2024

PARTNERSHIP GUIDE

SPONSORSHIPS: Conferences • Webinars • Research • Advertising • DEI

EDUCATION: Certifications • Courses • Continuing Education • Professional Development
Founded in 1985, the Investments & Wealth Institute is the premier professional association, education provider, and standards body for financial advisors. Through our award-winning events, publications, courses, and acclaimed certifications—Certified Investment Management Analyst® (CIMA®), Certified Private Wealth Advisor® (CPWA®), and Retirement Management Advisor® (RMA®)—the Institute delivers Ivy League-quality, highly practical education to more than 30,000 practitioners annually in 40 countries.

We are proud to deliver more than 100 educational programs each year, publish award-winning peer reviewed publications, and administer multiple assessment-based certificate programs and three advanced certification programs. With more than 18,000+ individual members, members of the Institute include the industry’s most successful investment consultants, advanced financial planners, and private wealth advisors who embrace excellence and ethics in applying a broad set of knowledge and skills in their daily work with clients. In total, Institute members and certificants collectively manage $3.5 trillion in assets for 1.2 million individual and 20,000 institutional clients.

We would be honored to have you as an Institute partner or sponsor. As a partner or sponsor, you will receive various benefits and access to members of the premier professional association, education provider, and standards body for financial advisors. If you are interested in becoming a partner or sponsor, please contact us. We would love to set an appointment to discuss the levels and benefits that best meet your needs.

Thank you for your time and consideration. We look forward to hearing from you!

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The Investments & Wealth Institute is a non-profit professional association, advanced education provider, and certification board for financial advisors, investment consultants, financial planners, and wealth managers who continuously strive for excellence and ethics.

Our mission is to deliver premier investment consulting and wealth management credentials: Certified Investment Management Analyst® (CIMA®), Certified Private Wealth Advisor® (CPWA®), Retirement Management Advisor® (RMA®), and world-class education.

CONFERENCES
- Investments & Wealth Experience 2024
- Strategy Forum 2024

3 CERTIFICATIONS
- Certified Investment Management Analyst®
- Certified Private Wealth Advisor®
- Retirement Management Advisor®

7 CERTIFICATE COURSES
- Applied Behavioral Finance
- College & Student Loan Planning Essentials
- Endowments & Foundation Consulting
- Global Financial Planning
- Investment Management Essentials
- Private Markets for Advisors
- Private Wealth Essentials

4 MICRO-COURSES
- Advice & Planning
- Explaining Blockchain and Digital Assets to Clients and Prospects
- Social Security Planning
- Taxation of Cryptocurrency and Digital Assets: Part 1 and Part 2

2 SHORT COURSES
- Exceptional Advisor: Communicate Your Value & Build Client Engagement
- Using Befi to Build Trust and Manage Investor Behavior

3 AWARD-WINNING PUBLICATIONS
- Investments & Wealth Monitor
- Journal of Investment Consulting
- Retirement Management Journal

18,000+ MEMBERS GLOBALY
8,727 CIMA® Certificants
3,284+ CPWA® Certificants
356 RMA® Certificants

COLLECTIVELY MANAGE
$3.5 TRILLION
Average AUM
$364 Million

ADVISORS REPRESENT ALL ADVISORY CHANNELS
- WIREHOUSE: 35%
- RIA: 26%
- NATIONAL & REGIONAL: 14%
- HYBRID RIA: 13%
- IBD: 10%
- RETAIL BANK: 1%
- INSURANCE BD: 1%

GENERATIONAL DISTRIBUTION
- (>71) SILENT GENERATION: 2.9%
- (52-70) BABY BOOMERS: 52.1%
- (36-51) GEN X: 35.5%
- (<36) MILLENNIAL: 9.5%
VOLUNTEER BOARD OF DIRECTORS (2024)

Christine Gaze, CIMA®, CFP®, Founder and President of Purpose Consulting Group and Institute Board of Directors Chair, Institute Board of Directors

Moe Allain, RMA®, CPWA®, Financial Advisor, Baird Retirement Management

Elizabeth “Libet” Anderson, CIMA®, President, Concours Financial Group Securities, as Vice Chair of Standards

Chris Bidwell, CIMA®, CIMC®, RMA®, Financial Advisor, Vice President, and Senior Investment Management Consultant, Morgan Stanley Wealth Management

Noel Pacarro-Brown, CIMA®, CPWA®, Senior Vice President and Financial Advisor, The Conscious Wealth Management Group at Morgan Stanley

Dorothy Bossung, CIMA®, CPWA®, RMA®, CFP®, Senior Director, Choreo Advisors

Anuj Gupta, CIMA®, CPWA®, Principal Director, Wealth Products, Business Solutions, Envestnet

Douglas D. Hanson, CIMA®, Senior Relationship Manager, Charles Schwab Advisor Services

Desiree Maldonado Irizarry CIMA®, CPWA®, CFP®, Financial Advisor at Popular Securities

Brian Konish, CFP®, CPWA®, Managing Director, K|B Private Wealth Management Group of Wells Fargo Advisors

Lauris S. Lambergs, CIMA®, GFP (USA), Co-founder and Chief Investment Officer of Renaissance Wealth Advisors, as Vice Chair of Finance

Roger Mussa, CPWA®, RMA®, CPFA®, Senior Vice President, Wealth Management Advisor, and Senior Portfolio Manager, Merrill Lynch Wealth Management

Todd Wagenberg, CIMA®, Managing Partner, Integrated Fiduciary Advisory Services

Deidre Waltz, CIMA®, CPWA®, CFP®, Vice President, Relationship Manager, Argent Trust Oklahoma (formerly Heritage Trust Company)

William “Bing” Waldert, Managing Director, U.S. Research, Cerulli Associates

Scott Welch, CIMA®, Investment/Wealth Management Advisor, UnconstrainedThought

Hatem Zarrouk, CIMA®, Vice President and Head of Custody, Financial Markets, Investment Funds and ETF Servicing, National Bank Trust, a National Bank of Canada Division
Sponsorship Opportunities
ANNUAL PARTNER PACKAGES WITH YEAR-ROUND EXPOSURE

Build a package how you want and get year round exposure at these total spend levels.

<table>
<thead>
<tr>
<th>Level</th>
<th>Total Spend</th>
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<tbody>
<tr>
<td>Platinum</td>
<td>$100,000</td>
</tr>
<tr>
<td>Gold</td>
<td>$75,000</td>
</tr>
<tr>
<td>Bronze</td>
<td>$50,000</td>
</tr>
</tbody>
</table>

2024 EVENTS

Investments & Wealth Experience 2024 | April 7-10
Wynn Las Vegas | The largest gathering of CIMA, CPWA, RMA and CFP certificants.

Exhibitor and Sponsorship Pricing

Pre-Conference Sponsor with exhibit booth $45,000
Sponsor with full breakout session presentation rights [6] $40,000
Registration Pack - includes 25 registrations $35,000
add an exhibit booth for $10,000
Women in Wealth Luncheon Sponsor with exhibit booth $30,000
Exhibitor + Ed Talk $30,000
Exhibitor $20,000

Investments & Wealth Strategy Forum 2024
September 30 - October 2, 2024 | Loews Chicago Hotel

Sponsorship Pricing

Sponsor with solo speaker break-out presentation $30,000
Panelist break-out presentation $25,000
Women in Wealth Reception Sponsorship and exhibit table $25,000
Exhibitor $18,000

FOCUS: Focus On Alternatives Series

Sponsorship Pricing

Sponsorship of three cities $75,000
Sponsorship of two cities $60,000
Sponsorship of one city $35,000
Reception Sponsor $10,000
Exhibitor $5,000

Note: All speaking opportunities are merit-based and must be approved by the Institute.
Partner Programs
## ANNUAL PARTNERS

If your annual spend reaches the thresholds below you will be an annual Partner of IWI with the following additional rights and benefits.

