2023 Partnership Guide
PARTNER • SPONSOR • EDUCATE • RESEARCH • ADVERTISE
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 16,000 individual members, candidates and certificants in 40 countries, 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 manage more than $4 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
ACE Academy
Investments & Wealth Masters Forum—Scottsdale
Investments & Wealth Forum—New York City
Virtual Conference: Lifecycle Planning

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
Exceptional Advisor: Communicate Your Value and Build Client Engagement
Investment Management Essentials
Private Markets for Advisors
Private Wealth Essentials

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

INSTITUTE DEMOGRAPHICS

16,407 MEMBERS GLOBALLY
8,811 CIMA® Certificants
2,825 CPWA® Certificants
304 RMA® Certificants

COLLECTIVELY MANAGE
$3.5 TRILLION

Average AUM
$364 Million

ASSETS UNDER MANAGEMENT
$2.47 TRILLION

FEE STRUCTURE
3% COMMISSION ONLY
8% FEE/COMMISSION MIX
43% FEE BASED (61-90% FEES)
46% FEE-ONLY (>90% FEES)

71% HAVE 9+ YEARS OF EXPERIENCE

ADVISORS REPRESENT ALL ADVISORY CHANNELS

GENERATIONAL DISTRIBUTION
Dorothy Bossung, CIMA®, CPWA®, RMA®, CFP® EVP, Lowery BDO Wealth Advisors, LLC, Chair, Institute Board of Directors

Lauris S. Lambergs, CIMA®, CHSA®, Co-Founder Renaissance Wealth Advisors, LLC and IWI Board of Directors

Elizabeth “Libet” Anderson, CIMA®, President ProEquities, Inc. and Institute Board of Directors

Deidre Waltz, CIMA®, CPWA® Heritage Trust Company and Institute Board of Directors

Christine Gaze, CIMA®, Founder & Partner, Purpose Consulting Group and Institute Board of Directors

Douglas D. Hanson, CIMA®, Charles Schwab and Institute Board of Directors

Deidre Waltz, CIMA®, CPWA® Managing Director Investments, Wells Fargo Advisors and IWI Board of Directors

Desiree Maldonado, CIMA®, CPWA®, CFP® Popular Securities, LLC and Institute Board of Directors

Scott Welch, CIMA®, TIWI Board Officer & IWI Board of Directors Chief Investment Officer, Model Portfolios, Wisdom Tree Asset Management, Inc.

Chris Bidwell, CIMA®, RMA®, CIMC®, Financial Advisor at Morgan Stanley and Institute Board of Directors

Lauris S. Lambergs, CIMA®, CHSA®, Co-Founder Renaissance Wealth Advisors, LLC and IWI Board of Directors

Noel Pacarro-Brown, First Vice President, Conscious Wealth Management Group, Morgan Stanley and Institute Board of Directors

Douglas D. Hanson, CIMA®, Charles Schwab and Institute Board of Directors

Hatem Zarrouk, CIMA®, National Bank Independent Network in Toronto, Canada, and Institute Board of Directors

Todd Wagenberg, CIMA®, Former Chair, Board of Directors, Managing Partner, Integrated Fiduciary Advisory Services

Scott Welch, CIMA®, TIWI Board Officer & IWI Board of Directors Chief Investment Officer, Model Portfolios, Wisdom Tree Asset Management, Inc.
Partner Programs
**BUILD YOUR OWN PARTNER PROGRAM**

To better serve the needs of our Partners, all our programs will now be customized. Choose which rights and benefits are the most important to you and when your investment reaches the thresholds below, you will receive incremental rights and benefits and significant branding as a Platinum, Gold, Bronze, or Corporate Partner.

