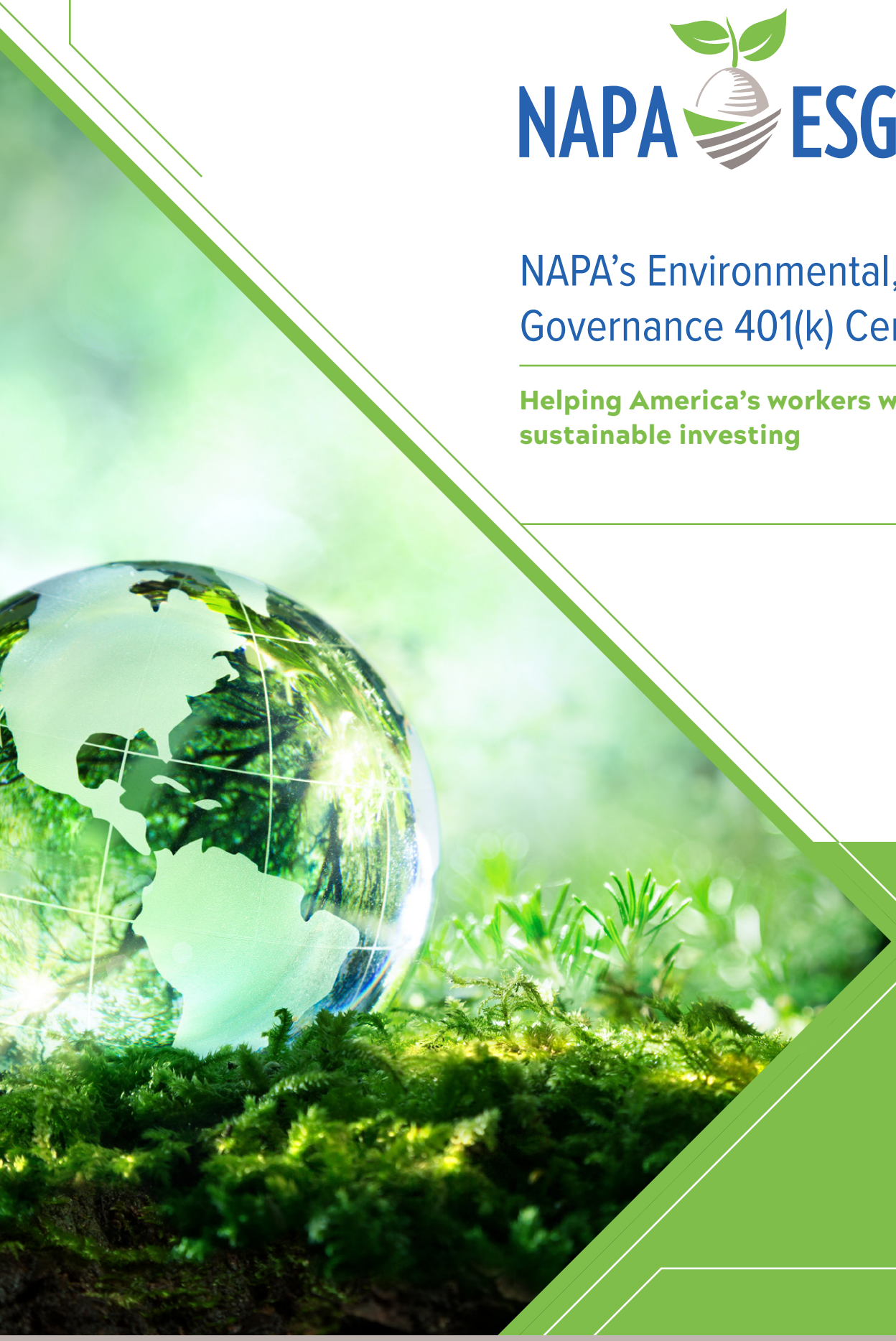

NAPA's Environmental, Social, & Governance 401(k) Certificate

Helping America's workers with sustainable investing

AMERICAN RETIREMENT ASSOCIATION

Working for America's Retirement

American Retirement Association

Based in the Washington, D.C. area, the American Retirement Association is a non-profit professional organization with two major goals: to educate all retirement plan and benefits professionals, and to create a framework of policy that gives every working American the ability to have a comfortable retirement.