Note: 5% of all Partner fees will be contributed to the Investments & Wealth Foundation.

<table>
<thead>
<tr>
<th><strong>Platinum</strong></th>
<th><strong>Gold</strong></th>
<th><strong>Bronze</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Invest $100,000 and receive additional benefits including:</td>
<td>Invest $75,000 and receive additional benefits including:</td>
<td>Invest $50,000 and receive additional benefits including:</td>
</tr>
<tr>
<td>• Recognition of Platinum status on Institute Home Page.</td>
<td>• Recognition of Gold status on Institute Home Page.</td>
<td>• Recognition of Bronze status on partner website page.</td>
</tr>
<tr>
<td>• Color logo and links in select e-newsletter templates.</td>
<td>• Color logo and links in select e-newsletter templates.</td>
<td>• Logo with Bronze recognition on conference app and on-site materials.</td>
</tr>
<tr>
<td>• Custom attendee messages in conference app.</td>
<td>• Logo with Gold recognition on signage at events.</td>
<td>• Priority Selection of booth or tabletop before exhibitors.</td>
</tr>
<tr>
<td>• Logo with Platinum recognition on signage at events.</td>
<td>• 2x use of attendee lists (both pre- and post event).</td>
<td>• 1x use of attendee lists (both pre-and post event).</td>
</tr>
<tr>
<td>• 2x use of attendee lists (both pre- and post event).</td>
<td>• Verbal recognition as Gold partner at in-person and virtual events.</td>
<td></td>
</tr>
<tr>
<td>• Verbal recognition as Platinum partner at in-person and virtual events.</td>
<td>• Thank you ad in <em>Investments &amp; Wealth Monitor</em>.</td>
<td></td>
</tr>
<tr>
<td>• Thank you ad in <em>Investments &amp; Wealth Monitor</em>.</td>
<td>• Priority selection for booth location and other branding opportunities.</td>
<td></td>
</tr>
<tr>
<td>• Priority selection for booth location and other branding opportunities.</td>
<td>• Participation in VIP events.</td>
<td></td>
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</tbody>
</table>
Conferences & Events
The Investments & Wealth Institute Strategy Forum 2024 is the premier event for elite advisors who want to learn about the latest tools, techniques, and strategies being used in the investment, wealth and retirement management industry.

Expected Attendance: 350

The Investigations & Wealth Institute Strategy Forum 2024 is the premier event for elite advisors who want to learn about the latest tools, techniques, and strategies being used in the investment, wealth and retirement management industry.

Sponsors
- **Solo speaker** break-out presentation - $30,000
- **Panelist** break-out presentation - $25,000

All sponsors receive the following benefits:
- Exhibit Table
- One Bonus Opportunity (first-come, first-served as available after Platinum and Gold partners select)
- 3 registrations (not including speakers)
- Signage throughout venue with logo
- Logo recognition on conference loops
- Logo recognition in the conference app
- Opportunity to submit for break-out session presentation rights (Session and speaker must be IWI approved and will be recorded for possible inclusion in the on-demand conference platform.)
- Color logo on conference pages of website with link
- Pre-and post-conference attendee list (no emails – opportunity to contact attendees twice before and twice after the event)

Exhibitor - $18,000
- Exhibit Table
- 2 registrations
- Listing in the conference app
- Listing on conference pages of website
- Pre-and post-conference attendee list (no emails – opportunity to contact attendees once before and once after the event)

Bonus Opportunity
**Meet the Manager** - $5,000
- Our Meet the Manager session is tailored to provide you the opportunity to directly engage with up to 12 Strategy Forum attendees of your choosing in an intimate setting. These sessions allow you to offer key insights and strategies around your products and services. Only 3 opportunities are available. Managers will meet with their invited guests in a private breakfast or lunch setting during conference hours.

For sponsorships, please contact:

Lara Davies  
Director of Key Accounts  
& Sales Operations  
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303-850-3081

Kelly Gormley  
Director of Key Accounts  
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303-619-2977

Kari Estes  
Manager of Enterprise Sales  
kestes@i-w.org  
303-529-3823

Gray Bullard  
Account Manager  
gbullard@i-w.org  
303-529-3704

**Advisor Attendee**

Average AUM  
$364 Million

**Wirehouse:** 35%  
**RIA:** 26%  
**National & Regional:** 14%  
**Hybrid RIA:** 13%  
**IBD:** 10%  
**Retail Bank:** 1%  
**Insurance BD:** 1%
About the Focus On Alternatives Series

The Investment & Wealth Institute is embarking on a new endeavor in 2024, hosting a series of one-day conferences focused on Alternative Investments.

We will host a full day event in 3 cities across the US – Chicago, New York City, and Los Angeles, and will invite our commingled IWI members. Sponsor firms will also be able to invite clients and guests. Be at the forefront of alternatives education and join us for one, two, or all three events.

From private equity and venture capital to real assets and cryptocurrency, be a thought leader in the evolving landscape of alternative investments and network with the industries most sophisticated advisors.

Expected Advisor Attendees by Firm

- **WIREHOUSE**: 35%
- **RIA**: 26%
- **NATIONAL & REGIONAL**: 14%
- **HYBRID RIA**: 13%
- **IBD**: 10%
- **RETAIL BANK**: 1%
- **INSURANCE BD**: 1%

**EXPECTED ATTENDANCE**
125 per city

**EXPECTED ADVISOR AVERAGE AUM**
$364 Million

Presenting Sponsor - $35k

3 cities - $25k/event | 2 cities - $30k/event | 1 city - $35k/event

- Speaking opportunity – speakers receive complimentary registrations. Only one sponsor per topic at each event.
- Table-top at event.
- 2 complimentary registrations.
- 10 complimentary passes for each sponsor to invite your best clients from the area.
- Round Table in meeting room with stanchions.
- Attendee list for each city.
- Logo on table stanchion on round table in meeting room.
- Logo on website and promotions for the event.

Reception Sponsor - $10k

- Table-top at event.
- 2 complimentary registrations.
- 5 complimentary passes to invite your best clients from the area.
- Round Table in meeting room with stanchions.
- Attendee list.
- Firm name on table stanchion on round table in meeting room.
- Signage with logo as reception sponsor.
- Firm name on website and promotions for the event.

Exhibitor - $5k

- Table-top at event.
- 2 complimentary registrations.
- 5 complimentary passes to invite your best clients from the area.
- Round Table in meeting room with stanchions.
- Attendee list.
- Firm name on table stanchion on round table in meeting room.
- Firm name on website and promotions for the event.

For sponsorships, please contact:

- Lara Davies
  Director of Key Accounts & Sales Operations
  ldavies@i-w.org
  303-850-3081

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  303-529-3704
THRIVE
The purpose of the THRIVE Center for Diversity, Equity, & Inclusion is to foster a profession where financial advisors from all backgrounds thrive, thereby fostering a more diverse and sustainable workforce within the profession.

The THRIVE Center for Diversity, Equity, & Inclusion, powered by the Institute, offers online and in-person educational programming designed to empower individuals and key stakeholders to make systemic changes through constructive dialogue and actionable strategies. The Investments & Wealth Foundation provides scholarships for underrepresented professionals to pursue CIMA®, CPWA®, and RMA® certifications. The Institute’s THRIVE programs and the Foundation’s philanthropic support of certification through scholarship are a powerful combination dedicated to ensuring a diverse, equitable, and inclusive financial advice profession.