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

<table>
<thead>
<tr>
<th>Platinum</th>
<th>Gold</th>
<th>Bronze</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invest $100,000 and receive additional benefits including:</td>
<td>Invest $80,000 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 Investments &amp; Wealth Monitor.</td>
<td></td>
</tr>
<tr>
<td>• Thank you ad in Investments &amp; Wealth Monitor.</td>
<td>• Priority selection for booth location and other branding opportunities.</td>
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<td>• Participation in VIP events.</td>
<td></td>
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**SPONSORSHIP PRICING**

### 2023 EVENTS

#### Investments & Wealth Masters Forum | February 5 - 8
**Planning for Intergenerational Wealth Transfer**
The Scott Resort and Spa, Scottsdale, AZ

<table>
<thead>
<tr>
<th>Sponsorship Pricing</th>
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<tbody>
<tr>
<td>Presenting Sponsor [20 available] Includes &quot;Edtalk&quot; Session (30 min) + Top Golf Sponsorship [2 invites]</td>
<td>$25,000</td>
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<tr>
<td>Pre-Conference Workshop</td>
<td>$30,000</td>
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<tr>
<td>Women in Wealth Reception (2)</td>
<td>+$10,000</td>
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**Member Registration Pricing**

- On-Demand Registration: $795

#### Investments & Wealth Forum NYC | Nov 29-30
New York Marriott Marquis, Times Square, NY

<table>
<thead>
<tr>
<th>Sponsorship Pricing</th>
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<tbody>
<tr>
<td>Sponsor (20)</td>
<td>$18,000</td>
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<tr>
<td>Presenting Sponsor (4 in-person and 4 on-demand)</td>
<td>$25,000</td>
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<tr>
<td>Pre-Conference Workshop (2)</td>
<td>$30,000</td>
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<tr>
<td>Women in Wealth Reception (4)</td>
<td>+$15,000</td>
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</table>

**Member Registration Pricing**

- In-Person Registration: (Early Bird) $995, After 9/15/23 $1,095
- On-Demand Registration: $795

#### ACE Academy San Diego | April 30 - May 3
The largest gathering of CIMA, CPWA, RMA and CFPs
Marriott Marquis Marina, San Diego, CA

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<td>Sponsor (40)</td>
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<td>Sponsor + EdTalk [6]</td>
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<td>Presenting Sponsor [11]*</td>
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<td>Pre-Conference Workshop (2)</td>
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<tr>
<td>Women in Wealth Luncheon (4)</td>
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<tr>
<td>NextGen Reception (2)</td>
<td>+$15,000</td>
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<tr>
<td>Tech Row (10)</td>
<td>$10,000</td>
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<tr>
<td>Group Registration 10+</td>
<td>$895 per person</td>
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</table>

**Member Registration Pricing**

- In-Person Registration: (Early Bird) $895, After 3/1/23 $995
- On-Demand Registration: $595

*3 presenting sponsors will be selected for Supersessions*

#### Lifecycle Planning: What Goes Around Comes Around
September 19
Live-Streamed Virtual Event

<table>
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<tr>
<th>Sponsorship Pricing</th>
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<tr>
<td>Product/Fund Sponsor (4)</td>
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<tr>
<td>Fintech Sponsor (10)</td>
<td>$7,500</td>
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**Member Registration Pricing**

- Online Registration: $795

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**WEBINARS**

- Sponsored Webinars (12): $18,000
- Women in Wealth Webinars (6): $18,000

**THIVE**

- Annual Sponsor: Two or more events
- Associate Sponsorship: One event

Events include Women in Wealth Receptions/Luncheon and Women in Wealth/DEI webinars

**PUBLICATIONS/ADVERTISING**

<table>
<thead>
<tr>
<th>Investments &amp; Wealth Monitor</th>
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<tbody>
<tr>
<td>Standard Page</td>
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<tr>
<td>Table of Contents</td>
<td>$5,325</td>
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<tr>
<td>Cover 2</td>
<td>$5,625</td>
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<tr>
<td>Cover 3</td>
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<tr>
<td>Cover 4</td>
<td>$5,625</td>
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</tbody>
</table>

**RESEARCH**

- Institute will publish and distribute your supplied research (8-pages) in an issue of Investments & Wealth Monitor: $50,000
- Institute will design questionnaire and field survey to our members, tabulate results and distribute and publish 8-page report in Investments & Wealth Monitor: $150,000+

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Note: All prices shown are in US$
## INVESTMENTS & WEALTH FOUNDATION SCHOLARSHIP DONOR

Your firm may provide a tax-deductible donation to support scholarship to your employees or a specific group of advisors to pursue any Institute certification (CPWA®, CIMA®, RMA®) - $25,000

## CUSTOM PROGRAMS

Looking for something different? Ask us about our custom programs and how we can partner together to help your organization with your talent and development needs, content needs, or new ways to engage with our advanced advisor members and certificants.

