



June 22, 2018

Ms. Susan Baber
Investments & Wealth Institute
5619 DTC Parkway, Suite 500
Greenwood Village CO 80111

Reference: **FR2018-0612-0086/H**
Link Reference : FR2018-0403-0113

Org Id :91059

REVIEW LETTER

1. CIMA Client Brochure
Rule: FIN 2210
8 Pages

Fee: \$125

Total Fee: \$125

Attention: Ms. Susan Baber

This brochure generally appears consistent with applicable standards. However, we note the following:

This review covers the revised version of the brochure provided on June 22, 2018.

When used by FINRA member firms, the firm's name must be clearly and prominently set forth in the material pursuant to FINRA Rule 2210(d)(3)(A).

Finally, this review is not an endorsement in whole or of any part of the CIMA certification program.

Reviewed by,

Michael G. Berkovich
Associate Principal Analyst

mgb



***NOTE:** This review is limited to the communication that was filed. We assume that the communication does not omit material facts, contain statements that are not factual, or offer opinions that do not have a reasonable basis. This communication may be described as "Reviewed by FINRA" or "FINRA Reviewed"; however, there must be no statement or implication that this communication has been approved by FINRA.*

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