We demonstrate this commitment in a variety of ways:
• Diversity, Equity, & Inclusion and Women in Wealth educational programming and events to support the professional development of advisors at all levels and create a safe space for education and dialogue.
• Scholarship assistance provided by the Investments & Wealth Foundation for professionals who are currently underrepresented in the profession to pursue CIMA®, CPWA®, and RMA® certifications, fostering diversity within the financial advisor profession.
• The THRIVE Center for DEI community in the HIVE where Institute members can access content and engage in discussion that supports a more diverse and inclusive financial advice profession.
The Investments & Wealth Foundation provides scholarships for underrepresented professionals to pursue CIMA®, CPWA®, and RMA® certifications. With your support the Foundation will reduce the financial barrier to certification through scholarship.

The Investments & Wealth Foundation scholarship program enables women, diverse professionals, and next-generation leaders to elevate their careers and contribute to our profession. Corporate investment in the future of a diverse and representative financial advisor profession is vital to the future of the profession.

Your donation supports scholarship assistance to pursue CIMA®, CPWA®, and RMA® certifications for:
- Women
- Black, Indigenous, and People of Color
- Veterans
- Those who identify under the LGBTQ+ umbrella
- Advisors from small, independent RIA or independent broker-dealer firms who don’t provide tuition reimbursement assistance

In 2022, the Institute awarded more than $700,000 in scholarship assistance to 380 professionals seeking CIMA®, CPWA®, and/or RMA® certification.

As a result of funding scholarships in the last three years, the percentage of certification applications from underrepresented practitioners including women, independent advisors, and BIPOC applicants has increased by 41%, 40%, and 109% respectively. We are moving the needle and will continue to do so because of the support of our sponsors, partners, and donors.

MISSION
Accelerate career advancement of target professionals who are currently underrepresented in the profession, thereby fostering sustainable diversity within the financial advisor profession.

GOAL
To grow and support a more diverse workforce within the financial advisor profession through scholarship.

INVESTMENTS & WEALTH FOUNDATION SCHOLARSHIP DONOR - $25,000+
- Sponsor recognition on the IWI website
- Sponsor recognition on conference loops during Experience 2024
- Thank-you ad in the Investments & Wealth Monitor
- Recognition in the Foundation Annual Report

Chitra Patel, CPWA®, CFP®, MBA
CPWA® Certificant

“The Investments & Wealth Institute Foundation is a great organization and sees the value in supporting minority advisors wanting to grow and make an impact on the industry and their clients.”

Contact April Ferrell, Director of the Investments & Wealth Foundation, at aferrell@i-w.org or +1 303-850-3093 for more information about corporate donations to the Investments & Wealth Foundation.
Our webinars and onsite programs at our conferences tackle relevant and timely issues facing women and minorities today. Events are peer-led and open to everyone. Subject matter is intended to deepen the community’s understanding of the barriers of entry for underrepresented professionals and are designed to inspire others to create an inclusive business model by advancing diversity, equity, and inclusion within the financial advice profession.

**WOMEN IN WEALTH NETWORKING RECEPTIONS**

**Investments & Wealth Experience 2024**
April 7-10, 2024
Wynn Las Vegas
Women in Wealth Luncheon + Booth: $30,000

**Strategy Forum 2024**
September 30 - October 2
Chicago, IL
Women in Wealth Reception + Table: $25,000

**DEI WEBINARS $18,000**
Each Webinar is 60 minutes (50-min. presentation with 10 min. Q & A).
One hour of CE credit available to participants for no cost. Registration is free.
- Institute will handle all CE reporting (pending CE approval).
- Approximately 200-400 advanced practitioners register for each webinar.
- Institute handles all promotion, marketing, and registration activities.
- Institute will provide you creative assets for you to send to your clients and prospects.
- Webinars may be archived on our learning management system for 12 months.

**WOMEN IN WEALTH EVENT SPONSOR BENEFITS:**
- Recognition and 2 registrations for all in-person events
- Sponsor recognition on website and at events
- One panelist consideration
- Opportunity to invite 8 advisors as guests to the Women in Wealth event
- Opportunity to be part of a gift box for attendees

**Agreement Deadline:**
- 3/8/2024
- 4/4/2024
- 5/2/2024

**Webinar Date:**
- 6/6/2024
- 7/11/2024
- 8/8/2024

**LEARN MORE:**
Webinars, Publications & Research
Create engagement with advanced advisors and align your brand with timely and relevant content. The Institute provides all the resources needed to deliver quality content, turn-key marketing, and approval and delivery of continuing education (CE) to participants. Position your firm as an industry thought leader on your own topic, or a variety of suggested topics including:

- Tax Planning
- Portfolio Construction with ETFs
- Portfolio Hedging
- Global Macroeconomic Outlook
- Delivering Wealth Management to Families
- Behavioral Finance
- Procedural Prudence
- Discovery Conversations with Clients
- Role of Structured Products in a Portfolio
- Private Equity Landscape
- Liquid Alternatives
- And more!

Use your subject matter experts, or let us help provide one.

- Each Webinar is 60 minutes (50-min. presentation with 10 min. Q & A). One hour of CE credit available to participants for no cost. Registration is free.
- Institute will handle all CE reporting (pending CE approval).
- Approximately 200-400 advanced practitioners register for each webinar.
- Institute handles all promotion, marketing, and registration activities.
- Institute will provide you creative assets for you to send to your clients and prospects.
- Webinars may be archived on our learning management system for 12 months.

Sponsored Webinars - $18,000

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<tr>
<th>Agreement Deadline</th>
<th>Webinar Date</th>
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<td>9/5/2024</td>
<td>12/5/2024</td>
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RESEARCH SPONSORSHIP

SURVEY AND DISTRIBUTION BENEFITS - $150,000+
Sponsor will engage IWI to work with third-party research firm on a joint project related to the publication of a comprehensive research project and white paper on a mutually agreed upon topic.

- Working with the research firm, IWI will distribute an advisor survey to their financial advisor members, targeting a mutually agreed upon sample size
- IWI will print the research prepared by research firm in an addendum of the *Investments & Wealth Monitor* member magazine distributed to over 18,000 members. The addendum will include a four-color/full-page advertisement included in that issue of the *Investments & Wealth Monitor*
- The Institute will partner with research firm and the sponsor to develop an appropriate media strategy including a joint press release, messaging related to key findings, identifying target publications and reporters, and executing outreach
- IWI will promote the research on IWI website, in IWI social media, and in IWI newsletters
- Opportunity to sponsor webinars and conferences to present the findings to IWI members at an additional cost

DISTRIBUTION ONLY BENEFITS - $50,000

- IWI will print sponsor’s research in an addendum of the *Investments & Wealth Monitor* member magazine distributed to over 18,000 IWI members. The addendum will include a four-color/full-page advertisement included in that issue of the *Investments & Wealth Monitor*
- IWI will promote the research via a press release, on IWI website, in IWI social media, and in IWI newsletters
- Opportunity to sponsor webinars and conferences to present the findings to IWI members at an additional cost
INVESTMENTS & WEALTH MONITOR
Published bimonthly (six issues per year) Investments & Wealth Monitor ranks among the most valued benefits for Institute members. Each issue reaches our entire member base of elite investment and wealth management professionals. Investments & Wealth Monitor offers you one of the best ad-to-editorial ratios in the industry, as well as an uncompromised, 100% peer-reviewed editorial environment.