## GEMSTONE PARTNERSHIPS

Your a la carte spending counts towards earning a higher partner status and additional rights and benefits.

<table>
<thead>
<tr>
<th>Level</th>
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<tr>
<td>Platinum</td>
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<td>Gold</td>
<td>$80,000</td>
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<tr>
<td>Bronze</td>
<td>$50,000</td>
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</table>

All speaking opportunities are merit-based and must be approved by the Institute.

Note: All prices shown are in US$
Conferences & Events
<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
<th>Estimated Attendance</th>
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<tbody>
<tr>
<td>Investments &amp; Wealth Masters Forum Scottsdale 2023</td>
<td>February 5-8, 2023</td>
<td>250</td>
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<tr>
<td>Planning for Intergenerational Wealth Transfer</td>
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<tr>
<td>ACE Academy 2023 - San Diego</td>
<td>April 30-May 3, 2023</td>
<td>1000+</td>
</tr>
<tr>
<td>Estimated attendance: 1000+</td>
<td></td>
<td></td>
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<tr>
<td>Investments &amp; Wealth Forum - New York City 2023</td>
<td>November 28-30, 2023</td>
<td>400+</td>
</tr>
<tr>
<td>Estimated attendance: 400+</td>
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Advanced wealth management practitioners must stay abreast of a wide array of strategies designed to serve the needs of HNW clients and those who are set to benefit from the great wealth transfer over the next several decades. This Masters Level Forum takes a structured yet flexible approach in covering content related to planning for the intergenerational transfer of wealth.

ACE Academy is the largest association gathering of investment and private wealth advisors in the industry. Sessions feature leading industry strategists, academic thought leaders, and advanced practitioners. Our exhibit hall prominently features trend-setting products and services from supporting firms.

This is the inaugural virtual conference offered by the Investments & Wealth Institute. This one-day virtual event will feature five thought leader panels comprised of cutting-edge practitioners, thought leaders, and academics who will identify and address the planning opportunities that impact individuals and families at different stages in the human lifecycle – ranging from recent graduates to those who are well into their retirement.

The Investments & Wealth Forum – New York City is the gathering place for elite advisors who want to learn about the latest tools, techniques, and strategies being used in the investment management industry.

Lifecycle Planning: What Goes Around Comes Around
Live-Streamed Virtual Event
September 19, 2023

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ACE Academy 2023-San Diego, CA
In-Person and On-Demand
April 30 - May 3, 2023

About ACE Academy

Annual Conference Experience is the largest association gathering of investment and private wealth advisors in the industry. Sessions feature leading industry strategists, academic thought leaders, and existing or future Nobel laureates. Our exhibit hall prominently features trend-setting products and services from supporting firms.

Attendees will have access to the most relevant knowledge, insights and tools required to best serve their clients and distinguish their expertise in a global and highly competitive marketplace. Conference tracks include Investment Management, Retirement Management, Private Wealth Advice, Independent Practice, and Behavioral Science.

Key Attendee Demographics

Institute Members Manage: $2.4 Trillion
Average AUM: $364 Million
Expected Attendance: 1,000+

For Partner Reservations, Please Contact:

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303-850-3081

Suzie Byrnes
Key Accounts Director (Western Region)
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303-850-3093

Kelly Gormley
Business Development
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303-619-2977

Kari Estes
Account Manager
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303-529-3823

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

https://iwicentral.org/ace2023
Sponsor Rights & Benefits

**Presenting Sponsor - $40,000**
- Exhibit Booth: 10’ x 20’ (opportunity to upgrade to 20’ x ‘20)
- One Bonus Opportunity [first-come, first-served]
- 4 registrations [not including speakers]
- 4 invites to VIP reception
- Signage throughout venue with logo
- Logo recognition on conference loops
- Logo recognition in the conference app
- Opportunity to submit for an in-person speaking consideration [Session and speaker must be IWI approved and will be recorded for possible inclusion in an on-demand offering.]
- 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]