As part of that mission, for more than half a century, the American Retirement Association has developed and distributed education programs, information resources, and professional credentials that have become the gold standard for retirement plan professionals in every field of endeavor.

More than 26,000 members strong, the American Retirement Association is comprised of five premier retirement industry associations:

- Association of Enrolled Actuaries (ASEA)
- American Society of Pension Professionals & Actuaries (ASPPA)
- National Association of Plan Advisors (NAPA)
- National Tax-deferred Savings Association (NTSA)
- Plan Sponsor Council of America (PSCA)

NAPA

National Association of Plan Advisors

National Association of Plan Advisors (NAPA)

In 2011, the National Association of Plan Advisors (NAPA) was formed, quickly becoming the fastest-growing member association. Created by and for retirement plan advisors, membership is also open to other retirement industry professionals who support the interests of plan advisors. While the financial services industry is well represented in Washington by a number of trade associations that weigh in on issues affecting advisors, NAPA is the only advocacy group exclusively focused on the issues that matter to retirement plan advisors. This exclusive focus is what sets NAPA apart.

The ESG(k) Program

The Environmental, Social, & Governance 401(k) (ESG(k)) certificate curriculum consists of a series of actionable modules covering ESG concepts for retirement plan advisors.

Module 1:
The Fundamentals of ESG Investing

1. Defining ESG factors as it relates to investing in defined contribution plans.
2. Identifying the acceleration in ESG investment asset growth and the opportunity this presents for advisors.
3. Understanding the metrics and standards used to evaluate ESG investments in 401(k) plans.

Module 2:
ESG Investing: The Advisor's Process

1. Understanding how ERISA's fiduciary standard applies to ESG investing.
2. Developing a prudent process related to selection of ESG investments.
3. Preparing to interview investment managers related to their process for ESG investing.

Module 3:
Putting ESG into Practice with Clients and Prospects

1. Identifying changes to current materials and processes to support ESG in your practice.
2. Developing an action plan to incorporate ESG into plan sponsor meetings.
3. Formulating responses to common participant questions about ESG.

Assessment:
Course Assessment

Once you have completed all three modules, there will be a 25-question assessment that you must pass to earn your certificate.

You must pass the assessment with a 70% score or better to complete the program. There will be more details provided when you begin the assessment.

Certificate Requirements:

None

Program Summary:

NAPA's ESG(k) Certificate Program is specifically designed to provide retirement plan advisors with the knowledge to help employers manage their ERISA fiduciary obligations in evaluating the prudence of an ESG investment. The ESG program addresses the different terminology associated with ESG investing principles, strategies, and screens, and provides tools and resources to help advisors communicate the benefits and risks of ESG investments for retirement plans.

The certificate program is a three-hour online, self-paced course that is broken into three interactive modules. They cover the fundamentals of ESG, the process for evaluating these options, and how to share that information with plan sponsors, participants, and prospects.

Backed by a certificate from the nation's leading retirement education resource, advisors gain insight on common questions and concerns, what questions to ask in assessing an ESG fit, and how to talk about the benefits and risks of ESG investments for retirement plans.

Exam/Assessment Requirements:

The ESG(k) assessment is a 25-question online open-book exam.

Bootcamp:

Additionally, at NAPA's 401(k) Summit, advisor attendees can attend the ESG(k) bootcamp cram session, sit for the assessment, and earn the certificate. Learn more at www.napasummit.org.

Continuing Education:

The NAPA ESG(k) Certificate Program is approved for three CE credits for the NAPA CPFA Credential. You will also receive a certificate of completion for self-reporting of CFP and AIF CE credits.

Cost:

The NAPA ESG(k) Certificate Program is available exclusively to NAPA members, NAPA firm partners, and advisors with a NAPA ESG(k) Education Partner Access Code. There are no costs or fees for the certificate program.

Thank You to Our Education Partners:

AllianceBernstein®

Amundi
ASSET MANAGEMENT

BlackRock®

Calvert

Dimensional

Federated Hermes

LORD ABBETT®