RETIREMENT MANAGEMENT JOURNAL
This peer-reviewed annual publication is provided as a member benefit and designed to promote research and innovative thinking devoted exclusively to the world of retirement-income planning and management. Articles are written by the leading authorities on a variety of subjects such as Social Security and behavioral finance. Expert content is also provided from some of the leading firms in the industry. The publication’s content supports the Retirement Management Advisor® (RMA®) curriculum and retirement-management and income-planning bodies of knowledge in general. Rates and specs are the same as Investments & Wealth Monitor.

*This is an annual publication

GENERAL REQUIREMENTS:
Only full-page ads accepted
Binding Method: Perfect
Printing Process: CMYK

BLEED AD SIZES:
Trim size: 8.375 x 10.875”
Bleed size: 8.625 x 11.125”
Live area: 7.875 x 10.375” (outside back cover)
7.375 x 10.375” (inside pages)

<table>
<thead>
<tr>
<th>Investments &amp; Wealth Monitor 2024 Editorial Calendar</th>
<th>RESERVATIONS DUE</th>
<th>MATERIALS DUE</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Evolving Portfolio (January/February)</td>
<td>November 10, 2023</td>
<td>December 1, 2024</td>
</tr>
<tr>
<td>Technology/Innovation (March/April)</td>
<td>January 12, 2024</td>
<td>February 2, 2024</td>
</tr>
<tr>
<td>Meeting the Needs of HNW Investors (May/June)</td>
<td>March 8, 2024</td>
<td>April 5, 2024</td>
</tr>
<tr>
<td>Investor Behavior/Advisor Trust (July/August)</td>
<td>May 10, 2024</td>
<td>June 7, 2024</td>
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<tr>
<td>Investment Management Essentials (September/October)</td>
<td>July 12, 2024</td>
<td>August 2, 2024</td>
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<td>Rethinking Retirement (November/December)</td>
<td>September 13, 2024</td>
<td>October 4, 2024</td>
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PRINT EDITION: FULL-PAGE, FOUR COLOR RATES (NET)

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Note: All rates are net. Covers and premium positions are non-cancellable.

PRODUCTION PERSONNEL
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+1 303-898-6152
dnochlin@i-w.org
Email Submission Preferred

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Debbie Nochlin, Managing Editor
Investments & Wealth Institute
5619 DTC Parkway, Suite 600
Greenwood Village, CO 80111

LEARN MORE:
Certifications & Education
Why earn the CIMA certification?

Upon completion of the CIMA program, practitioners are better equipped to consult with clients and direct their investment portfolios than average advisors.

Who should earn the CIMA certification?

Investment consultants, investment advisors, financial planners, wealth management professionals, investment analysts, 401(k) plan consultants, OCIO, and asset management professionals

CIMA Comprehensive Exam Overview

<table>
<thead>
<tr>
<th>Exam Percentage</th>
<th>Exam Domains</th>
<th>Exam Sections</th>
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<tr>
<td>15%</td>
<td>Fundamentals</td>
<td>Statistics and Methods, Applied Finance and Economics, Global Capital Markets</td>
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<tr>
<td>25%</td>
<td>Investments</td>
<td>Investment Vehicles, Equity, Fixed Income, Alternative investments, Options, Futures and Other Derivatives, Real Assets</td>
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<td>25%</td>
<td>Behavioral Finance, Portfolio Theory and Construction</td>
<td>Portfolio Theories and Asset Pricing Models, Behavioral Finance Theory, Investment Philosophies and Styles, Portfolio Construction</td>
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<tr>
<td>10%</td>
<td>Performance Analysis</td>
<td>Risk Concepts and Measurement, Performance Measurement and Attribution</td>
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<tr>
<td>25%</td>
<td>Portfolio Implementation and Consulting Process</td>
<td>IWI Code of Professional Responsibility, Client Discovery and Investment Policy Statements, Investment Implementation Approaches, Manager Search, Selection, and Monitoring, Portfolio Review and Revisions</td>
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</table>

Typical Time Commitment: 9 months
Minimum Work Experience Requirement: 3 years (financial)
Accreditation: ANAB
Adherence to Code of Ethics/Standards: Yes

Build client confidence

Achieving CIMA certification gives clients confidence that you have the sophisticated knowledge and expertise to provide sound advice as their needs and circumstances become increasingly complex.

Grow your business and open doors

Institutions, high-net-worth individuals, and small business owners are particularly demanding when it comes to the qualifications of their advisors. The advanced investment management knowledge and skills required for CIMA certification can get their attention and satisfy their expectations.

Attain higher compensation

Compared to other financial advisors, CIMA holders report earning more and have nearly three times more assets per client. Practices with at least one CIMA professional have been shown to earn more than practices without one.

Learn more about the CIMA certification at: https://iwicentral.org/cima

PRICING

2024 Open Enrollment Rate for Yale and Booth: $5,995

Private classes and group registration packages available on request.
The Certified Private Wealth Advisor® (CPWA®) certification is designed for advisors who seek the latest, most advanced knowledge and techniques to address the sophisticated needs of high-net-worth clients. By participating, advisors learn to identify and analyze challenges high-net-worth families and individuals face and understand how to develop specific strategies to minimize taxes, monetize and protect assets, maximize growth, and transfer wealth. The program takes a holistic, multidisciplinary approach and focuses on the full cycle of wealth: accumulation, preservation, and distribution.

**CPWA Comprehensive Exam Overview**

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<td>13%</td>
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<tr>
<td></td>
<td>Ethics, Behavioral Finance, Family Dynamics</td>
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<tr>
<td>34%</td>
<td>Wealth Management Technical Design</td>
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<td></td>
<td>Tax Planning, Portfolio Management, Risk Management, Asset Protection</td>
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<tr>
<td>23%</td>
<td>Legacy Issues</td>
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<td></td>
<td>Charitable Giving and Endowments, Estate Issues, Wealth Transfer</td>
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<tr>
<td>30%</td>
<td>Specialty Client Services</td>
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<td></td>
<td>Planning for Executives, Planning for Closely Held Business Owners, Retirement Management</td>
</tr>
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</table>

**Typical Time Commitment:** 6 months

**Minimum Work Experience Requirement:** 5 years (financial)

**Accreditation:** ANAB

**Adherence to Code of Ethics/Standards:** Yes

**Why earn the CPWA certification?**

Today’s affluent investors demand more from their financial advisor. These clients have more complex financial needs and are looking for broad knowledge to help them continue to grow their wealth and preserve it. In order to stay relevant and serve these complex needs, advisors need to broaden their base of knowledge for themselves and for their team.

**Specialized expertise and skills**

The explosion in global wealth in recent years has resulted in more high-net-worth clients than ever. In addition, the needs of these clients are increasingly complex. CPWA certification gives advisors the specific expertise and skills needed to confidently advise these clients and provide the high level of customer service they expect and demand.

**Differentiation through credibility**

In the highly competitive field of wealth management, clients are very selective in choosing advisors. CPWA certification gives advisors the edge they need to stand out. In addition to gaining rigorous wealth management knowledge, being a CPWA certification holder means you are adhering to the highest ethical standards to best serve your clients.

**Higher compensation**

Educated advisors manage more assets, generate more revenue, and attract a larger share of investable assets. Learning more means earning more. Through the CPWA certification advisors become more knowledgeable, confident, and competent to serve their clients.