**Sponsor + Ed Talk - $25,000**
- Exhibit Booth: 10’ x 10’ (opportunity to upgrade to 10’ x ‘20)
- 2 registrations [not including speaker]
- 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]
- In-person 25-minute EdTalk on the exhibit floor [must be IWI approved]

**Sponsor - $18,000**
- Exhibit Booth: 10’ x 10’ (opportunity to upgrade to 10’ x ‘20)
- 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]

**Tech Row - $10,000**
- Six Foot Exhibit Space
- 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]

[https://iwicentral.org/ace2023](https://iwicentral.org/ace2023)
LIFECYCLE PLANNING: WHAT GOES AROUND COMES AROUND

September 19, 2023 | 9 a.m. - 5 p.m. Virtual Conference

Summary

This is the inaugural virtual conference offered by the Investments & Wealth Institute. This year’s theme focuses on lifecycle planning. This one-day virtual event will feature five thought leader panels comprised of cutting-edge practitioners, thought leaders, and academics who will identify and address the planning opportunities that impact individuals and families at different stages in the human lifecycle – ranging from recent graduates to those who are well into their retirement.

Diverse Audience - 500+ advisors and financial professionals of all ages serving clients across the income and wealth spectrums

Exclusivity - No overlap of competing offerings throughout the entire event

Focused Attention - No concurrent sessions, so attendees are focused on one session at a time

Extensive Reach - Marketing of event and highlighting of sponsors to IWI’s member network of over 17,000 professionals

Here are the benefits our Fintech sponsors can look forward to for this event!

• Sponsored 15 minute session
• Leaderboard banner ad in rotation logo recognition on conference website
• Logo recognition in all conference promotions
• Logo in select presentation slides recognizing sponsors
• Rights to mailing list usage (no emails) pre & post event
• 10 complimentary registrations for conference event
• Firm logo and description in virtual conference platform.
• Host attendees who visit the virtual exhibit booth throughout the entire day of the event.
• Make videos, white papers, and other content or marketing collateral available in virtual conference platform for all attendees

Sponsorship Opportunities

• Total Sponsored Sessions: 10
• Total Fintech Sponsored Sessions: 5
• Total Product/Fund Sponsored Sessions: 5

Sponsored sessions will be 30 minutes in length with 15 minutes being allocated to a Fintech sponsor and another 15 minutes being allocated to a product/fund sponsor.

Sponsored sessions will follow each thought leader panel and will be educational in nature but can showcase products that are relevant to the topic or lifecycle stage previously covered.

Sponsorship Pricing:

$7,500
Thought Leader Panels

Thought leader panel sessions will be 60 minutes in length and will be run panel style with each panelist receiving approximately 15 minutes to present and then leaving 15 minutes at the end to address audience questions with the panel collectively.

### Planning for Early Career Professionals (Ages 20 – 30)

This thought leader panel will address planning opportunities advisors need to be aware of that may be applicable for younger individuals and families such as developing a student loan repayment plan strategy, evaluating employer benefits, establishing credit, and starting a plan to save for longer term financial goals.

**Panelist:**
- Dr. Stuart Heckman, PhD, CFP®
- Akeiva Ellis, CPA/PFS, CFP®
- Heather Jarvis, JD

### Planning for Mid-Career Professionals (Ages 31 – 40)

This thought leader panel will address planning opportunities that may be applicable for young individuals and families that advisors need to be aware of such as getting married and coordinating shared financial responsibilities, purchasing a home, starting a family, and/or establishing college savings plans for their children.

**Panelist:**
- Dr. Benjamin Cummings, PhD, CFP®
- Frank Iozzo, CPWA®
- Jamie Bosse, CFP®, RFP, CCFC

### Planning for Established Career Professionals (Ages 41 – 50)

This thought leader panel will address planning opportunities that advisors need to be aware of that may be applicable for individuals who are managing the balancing act of paying for college for their children while simultaneously saving for their own for retirement. Additionally, individuals in this age range are often in their peak earnings years and important tax planning and cash flow planning considerations will be of prime importance as well.

