today's financial markets and key trends that are impacting how fiduciaries make their investment design decisions. Upon completion of the course, which includes the following lessons, the learner will receive CEUs for 5 contact hours:

- ▶ DC Plan Investment Menu Regulatory Framework
- ▶ Plan Investment Committee
- ▶ Participant Directed Plan Investments
- ▶ Trends Impacting Investment Menu Design
- ▶ Investment Management Best Practices

CE 12- Strengthening the Employer Sponsored Retirement Plan System-

This course reviews the recent growth of retirement savings in the U.S., the types of tax-favored retirement savings vehicles available to workers and the gaps in retirement savings opportunities. The course also looks at recent trends and proposals designed to close the coverage and participation gaps and reduce retirement plan leakage in order to strengthen the employer-sponsored retirement plan system for U.S. workers. Upon completion of the course, which includes the following lessons, the learner will receive CEUs for 5 contact hours:

- ▶ Retirement Plan Coverage
- ▶ Plan Participation
- ▶ Plan Leakage
- ▶ Looking to the Future

CE13 – ERISA Fiduciary Requirements and DOL Regulations- *note, this is a 10 hour course*

This course reviews the legal foundation for fiduciary responsibility, incorporates the new DOL regulations and discusses the impact to service providers and the issues resulting from the new regulations. Upon completion of the course, which includes the following lessons, the learner will receive CEUs for 10 contact hours:

- ▶ ERISA Overview
- ▶ Fiduciary Duties and Standards of Conduct
- ▶ Fiduciary Practices
- ▶ Prohibited Transactions: Parties in Interest
- ▶ Prohibited Transactions: Conflicts of Interest and Exemptions
- ▶ Prohibited Transactions: Best Interest Contract Exemption (BICE)
- ▶ Fiduciary Liability
- ▶ Current ERISA Fiduciary Issues
- ▶ Service Provider Impact

Archived CE Courses (no longer being updated)

- CE1—ERISA Fiduciary Issues
- CE3 – Defined Contribution Plan PPA Provisions
- CE4 – Current Retirement Plan Fee Issues