** Who should earn the CPWA certification?**

Wealth management advisors, financial planners, private banking and trust, investment consultants, family office advisors, tax advisors, estate planning specialists

**Expert Instruction**

The CPWA curriculum is taught by preeminent academic and practitioner faculty. All instructors are subject matter experts in their respective fields. This provides a mix of Ivy League-quality education and practical application.

**Pricing**

2024 Open Enrollment Rate for Yale and Booth: $7,295

Private classes and group registration packages available on request.

Learn more about the CPWA certification at https://iwicentral.org/cpwa
The Retirement Management Advisor® (RMA®) program is an advanced certification that focuses on building custom retirement income plans to mitigate clients’ risks and master the retirement planning advisory process, all within an ever-changing regulatory environment.

RMA Comprehensive Exam Overview

<table>
<thead>
<tr>
<th>Topic</th>
<th>Details Covered</th>
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<tr>
<td>The Retirement Opportunity</td>
<td>The Retirement Landscape</td>
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<td></td>
<td>Retirement Mindset and Behavior</td>
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<tr>
<td></td>
<td>The Ethical Advisor</td>
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<td>The Retirement Client</td>
<td>Client Discovery and Analysis</td>
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<td></td>
<td>Assessing Retirement Readiness</td>
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<tr>
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<td>Retirement Risk Management</td>
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<tr>
<td>Retirement Technical Design</td>
<td>Retirement Portfolio Allocations</td>
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<tr>
<td></td>
<td>Key Retirement Planning Decisions</td>
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<tr>
<td></td>
<td>Implementations Strategies</td>
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<tr>
<td></td>
<td>Life in Transition</td>
</tr>
<tr>
<td></td>
<td>Retirement Policy Statements</td>
</tr>
</tbody>
</table>

Why earn the RMA certification?
Now more than ever, advisors need to deliver specialized expertise and skills to acquire and retain all types of clients. RMA’s curriculum teaches specialized retirement strategies and techniques that are highly practical to help advisors distinguish themselves from the average advisor.

Strategies for custom risk assessment and unbiased solutions
The RMA program is truly product-neutral, with unbiased solutions for every type of client. This client-centered, outcomes-based approach is at the heart of the program, first doing what is best for the client, no matter the product or the payout.

Practical tools and techniques to use in your practice
Starting with the Procedural Prudence Map, the RMA program provides practical tools that help advisors map a decision-making process that complies with fiduciary best practices. Using the Client Diagnostic Kit helps set the stage for initial client data gathering while the RMA Toolbox compiles the various strategies into actionable client product recommendations.

Better understand your clients’ retirement mindset
Using a combination of behavioral finance, industry research, and practitioner experience, the RMA program helps advisors better understand their clients’ mindset at retirement, as they shift from accumulating and investing assets to funding retirement income.

Who should earn the RMA certification?
Wealth managers and specialists, financial planners and advisors, investment consultants and advisors, retirement specialists, family-office professionals, trust professionals, tax and estate professionals.

Multidisciplinary approach to retirement planning
The RMA program maps a complete framework of the retirement planning universe. By evaluating several schools of thought, particularly on retirement allocation strategies and risk management techniques, advisors can adopt all best practices.

PRICING

2024 Open Enrollment Rate for Booth: $3,495
2024 Open Enrollment Rate for Investments & Wealth Institute: $2,495

Private classes and group registration packages available on request.

Learn more about the RMA certification at www.investmentsandwealth.org/RMA.
In the investing world, not acting on emotion is paramount. Overconfident investors overestimate their capabilities, eternal optimists underestimate risk, and investors with familiarity bias consistently trade in the securities with which they are familiar—often to the detriment of returns.

Applied Behavioral Finance gives advisors the tools to understand and properly navigate their clients’ roller coaster of emotions and unspoken biases toward investing, as well as their own.

Learn from notable experts at leading business schools via engaging video lectures and slide presentations, along with supplemental case studies and topical readings. Following academic theory, practitioner and New York Times “Bucks Blog” columnist Carl Richards offers tips for advisors to apply the learning to their own practice.

No matter what’s happening with interest rates, or whether the market is up or down, behavioral finance affects us all—client and advisor alike. Understanding behavioral finance can greatly enhance the advisor-client relationship, and help advisors best serve their clients’ needs.

This course is designed to help advisors better understand behavioral finance and includes videos, exercises, readings, and quizzes. The 20 modules of the course are divided into four sections:
- Why Behavioral Finance?
- Principles of Behavioral Finance
- Behavioral Finance and Investing
- Communicating with Clients in Light of Behavioral Finance

COURSE FORMAT
- Self-paced, online
- Approximately 20 hours to complete
- Assessment-based (e.g., contains section quizzes)
- Combination of readings, lectures, slide presentations, supplemental videos, case studies, and sketches from Carl Richards

CREATE AN IWI ACCOUNT AND ENROLL TODAY!
iwicentral.org/4gvDDdm

PRESENTERS

Dan Ariely, PhD
Duke University

Andrew W. Lo, PhD
MIT Sloan School of Management

Meir Statman, PhD
Santa Clara University

Tobias Moskowitz, PhD
Yale School of Management

Carl Richards, CFP®

REGISTRATION & FEES

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Group pricing available for 10+
Due to the rising costs of higher education and all-time high student loan debt levels, individuals and families are relying more than ever on advisors to help them navigate the financial complexities associated with saving for and paying for college. This course is designed for advisors and financial professionals who wish to become more knowledgeable in the areas of education funding, financial aid planning, and student loan advising.

Developed by the American Institute of Certified College Financial Consultants and powered by the Investments & Wealth Institute, the curriculum combines a best-in-class learning experience with practical takeaways that can be applied immediately to add value for individuals and families across all income and wealth spectrums.

**COURSE MODULES AND LESSONS**

- **Module 1: Education Funding**
  - Projecting College Costs and Required Savings
  - Qualified Tuition Programs (529 Plans)
  - Coverdell Education Savings Accounts (CESA)
  - Traditional and Roth IRAs
  - UTMA/UGMA Accounts
  - Taxable Investment Accounts
- **Module 2: Financial Aid Planning**
  - Determining Financial Need
  - EFC/SAI Methodologies
  - Public vs Private College Comparison
  - Verification and Award Letter Appeals
- **Module 3: Planning with Education Tax Deductions and Credits**
  - Education Tax Deductions
  - Education Tax Credits
- **Module 4: Student Loan Advising**
  - Student Loan Options
  - Student Loan Repayment Plans
  - Student Loan Forgiveness Programs
- **Module 5: Practical Planning Strategies for Different Client Groups**
  - High-Income and High-Net-Worth Individuals
  - Business Owners
  - Divorced Couples and Blended/Modern Families
  - Grandparents

**COURSE FORMAT**

- **Program Type:** Certificate program – asynchronous course with module quizzes
- **Program Delivery:** Readings, lectures, videos, interactive graphics, downloadable advisor resources
- **Program Length:** 15 Hours
- **Program Complexity Level:** Intermediate

**COURSE CONTRIBUTOR**

Dr. Riskin serves as Chief Learning Officer for the Investments & Wealth Institute and is recognized as a thought leader in the areas of tax planning, college planning, and student loan advising. He is the author of The Adviser’s Guide to Education Planning (AICPA) and has been published in the Journal of Wealth Management, Journal of Financial Planning, Journal of Accountancy, Tax Notes, and the Journal of Multistate Taxation and Incentives.

Offering comprehensive education planning services can act as longevity insurance for your firm, as it can help you add value immediately for your clients and build the kind of relationships needed to retain their children as future clients. Focusing on these types of services will keep you relevant over the next decade and beyond.