**Panelist:**
- Dr. Ross A. Riskin, DBA, CPA/PFS, CCFC, MS Tax
- Dr. Brianne Smith, PhD, CPA/PFS
- Joe Messinger, CPA, CFP®, CCFC

### Planning for Late Career Professionals (Ages 51 – 70):

This thought leader panel will address planning opportunities that advisors need to be aware of that may be applicable for individuals that are in the pre-retirement phase for which maximizing retirement contributions, considering long-term care insurance, and determining when to claim Social Security benefits will be of prime importance.

**Panelist:**
- Dr. David Blanchett, PhD, CFA
- Dana Anspach, CFP®, RMA®
- Oscar Vives Ortiz, CPA/PFS, CFP®

### Planning for Post-Career Professionals (Ages 70 +):

This thought leader panel will address planning opportunities that advisors need to be aware of that may be applicable for individuals that are already in retirement for which implementing a retirement income plan, assessing reverse mortgage opportunities, managing healthcare expenses, managing required minimum distributions, and incorporating appropriate estate planning strategies will be of prime importance.

**Panelist:**
- Dr. Stephanie Moulton, PhD
- Bob Powell, CFP®
- Marcia Mantell, RMA®
Summary

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Panelist: Jamie Bosse, CFP®, RFP, CCFC

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Panelist: Dr. Brianne Smith, PhD, CFP®
Panelist: Joe Messinger, CPA, CFP®, CCFC

Planning for Late Career Professionals (Ages 51 – 70):

This thought leader panel will address planning opportunities that advisors need to be aware of that may be applicable for individuals that are in the pre-retirement phase for which maximizing retirement contributions, considering long-term care insurance, and determining when to claim Social Security benefits will be of prime importance.

Panelist: Dr. David Blanchett, PhD, CFA
Panelist: Dana Anspach, CFP®, RMA®
Panelist: Oscar Vives Ortiz, CPA/PFS, CFP®

Planning for Post-Career Professionals (Ages 70 +):

This thought leader panel will address planning opportunities that advisors need to be aware of that may be applicable for individuals that are already in retirement for which implementing a retirement income plan, assessing reverse mortgage opportunities, managing healthcare expenses, managing required minimum distributions, and incorporating appropriate estate planning strategies will be of prime importance.

Panelist: Dr. Stephanie Moulton, PhD
Panelist: Bob Powell, CFP®
Panelist: Marcia Mantell, RMA®
Investments & Wealth Forum
New York City
November 28 - 30, 2023
New York Marriott Marquis, NYC

Sponsor ($25,000)

- Exhibit table
- One bonus opportunity (first-come, first-served)
- Three registrations (not including speakers)
- Signage throughout venue with logo
- Logo recognition in conference loops
- Logo recognition in the conference app
- Opportunity to submit for an in-person or on-demand speaking consideration (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
- Pre-and post-conference attendee list (no emails – opportunity to contact attendees twice before and twice after the event)

Exhibit: ($18,000)

- Exhibit table
- Two registrations
- Listing in 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)

For Partner Reservations, Please Contact:

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Key Accounts Director
(Eastern Region)
l Davies@i-w.org
303-850-3081

Suzie Byrnes
Key Accounts Director
(Western Region)
s byrnes@i-w.org
303-850-3093

Kelly Gormley
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303-619-2977

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Kari Estes
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Gray Bullard
Account Manager
gbullard@i-w.org
303-529-3704
Sponsorship Opportunities
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.

**NETWORKING RECEPTIONS:**

**Investments & Wealth Masters Forum--Scottsdale AZ**  
February 5-8, 2023  
The Scott Resort and Spa  
Women in Wealth Reception +$10,000

**ACE Academy**  
April 30-May 3, 2023  
The Marriott Marquis San Diego Marina  
Women in Wealth Luncheon +$15,000

**Investments & Wealth Forum--NYC**  
November 29-30, 2023  
The New York Marriott Marquis  
Women in Wealth Reception +$15,000

**Women in Wealth Event sponsor benefits:**

- Recognition and 2 registrations for all in-person events  
- Recognition in e-newsletters, publications and marketing of events  
- Sponsor recognition on website and at events  
- One panelist consideration  
  (IWI approved and not available at Scottsdale Forum)  
- Opportunity to invite 8 advisors as guests to the Women in Wealth event  
- Opportunity to be part of a gift box for attendees

**Women in Wealth Webinars $18,000**

**Be part of our exciting educational lineup**

Women in Wealth Webinars $18,000

**LEARN MORE:**
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.

ASSOCIATE PARTNER SUPPORT

• Recognition on IWI’s THRIVE Center for Diversity, Equity & Inclusion webpages.

