

Course Outline

Retirement Plan Investments and Vendor Management

Four-Credit Course

Introduction

- I. Retirement Plan Options for Plan Sponsors

Estimated Time to Complete: 5 minutes

Retirement Plan Decision Making

- I. Plan Sponsor Responsibilities
- II. ERISA-Required Roles
- III. Retirement Plan Committee
- IV. Board of Trustees
- V. Fiduciaries
- VI. Fiduciary Responsibility
- VII. Fidelity Bonds

Estimated Time to Complete: 30 minutes

Fiduciary Responsibility for Plan Investments

- I. Fiduciary Responsibility for Plan Investments
- II. Fiduciary Safe Harbor for Participant-Directed Investments
- III. Investment Education and Advice
- IV. Investment Policy
- V. Investment Risk
- VI. Types of Investment Risks

Estimated Time to Complete: 30 minutes

Plan Investment Options

- I. Plan Investment Options
- II. Cash Equivalents
- III. Money Market Instruments
- IV. Fixed Income Investments
- V. Long-Term Government Bonds
- VI. Corporate Bonds
- VII. Equities
- VIII. Privately and Publicly Traded Companies
- IX. Common Stocks
- X. Preferred Stocks
- XI. Stock Markets
- XII. Market Indexes
- XIII. Mutual Funds
- XIV. Alternative Investments
- XV. Asset Allocation
- XVI. Asset Allocation Models
- XVII. Rebalancing
- XVIII. Passive and Active Investment Management
- XIX. Index Funds, Lifestyle Funds and Target-Date Funds
- XX. Employer Securities

XXI. Reviewing Investments

Estimated Time to Complete: 60 minutes

Types of Vendors

- I. Fiduciary Responsibility Regarding Vendors
- II. Vendor Fees
- III. Subsidizing Vendor Fees
- IV. Types of Service Provider Arrangements
- V. Actuaries
- VI. Investment Consultants and Managers
- VII. Investment Management Fees
- VIII. Monitoring Investment Fees
- IX. Directed Trustees and Custodians
- X. Recordkeepers
- XI. Recordkeeping Fees
- XII. Third-Party Administrators (TPAs)
- XIII. Fee Disclosures
- XIV. Legal Counsel

Estimated Time to Complete: 60 minutes

Managing Vendor Relationships

- I. Selecting the Vendor
- II. RFP Process
- III. Key Considerations When Implementing a New Vendor Relationship
- IV. Monitoring the Vendor
- V. Changing a Vendor
- VI. Specific Considerations for Changing Recordkeepers or Investment Consultants
- VII. Investment Mapping

Estimated Time to Complete: 30 minutes

NOTE: The estimated time to complete each lesson is based on word count and assumes uninterrupted consumption of the course. Actual time to complete each lesson can vary widely based on familiarity with the topics and other factors. Time required to complete the course final exam is not counted in these estimates.