**REGISTRATION & FEES**

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Group pricing available for 10+

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The course highlights valuable strategies to pay for college efficiently, in several areas dovetailing nicely with what I learned in the CPWA program. What I learned has been useful in serving next generation clients with younger families, making me a valuable resource and not just mom and dad’s advisor.

– Jeff Wierenga, CPWA®, CCFC

**CREATE AN IWI ACCOUNT AND ENROLL TODAY!**
The Endowments & Foundations Consulting online course teaches advanced methods for institutional investment consulting with endowments and foundation clients. Course participants learn the unique dynamics of advising non-profit clients, key principles of successful consulting and investment management, and best practices for maintaining a rewarding relationship.

What are the benefits of Endowments & Foundations Consulting?
• Gain valuable knowledge about this non-profit sector: An overview of the basic tenants of philanthropy, key investment portfolio characteristics and IRS requirements for this sector working with a board of trustees and investment committees to help develop an IPS and construct an investment portfolio.
• Grow Assets and revenue: The non-profit endowment and foundations sector is valued at over $2 trillion and needs specialized advisors to help serve this market.
• Earn an education that is highly practical: The Investments & Wealth Institute has earned a strong reputation for delivering advanced education that can be put to practical use immediately with current or prospective clients.

Ideal candidates for the Endowments and Foundations Consulting program include: CIMAs, CFPs, senior team leaders, investment advisors, investment consultants, financial advisors, financial planners, asset and wealth managers, financial services professionals, and young professionals.

LEARNING OBJECTIVES
Module 1: Fundamentals of Non-Profit Organizations
Module 2: The Investment Policy Statement for Endowments and Foundations
Module 3: Portfolio Construction for Endowments and Foundations
Module 4: SRI, ESG and Impact Investing for Endowments and Foundations
Module 5: Performance Monitoring for Endowments and Foundations
Module 6: Outsourcing and Discretionary Management
Module 7: Serving Endowment and Foundation Clients

COURSE FORMAT
• Self-paced, online
• Approximately 13 hours to complete
• Assessment-based (e.g., contains section quizzes)
• Combination of readings, lectures, sample documents, supplemental videos, and case studies

PRESENTERS
Scott Thayer, CIMA®, Thayer Consulting Group, Morgan Stanley
Margaret Towle, PhD, CIMA®, CPWA®, CAIA®, Yakima River Partners, LLC
Devin Ekberg, CIMA®, CPWA®, CFA®, PIMCO
John Nersesian, CIMA®, CPWA®, CFP®, PIMCO
Ardyth Neill, Heifer Foundation

REGISTRATION & FEES
Basic Member $895 USD
Signature Member $671.25 USD
Elite Member $537 USD
Group pricing available for 10+

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Due to ongoing uncertainty in various political, regulatory, and economic environments, affluent individuals and families across the world are turning their attention to diversification not only through investment migration but also through where they purposefully choose to live and conduct business in order to protect their lifestyles and preserve wealth for future generations.

The Global Financial Planning Essentials certificate program covers the fundamental principles and strategies of international financial planning. It aims to equip financial professionals with the essential knowledge and skills necessary to navigate the complexities of cross-border financial planning.

**PROGRAM LEARNING OBJECTIVES**

- Interpret the general approach to international planning, define inbound planning, outbound planning, and cross-border planning, and identify how each is distinct from domestic planning.
- Implement the international and cross-border fact-finding process, including the importance of time and location in regard to prior and planned employment, business ownership, assets, and earned entitlements.
- Understand the legal, tax, and estate issues in residency, including residency-based vs. citizenship-based taxation and interactions of residency status, source of income, and taxation.
- Define a Passive Foreign Investment Company (PFICS), how they are taxed, and how to invest while avoiding PFIC status.
- Review US foreign tax reporting obligations, FBAR, FATCA, and the required forms.
- Understand foreign exchange, liability matching, taxation, and risk management.
- Understand issues related to Social Security for American expats.
- Understand the management of a multi-jurisdictional portfolio, how to invest a foreign portfolio to avoid PFIC classification, the compliance issues related to cross-border ownership of mutual funds and ETFs, and the role of the Key Investor Information Document.
- Understand the cross-border role of life insurance and disability insurance, including issues related to paying premiums while a non-resident, making a claim, and the taxation of death benefits while abroad.
- Understand cross-border education planning opportunities and issues.

**REGISTRATION & FEES**

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**MODULES**

- Module 1 - Intro to International and Cross-Border Planning
- Module 2 - Tax and Immigration Planning
- Module 3 - Investments, Retirement, and Other Planning Considerations

**COURSE CONTRIBUTORS**

- Ashley Murphy, GFP, CFP, AIF
- David Lesperance, JD
- Raoul Rodríguez, CFP, EA, GFP (USA)
- Marina Hernandez, CFP, EA
- Mel Warshaw, JD, LLM

**CREATE AN IWI ACCOUNT AND ENROLL TODAY!**

iwicentral.org/49vDDdm
Investment Management Essentials lays the foundation for what you need to know as an investment management professional. It provides an actionable, defensible framework for the investment consulting process, but it is suitable for any finance professional looking to have easier, more productive conversations with colleagues, prospects, and clients in the investment workplace.

Once you’ve completed the course, you will be able to:

• Conduct effective client consultations to create a client profile, including investment goals, risk preferences, investor type, and behavioral biases.
• Describe fundamental components of an investment policy statement and its importance in governing the client relationship.
• Compare and contrast various methods of client portfolio construction, including the tradeoffs between common investment vehicles, asset allocation options, and risk management techniques.
• Outline best practices of effective due diligence in the search and selection of investment managers for clients.
• Develop investment management skills for reviewing a portfolio and presenting recommendations for continued or revised portfolio strategy based on client profile, investment policy, and market conditions.

COURSE MODULES

• Module 1: Introduction
• Module 2: Client Discovery
• Module 3: Investment Policy Statements
• Module 4: Portfolio Construction
• Module 5: Manager Search and Selection
• Module 6: Portfolio Review
• Module 7: Summary

COURSE FORMAT

Program Type: Certificate program – asynchronous course with module quizzes
Program Delivery: Readings, lectures, videos, interactive graphics, downloadable advisor resources
Program Length: 15 Hours
Program Complexity Level: Intermediate

REGISTRATION & FEES

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Group pricing available for 10+

ACCEPTED FOR UP TO 15 PREMIER-QUALITY CE HOURS CMA®, CPWA®, RMA® & CFP® CE

CREATE AN IWI ACCOUNT AND ENROLL TODAY!

COURSE CONTRIBUTORS

John Nersesian, CIMA®, CPWA®, PIMCO
Scott Thayer, CIMA®, Morgan Stanley
Dan Ariely, Ph.D., Duke University
Julie Littlechild, Absolute Engagement

Meir Statman, Ph.D., Santa Clara University
Carl Richards, CFP®, Elements
John E. Grable, Ph.D., CFP®, University of Georgia
Keith Black, Ph.D., CFA®, CAA, FDP, RIA Channel

John E. Grable, Ph.D., CFP®, University of Georgia
Keith Black, Ph.D., CFA®, CAA, FDP, RIA Channel
Access to private markets is no longer limited to institutional investors and the ultra-high-net-worth. This program provides the foundational knowledge and skills that you need to competently educate high-net-worth clients on private markets and evaluate how they can be used in the process of constructing diversified portfolios. As a result of taking this course, you can more confidently decide when and how to use these investments to advance your HNW clients’ goals as well as differentiate yourself as an advisor.