• Complimentary registrations to Diversity, Equity, & Inclusion Webinar Series.

• Participation in Investments & Wealth Foundation scholarship fund to support educational programs targeted to underrepresented professionals.

DIVERSITY, EQUITY, & INCLUSION
LEARN MORE:

ANNUAL PARTNER SUPPORT

• Recognition on IWI’s THRIVE Center for Diversity, Equity & Inclusion webpages.

• Complimentary registrations to Diversity, Equity, & Inclusion Webinar Series.

• Participation in Investments & Wealth Foundation scholarship fund to support educational programs targeted to underrepresented professionals.

• Speaker on one Diversity, Equity, & Inclusion series webinar (date TBD).

ASSOCIATE SPONSORSHIP One event

ANNUAL SPONSOR Two or more events

Diversity, Equity, & Inclusion Webinars $18,000

Events include: Women in Wealth Receptions/ Luncheons and Women in Wealth/DEI webinars
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.

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.”

Diversity, Equity, & Inclusion Webinars $18,000

Contact Tim Whiting, Chief Revenue Officer at twhiting@i-w.org or +1 201-925-6613 for more information about corporate donations to the Investments & Wealth Foundation.
WEBINARS

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.

<table>
<thead>
<tr>
<th>Agreement Deadline</th>
<th>Webinar Date</th>
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<tbody>
<tr>
<td>November 10, 2022</td>
<td>January 5, 2023</td>
</tr>
<tr>
<td>December 8, 2022</td>
<td>February 2, 2023</td>
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<tr>
<td>January 5, 2023</td>
<td>March 2, 2023</td>
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<td>February 2, 2023</td>
<td>April 6, 2023</td>
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<td>May 4, 2023</td>
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<td>April 6, 2023</td>
<td>June 1, 2023</td>
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<td>May 4, 2023</td>
<td>July 13, 2023</td>
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<tr>
<td>June 1, 2023</td>
<td>August 3, 2023</td>
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<td>July 6, 2023</td>
<td>September 7, 2023</td>
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<td>October 5, 2023</td>
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<td>September 7, 2023</td>
<td>November 2, 2023</td>
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<td>October 5, 2023</td>
<td>December 7, 2023</td>
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Pricing

<table>
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<tr>
<th>Sponsored Webinars (12)</th>
<th>$18,000</th>
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<tbody>
<tr>
<td>Women in Wealth/DEI Webinars (6)</td>
<td>$18,000</td>
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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.

INVESTMENTS & WEALTH RESEARCH
Published up to six times per year as a section within Investments & Wealth Monitor, Investments & Wealth Research provides custom research describing demographic and best practice information about Institute members and how they deliver investment consulting and wealth management services. As an exclusive member benefit, Investments & Wealth Research is distributed to the Institute’s membership. Our research is published in partnership with leading industry research firms like Cerulli Associates and Absolute Engagement.

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)

INVESTMENTS & WEALTH MONITOR 2023 Editorial Calendar

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<thead>
<tr>
<th>RESERVATIONS DUE</th>
<th>MATERIALS DUE</th>
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<tbody>
<tr>
<td>Economy and Geopolitics (January/February)</td>
<td>November 1, 2022</td>
</tr>
<tr>
<td>Investments and Portfolio Construction (March/April)</td>
<td>January 6, 2023</td>
</tr>
<tr>
<td>Evolution of Advice (May/June)</td>
<td>March 1, 2023</td>
</tr>
<tr>
<td>Incorporating Alternative Investments (July/August)</td>
<td>May 1, 2023</td>
</tr>
<tr>
<td>High-Net-Worth/Ultra-High-Net-Worth Investors (September/October)</td>
<td>June 30, 2023</td>
</tr>
<tr>
<td>Creating Retirement Lifestyle/Behavioral Finance (November/December)</td>
<td>September 1, 2023</td>
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PRINT EDITION: FULL-PAGE, FOUR COLOR RATES (NET)

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<tr>
<th>PRICE</th>
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<tbody>
<tr>
<td>Standard Page (Inside)</td>
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<tr>
<td>Table of Contents (TOC)</td>
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<tr>
<td>Cover 2 (Inside Front Cover)</td>
</tr>
<tr>
<td>Cover 3 (Inside Back Cover)</td>
</tr>
<tr>
<td>Cover 4 (Back Cover)</td>
</tr>
</tbody>
</table>

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

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Greenwood Village, CO 80111

LEARN MORE:
Certifications, Education, & Private Classes
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

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.

