“Where Exceptional Advisors turn for Ivy League-quality education with practical application.”
For more than 35 years, Investments & Wealth Institute has been the leading certifying body and membership organization for advanced financial service professionals. Our CIMA®, CPWA®, and RMA® certification programs educate advisors and ensure they have the knowledge to competently provide investment, wealth management, and retirement solutions to high-net-worth clients and institutions.
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The Investments & Wealth Institute is a non-profit professional association, advanced education provider, and certification board.

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.

Our Purpose
1. Improve the professionalism of its certificants and members through education and certification programs.
2. Develop and encourage the practice of high standards of professional conduct.
3. Promote and protect the interests of the profession and the public it serves.
4. Broaden public understanding of investment consulting and wealth management.
VOLUNTEER BOARD OF DIRECTORS

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

Elizabeth “Libet” Anderson, 
CIMA®, President 
ProEquities, Inc. 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.

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

Brian Konish, 
CFP®, CPWA®, Managing 
Director Investments, Wells 
Fargo Advisors and IWI Board 
of Directors

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

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

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

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

Scott Welch, 
CIMA®, TIWI Board Officer & 
IWI Board of Directors Chief 
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CIMA®, CHSA®, Co-Founder 
Renaissance Wealth 
Advisors, LLC and IWI Board 
of Directors

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

Douglas D. Hanson, 
CIMA® 
Charles Schwab and 
Institute Board of Directors
Deidre Waltz,
CIMA®, CPWA®
Heritage Trust Company
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
**DEMOGRAPHICS**

**AVERAGE AUM**
$364 M

**ASSETS UNDER MANAGEMENT**
$2.477 TRILLION

**CURRENT CERTIFICANTS**

<table>
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<tr>
<th>Certification</th>
<th>Members</th>
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<tbody>
<tr>
<td>CIMA</td>
<td>8,606</td>
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<tr>
<td>CPWA</td>
<td>2,558</td>
</tr>
<tr>
<td>RMA</td>
<td>247</td>
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**MEMBERS**
15,000+

**Years of Experience**

<table>
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<tr>
<th>Experience</th>
<th>&lt; 5</th>
<th>5-9</th>
<th>10-14</th>
<th>15-19</th>
<th>20+</th>
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<tbody>
<tr>
<td>%</td>
<td>7.1</td>
<td>9.4</td>
<td>13.9</td>
<td>13.2</td>
<td>56.5</td>
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</table>

**Wirehouse** 35%

**Hybrid RIA** 13%

**National & Reg B/D** 16%

**Retail Bank** 1%

**Insurance BD** 1%

**IBD** 10%

**Fee/Commision Mix**

- Commission Only: 3%
- Fee-based (51-90% Fees): 8%
- Fee-only (>90% Fees): 43%
- Fee-only (90%+ Fees): 46%

**Demographics**

- 9.5% Millennial <36
- 35.5% Gen-X 36-51
- 52.1% Baby Boomers 52-70
- 2.9% Silent Generation >71

**Benefits**

- Earn more
- Manage more AUM
- Oversee a greater percentage of client wallet share
- Hold more leadership roles within their firms
- Gain confidence
- Demonstrate specialized knowledge

2022 Partner Guide
Institute members manage more assets for affluent clients than the average advisor.

25% of Institute members work in practices with $500M+ AUM.
43% of Institute members have institutional clients.
75% of Institute members’ clients have a net worth between $500K and $10M.
New for 2022! 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 IWI Scholarship Fund.

<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 $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>
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<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>
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<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>• Priority Selection of booth or tabletop before exhibitors.</td>
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<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>• 1x use of attendee lists (both pre-and post event).</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>• Participation in VIP events.</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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</table>

Invest $20,000 and be recognized as a Corporate Partner. This includes being listed on our Corporate Partner page and being able to use our corporate partner logo to show your support of the Institute (for approved uses only).
2021 EVENTS

Investment Advisor Forum December 7-8, 2021 (Virtual)
- Virtual Sponsor: $20,000
- Virtual Exhibitor: $15,000
- Virtual Exhibit + EdTalk: $18,000

2022 EVENTS

Investments & Wealth Forum January 31-February 1, 2022
- Diplomat Beach Resort, Hollywood, Florida
  - Exhibitor: $15,000
  - Sponsor: $20,000