Once you’ve completed the course, you will be able to:

- Explain the features and benefits of private markets
- Differentiate between private market alternatives
- Identify the risk and return expectations for these unique investments
- Outline the evolution of investment vehicles and the associated structural trade offs
- Explain how to incorporate private markets into a diversified portfolio to meet client goals and objective

**COURSE MODULES**

- Module 1: Introduction to Private Markets
- Module 2: Private Equity
- Module 3: Private Credit
- Module 4: Private Real Assets
- Module 5: Structural Evolution
- Module 6: Asset Allocation & Portfolio Construction

**COURSE FORMAT**

**Program Type:** Certificate program – asynchronous course with module quizzes

**Program Delivery:** Readings, lectures, videos, interactive graphics, downloadable advisor resources

**Program Length:** 15 Hours

**Program Complexity Level:** Intermediate

**REGISTRATION & FEES**

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Group pricing available for 10+

**CREATE AN IWI ACCOUNT AND ENROLL TODAY!**
Private Wealth Essentials lays the foundation for what advisors need to know in order to work with and better serve private wealth clients. This certificate program focuses on the specific needs of high-net-worth (HNW) clients in five core areas:

- Tax Strategies
- Portfolio Management
- Asset Protection and Risk Management
- Charitable Giving
- Estate Planning

Each of these areas is examined in conjunction with the needs of HNW clients fitting three different profiles: the executive, the closely held business owner, and the retirement client.

**COURSE MODULES**

Module 1: Private Wealth Management Basics

Module 2: Tax Strategies

Module 3: Portfolio Management

Module 4: Asset Protection & Risk Management

Module 5: Charitable Giving

Module 6: Estate Planning

Module 7: Client Profile Review

**COURSE FORMAT**

Program Type: Certificate program – asynchronous course with module quizzes

Program Delivery: Readings, lectures, videos, interactive graphics, downloadable advisor resources

Program Length: 15 Hours

Program Complexity Level: Intermediate

**REGISTRATION & FEES**

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<td>Elite Member</td>
<td>$597 USD</td>
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</tbody>
</table>

Group pricing available for 10+

**COURSE CONTRIBUTORS**

Devin Ekberg, CIMA®, CPWA®, CFA®
PIMCO

Tim Steffen, CPWA®, CFP®, CPA/PPF
Bard Private Wealth Management

Tricia Holland Henning, CIMA®, CPWA®, CFP®
The Hollander Group

P.J. Marinelli, CPWA®, CFA®
RiverGlades Family Offices

Deidre Waltz, CIMA®, CPWA®, CFP®, CFA®, CEPA®, CERA®
UBS Financial Services

David Wolf, CPWA®, CFA®, CFP®, CPA/PFS
Wolf Asset Management Corp.

Elizabeth Morgan, JD
Elizabeth Morgan & Associates

**ACCEPTED FOR UP TO 15 PREMIER-QUALITY CE HOURS**

**CREATE AN IWI ACCOUNT AND ENROLL TODAY!**
In this online course, participants will learn how to communicate the value of their ethics and expertise to clients based on research by Absolute Engagement. Discover the characteristics of an Exceptional Advisor®, and learn how to develop communication and action plans designed to:

- Better understand what clients consider important
- Provide meaningful guidance
- Demonstrate advanced knowledge through your credentials
- Highlight your commitment to ethics by leveraging the Investments & Wealth Institute Code of Professional Responsibility

The Exceptional Advisor Model
The Exceptional Advisor® program is born out of research conducted by the Institute and Absolute Engagement. The research shows that clients value an advisor who demonstrates advanced capabilities, exceptional service, a personalized approach, and meaningful guidance. All this is built on the pillars of adherence to high ethical standards and expertise in the field. The Exceptional Advisor® program is designed to showcase your expertise and create awareness of your advanced knowledge and certifications, by providing the tools you need to tell your story and help you demonstrate how you fulfill what clients want.

LEARNING OBJECTIVES
To complete the Exceptional Advisor® online course, professionals must complete the following modules. Each module includes webinars, videos, readings, and other resources, as well as a quiz.

COURSE MODULE OVERVIEW
Module 1: Client Research on What Makes an Exceptional Advisor – Analyze the Exceptional Advisor® model based on research by Investments & Wealth Institute and Absolute Engagement. Learn the factors that drive client engagement. Create a plan to survey clients about what they value and to determine engagement levels.

Module 2: Understand What Clients Need and Want – Develop a plan with strategies to survey clients to better understand how to best engage them in the advisor-client relationship.

Module 3: Build Your Personal Brand Integrity by Acting Ethically – Develop a plan with strategies to communicate the ethical standards an advisor must meet for their clients. Learn the Code of Professional Responsibility and apply the ethical principles to a variety of ethical dilemmas.

Module 4: Provide Meaningful Guidance – Determine a core services list and associate services with client support and individual/family needs.

Module 5: Demonstrate Advanced Knowledge – Learn how to build trust and credibility by communicating the advisor’s knowledge and professional competencies. Develop a plan with strategies to communicate the value of your advanced credentials.

COURSE FORMAT
- Self-paced, online
- Assessment-based (e.g., contains section quizzes)
- Approximately 5 hours to complete
- Combination of videos, readings, webinars, and other resources

REGISTRATION & FEES

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Group pricing available for 10+

ACCEPTED FOR UP TO 5 PREMIER-QUALITY CE HOURS CMA, CPWA, RMA

ACCEPTED FOR UP TO 1 ETHICS CE HOUR CMA, CPWA, RMA
To build high-trust client relationships, the demonstration of one’s technical skills is nowhere near enough. This is because the demonstrated ability of the advisor is about the past. Yet, the decision to trust is primarily about the future – what the advisor will do next. The objective of this short course is to equip advisors with the behavioral knowledge to be able to elicit positive responses, build trust, and manage investor behavior with confidence.

**MODULES**
- Behavioral Economics
- Organizing and Processing Information
- Prospect Theory
- Cognitive Dissonance
- Intertemporal Choice
- The Big Five Personality Types
- I’ll See It When I Believe It
- The Trust Mandate
- Behavioral Ethics

**FORMAT**
Program Type: Short course  
Program Length: 5 Hours  
Program Complexity Level: Intermediate  
Program Delivery: Readings, lectures, videos, interactive graphics, downloadable advisor resources

**COURSE CONTRIBUTOR**
Herman Brodie, Behavioural Finance Specialist, International Speaker, Educator, Co-Author of *The Trust Mandate*
Herman Brodie is the founding director of Prospecta Limited. He is a specialist in behavioral economics, an accomplished speaker and a trainer of decision-makers. Brodie is the author of *The Trust Mandate: The behavioural science behind how asset managers REALLY win and keep clients* (2018, Harriman House). He also co-wrote and teaches the professional investment course, *A Practical History of Financial Markets*.

**REGISTRATION & FEES**

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Group pricing available for 10+

**CREATE AN IWI ACCOUNT AND ENROLL TODAY!**
This concise yet comprehensive microcourse is tailored for advisors and financial professionals seeking to deepen their understanding of advice and planning, which is rooted in two fundamental tenets:

- The financial planning process is most effective in a trust-based, advisor-client relationship.
- The financial planning process is both sequential and recursive.

This course will cover the four-step financial planning process and will touch upon the concept of advice engagement, highlighting strategies for fostering more meaningful conversations and delivering advice in a more effective manner. Through a blend of theoretical frameworks, practical insights, and interactive exercises, this course is designed to help you navigate the complexities of financial planning with confidence, integrity, and a client-centric focus.