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

CIMA Comprehensive Exam Overview

<table>
<thead>
<tr>
<th>Exam Percentage</th>
<th>Exam Domains</th>
<th>Exam Sections</th>
</tr>
</thead>
<tbody>
<tr>
<td>15%</td>
<td>Fundamentals</td>
<td>Statistics and Methods, Applied Finance and Economics, Global Capital Markets</td>
</tr>
<tr>
<td>20%</td>
<td>Investments</td>
<td>Vehicles, Equity, Fixed income, Alternative investments, Options/futures, Real Assets</td>
</tr>
<tr>
<td>20%</td>
<td>Portfolio Theory and Behavioral Finance</td>
<td>Portfolio theories and models, Behavioral finance, Investment philosophies and styles, Tools and strategies</td>
</tr>
<tr>
<td>20%</td>
<td>Risk and Return</td>
<td>Attributes of Risk, Risk Measurements, Performance Measurement and Attribution</td>
</tr>
<tr>
<td>25%</td>
<td>Portfolio Construction and Consulting Process</td>
<td>Ethics, Client Discovery, Investment Policy, Portfolio Construction, Manager Search and Selection, Portfolio Review and Revisions</td>
</tr>
</tbody>
</table>

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 investmentsandwealth.org/certifications/welcome-to-cima

2023 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.

**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.

Learn more about the CPWA certification at [investmentsandwealth.org/certifications/welcome-to-cpwa](investmentsandwealth.org/certifications/welcome-to-cpwa)

---

**PRICING**

2023 Open Enrollment Rate for Yale and Booth: $7,295

Private classes and group registration packages available on request.

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**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

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**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.

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**CPWA Comprehensive Exam Overview**

<table>
<thead>
<tr>
<th>Exam Percentage</th>
<th>Topics</th>
</tr>
</thead>
</table>
| 13%             | Human Dynamics  
Ethics, Behavioral Finance, Family Dynamics |
| 34%             | Wealth Management Technical Design  
Tax Planning, Portfolio Management, Risk Management, Asset Protection |
| 23%             | Legacy Issues  
Charitable Giving and Endowments, Estate Issues, Wealth Transfer |
| 30%             | Specialty Client Services  
Planning for Executives, Planning for Closely Held Business Owners, Retirement Management |
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>
</tr>
</thead>
<tbody>
<tr>
<td>Retirement Risk Management and Allocation</td>
<td>Allocations, Risk Management, Profitability vs. Safety-First Strategies</td>
</tr>
<tr>
<td>Retirement Lifecycle Plan</td>
<td>Behavioral Finance, Lifecycles of Planning Events, Accumulation vs. Decumulation Mindset</td>
</tr>
<tr>
<td>Application</td>
<td>Retirement Planning Best Practices, Planning Methods, Account Location and Product Selection</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.

PRICING
2023 Open Enrollment Rate: $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.

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

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.

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

Basic Member | $895 USD

Discounts available with Signature and Elite Institute memberships. Group rates are available.

Accepting Premier-Quality CE Hours
CMA, CPA, CIMA, CFP® CE

Learn More:
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
  o Projecting College Costs and Required Savings
  o Qualified Tuition Programs (529 Plans)
  o Coverdell Education Savings Accounts (CESA)
  o Traditional and Roth IRAs
  o UTMA/UGMA Accounts
  o Taxable Investment Accounts

• Module 2: Financial Aid Planning
  o Determining Financial Need
  o EFC/SAI Methodologies
  o Public vs Private College Comparison
  o Verification and Award Letter Appeals

• Module 3: Planning with Education Tax Deductions and Credits
  o Education Tax Deductions
  o Education Tax Credits

• Module 4: Student Loan Advising
  o Student Loan Options
  o Student Loan Repayment Plans
  o Student Loan Forgiveness Programs

• Module 5: Practical Planning Strategies for Different Client Groups
  o High-Income and High-Net-Worth Individuals
  o Business Owners
  o Divorced Couples and Blended/Modern Families
  o 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

Basic Member $895 USD
Signature Member $671.25 USD
Elite Member $537 USD

Discounts available with Signature and Elite Institute memberships. Group rates are available.

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

LEARN MORE:
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
Discounts available with Signature and Elite Institute memberships. Group rates are available.

LEARN MORE:
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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<th>Basic Member</th>
<th>$195 USD</th>
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| Discounts available with Signature and Elite Institute memberships. Group rates are available.
Created by expert practitioners, this 15.5-hour self-paced course puts you in the shoes of an investment management professional working with individual or institutional clients. 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.

INTENDED AUDIENCE

• This course is intended for professionals new to the investment consulting profession or transitioned from an unrelated field.
• Junior-level advisors
• Advanced practitioners who want to reexamine the fundamentals to reinvigorate their practice
• Advisors on the path to advanced certifications, like the Certified Investment Management Analyst® (CIMA®)

COURSE FORMAT

• Self-paced, online
• Assessment-based (e.g., contains section quizzes)
• Approximately 15.5 hours to complete
• Combination of videos, readings, interactive knowledge checks, and case studies

REGISTRATION & FEES

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<th>Basic Member</th>
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Discounts available with Signature and Elite Institute memberships. Group rates are available.

LEARN MORE:
This assessment-based certificate program addresses the knowledge, skills, and capabilities to pursue superior investment results by including private market investments in their high-net-worth clients’ portfolios. This course is designed for professionals who wish to accelerate their practices by providing private market access to their wealth management clients. The course will break down the various strategies and provide guidance on the role of private market investments in diversified portfolios. Developed by the Investments & Wealth Institute, sponsored by Macquarie Asset Management, the curriculum is a combination of Ivy League-quality with practical application.

**LEARNING OBJECTIVES**

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

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

**COURSE FORMAT**

- Self-paced, online
- Approximately 14.5 hours to complete
- Assessment-based (e.g., contains section quizzes)
- Combination of readings, lectures, sample documents, supplemental videos, and case studies

**Intended Audience:**

The Private Markets for Advisors certificate program is designed for advisors who wish to evolve their practices to better serve the needs of high-net-worth investors by learning how to provide access to more sophisticated solutions.

**Course Format:**

- Self-paced
- Assessment-based (e.g., contains section quizzes)
- Approximately 12 hours to complete
- Combination of videos, readings, interactive knowledge checks, and case studies

**REGISTRATION & FEES**

| Basic Member | $595 USD |

Discounts available with Signature and Elite Institute memberships. Group rates are available.

![ACCEPTED FOR UP TO 12 PREMIER-QUALITY CE HOURS CIMA®, CPWA®, RMA® & CFP® CE]
Private Wealth Essentials is an introduction to working with private wealth clients. This 14.5-hour course focuses on the specific needs of high-net-worth (HNW) clients in five core areas:

- Tax strategies and planning
- 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. Participants will explore the needs of each client profile in each core area with the guidance of an expert.

**LEARNING OBJECTIVES**

**Module 1:** Discuss the ways in which an advisor can add value to the client experience.

**Module 2:** Describe best practices in the tax planning process for HNW clients.

**Module 3:** Explain how the additional portfolio choices available to HNW clients relate to tax savings opportunities.

**Module 4:** Apply a model for determining appropriate usage of the tools of asset protection.

**Module 5:** Explain the tax treatment of a donation based on the type of asset donated and the type of charity receiving the donation.

**Module 6:** Describe the key elements of a typical HNW estate plan as they relate to the client, spouse, children, grandchildren, and charities.

**Module 7:** Apply the appropriate talking points given the client profile and service required.

**COURSE FORMAT**

- Self-paced, online
- Approximately 14.5 hours to complete
- Assessment-based (e.g., contains section quizzes)
- Combination of readings, lectures, sample documents, supplemental videos, and case studies
Partners & Sponsors