**PROGRAM LEARNING OBJECTIVES**

- Understand the foundational principles of trust-based advisor-client relationships and their significance in the financial planning process.
- Demonstrate proficiency in the sequential and recursive nature of financial planning, incorporating flexibility and adaptation to meet evolving client needs.
- Apply the four-step planning process (Discover, Plan, Implement, Revise) effectively to craft tailored financial plans aligned with client goals and risk profiles.
- Identify strategies for building and maintaining trust with clients, fostering meaningful engagement throughout the planning process.
- Evaluate the effectiveness of financial plans through ongoing monitoring and revision, optimizing outcomes to meet client objectives over time.

**COURSE FORMAT**

Program Type: Microcourse  
Program Delivery: Readings, lectures, videos, interactive graphics  
Program Length: 1 Hour  
Program Complexity Level: Basic

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Group pricing available for 10+

**COURSE CONTRIBUTORS**

Derek Klock, CFP®  
Virginia Tech

Ruth Lytton, PhD, CFP®  
Virginia Tech, (Retired)

Ross Riskin, DBA, CPA/PFS, CCFC, MS Tax  
Investments & Wealth Institute

**ACCEPTED FOR UP TO**

1 PREMIER-QUALITY CE HOURS  
CIMA®, CPWA®, BMA® & CFP® CE

CREATE AN IWI ACCOUNT AND ENROLL TODAY!
Digital assets represent the first new asset class in 150 years, with innovations that will transform commerce on a planetary scale. In this informative session, you’ll gain vital knowledge about blockchain and digital assets, enabling you to have meaningful conversations with prospective and existing clients.

Developed by the Digital Assets Council of Financial Professionals and powered by the Investments & Wealth Institute, the curriculum combines a best-in-class learning experience with practical takeaways that can be applied immediately to add value for individuals and families across all income and wealth spectrums.

**PROGRAM LEARNING OBJECTIVES**

- Discuss how blockchain and digital assets work
- Define the crypto investment thesis
- Analyze the benefits that can arise from a broader use of blockchain technology

**COURSE CONTRIBUTOR**

Ric Edelman, Author

Ric Edelman is one of the most influential people in the financial planning and investment management profession, according to Investment Advisor, RIABiz, and InvestmentNews. He was ranked three times as the nation’s No. 1 Independent Financial Advisor by Barron’s, is in two industry Halls of Fame and received the IARFC’s Lifetime Achievement Award. He also holds two patents for financial product innovation.

Edelman is the industry’s top financial educator. He is a #1 New York Times bestselling author of 12 books on personal finance, including his newest, The Truth About Crypto, an Amazon bestseller. He hosts The Truth About Your Future podcast and produces Public Television specials. He taught personal finance at Georgetown University for nine years and is a Distinguished Lecturer at Rowan University. He and his wife Jean live in Northern Virginia.

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Group pricing available for 10+

**COURSE FORMAT**

Program Type: Microcourse

Program Length: 1 Hour

Program Complexity Level: Basic

Program Delivery: Readings, lectures, videos, interactive graphics, downloadable advisor resources

**CREATE AN IWI ACCOUNT AND ENROLL TODAY!**
It is imperative that advisors understand the implications of when and how to take Social Security retirement benefits when creating holistic, goals-based retirement income plans. The information presented within this microcourse is based on lectures from Marcia Mantell, RMA®, NSSA®, and is designed to give you an appropriate overview Social Security retirement benefits.

COURSE LEARNING OBJECTIVES

• Describe the historical background of the Social Security system and explain its purpose
• Explain to clients where they can find additional resources about Social Security and how they can create an account to access personalized information regarding their benefits
• Discuss when clients should apply for Social Security benefits and explain the consequences associated with filing early, filing at full retirement age, and delaying filing
• Calculate monthly Social Security benefits for your clients
• Identify the four categories of individuals who may be able to claim Social Security benefits and explore how their benefit computations may differ

COURSE FORMAT

Program Type: Microcourse – asynchronous course with a module quiz
Program Delivery: Readings, lectures, videos, interactive graphics, downloadable advisor resources
Program Length: 1 Hour
Program Complexity Level: Basic

“As an advisor, your role is to assist your clients in planning for when they will take Social Security. The laws related to Social Security encompass over 4,700 pages of legal text in three volumes. And, the laws can only be changed by Congressional action.

Assume none of your clients will read the laws. Therefore, it becomes your job to provide guidance in planning important components of when to take Social Security retirement benefits (based on age, life circumstances, and financial needs).”

Marcia Mantell is the president of Mantell Retirement Consulting, Inc. She has 30 years of industry experience, partnering with the country’s foremost financial services firms and advisors. She helps them increase their knowledge of complex retirement concepts and regulations, Social Security and Medicare, then translates those concepts into everyday language that educates and motivates real people to take the right steps to achieve the retirement they desire. She is the author of two books, What’s the Deal With®… Retirement Planning for Women?, and What’s the Deal With®… Social Security for Women?

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Group pricing available for 10+

ACCEPTED FOR UP TO 1 PREMIER-QUALITY CE HOURS CIMA®, CMA®, RMA®, and CFP® CE

LEARN MORE:
This microcourse provides a comprehensive review of how digital assets are taxed using practical knowledge in an easy to follow and useful framework. Presented in two parts, this module will provide tools and planning opportunities for both personal tax needs and as well as for financial planners working with clients.

Developed by the Digital Assets Council of Financial Professionals and powered by the Investments & Wealth Institute, the curriculum combines a best-in-class learning experience with practical takeaways that can be applied immediately to add value for individuals and families across all income and wealth spectrums.

**PROGRAM LEARNING OBJECTIVES**

- Compare and contrast how digital assets are acquired through purchasing, receiving, earning and mining.
- Describe how digital asset loans work and how they are taxed.

**COURSE CONTRIBUTOR**

René Chaze, CPA, MS Tax

René Chaze is an advisor to DACFP on impactful issues related to digital assets. René was a Partner with Ernst & Young, advising technology clients for 20 years on various tax policy, strategy and structuring matters. He then was with Edelman Financial for 6 years, serving as CFO, COO, Head of M&A and in other executive leadership roles. Currently as a Partner with Tiny Orange Capital, he works with emerging and leading companies and funds in the digital assets, blockchain and technology fields.

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Group pricing available for 10+
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Developed by the Digital Assets Council of Financial Professionals and powered by the Investments & Wealth Institute, the curriculum combines a best-in-class learning experience with practical takeaways that can be applied immediately to add value for individuals and families across all income and wealth spectrums.

**PROGRAM LEARNING OBJECTIVES**

- Identify the tax implications of transferring and/or disposing of digital assets.
- Determine how NFTs are treated by the IRS.

**COURSE CONTRIBUTOR**

René Chaze, CPA, MS Tax

René Chaze is an advisor to DACFP on impactful issues related to digital assets. René was a Partner with Ernst & Young, advising technology clients for 20 years on various tax policy, strategy and structuring matters. He then was with Edelman Financial for 6 years, serving as CFO, COO, Head of M&A and in other executive leadership roles. Currently as a Partner with Tiny Orange Capital, he works with emerging and leading companies and funds in the digital assets, blockchain and technology fields.

**COURSE FORMAT**

Program Type: Microcourse
Program Length: 1 Hour
Program Complexity Level: Basic
Program Delivery: Readings, lectures, videos, interactive graphics, downloadable advisor resources

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Partners & Sponsors