ACE Academy May 15-18, 2022 Nashville Music City
- Center, Nashville, Tennessee
  - ACE Academy Nashville Exhibitor: $15,000
  - ACE Academy Nashville Exhibit + EdTalk: $20,000
  - ACE Academy Nashville Sponsor: $30,000

Investments & Wealth Forum Canada, October 3, 2022,
- Omni King Edward Hotel, Toronto, Ontario
  - Sponsor: US$15,000
  - Table Host: US$3,000 (includes 10 registrations)

Investments & Wealth Forum, December 1-2, 2022,
- Marriott Marquis, New York, NY
  - Exhibitor: $15,000
  - Sponsor: $20,000

KNOWLEDGE CENTERS

Annual Sponsorship RIA Center for Excellence: $50,000
Annual Sponsorship Investment Consulting Center: $50,000
Annual Sponsorship Private Wealth Advice Center: $50,000
Annual Sponsorship Retirement Advice Center: $50,000
Annual Sponsorship Advanced Financial Planning Center: $50,000
Annual Sponsorship THRIVE Center for DEI: $50,000

Knowledge Center sponsors include one conference and one webinar. Content only Knowledge Centers Sponsorships available for $20,000.

WOMEN IN WEALTH

Annual Sponsorship: $30,000
Associate Sponsorship: $10,000

DIVERSITY ELEVATES

Annual Sponsorship: $30,000
Associate Sponsorship: $10,000

WEBINARS

Sponsored Webinar: $15,000
Sponsored Webinar + Blog: $18,000
3-Part Webinar Series: $40,000

RESEARCH

Institute will publish and distribute your supplied research in an issue of Investments & Wealth Research: $50,000
Institute will design questionnaire and field survey to our members, tabulate results and distribute and publish in Investments & Wealth Research: $150,000+

SCHOLARSHIP SPONSOR

Your firm may provide an educational grant to support scholarships to your employees, or a specific group of advisors (e.g., Women/NexGen) for any Institute CIMA®, CPWA®, or RMA® program: $25,000+

Note: See Publications Rate Card on page 17

All merit-based speaking opportunities must be approved by Investments & Wealth Institute.
Save the Date
ACE Academy May 15-18, 2022
Nashville Music City Center
INVESTMENT ADVISOR FORUM 2021

December 7-8, 2021 (Virtual)

This is the industry’s premier portfolio management forum. Individuals will master advanced portfolio management techniques from industry heavy weights, political experts and practitioners. Investment advisors and wealth managers are drawn to this long-standing marquee event.

Estimated attendance: 500+

INVESTMENTS & WEALTH FORUM CANADA

October 3, 2022
Omni King Hotel, Toronto, Ontario

Featuring academic and practitioner-oriented sessions across the broad spectrum of topics, this forum is specifically designed for the Canadian community of advanced practitioners engaged in holistic retirement planning, investment strategies, wealth management, retirement income, risk management, and behavioral finance.

Estimated attendance: 100+

INVESTMENTS & WEALTH FORUM–FOCUS ON RETIREMENT

January 31 to February 1, 2022

Diplomat Resort & Spa, Hollywood, Florida

Featuring practitioner-oriented sessions across the broad spectrum of retirement management topics, this forum is specifically designed for those advisors engaged in holistic retirement planning. Topics include a mix of investment strategies, wealth management, retirement income, and risk management.

Estimated Attendance: 350+

ACE ACADEMY NASHVILLE

May 15-18, 2022
The Music City Center, Nashville, Tennessee

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.

Estimated attendance: 1,000+

INVESTMENTS & WEALTH FORUM

December 1-2, 2022
Marriott Marquis, New York, NY

This is the industry’s premier portfolio management forum. Individuals will master advanced portfolio management techniques from industry heavy weights, political experts and practitioners. Investment advisors and wealth managers are drawn to this long-standing marquee event.

Estimated attendance: 500+
Knowledge Centers are designed to provide financial advisors, wealth advisors, investment consultants, financial planners, and industry leaders with high-quality research, best practices, and information. Each Knowledge Center provides curated content around a specific body of knowledge, in order to connect advisors with educational offerings, and to provide a space to build community and engage with other professionals.

**Knowledge Centers**

- **Investment Consulting Center**
  - CIMA®
  - CERTIFIED INVESTMENT MANAGEMENT ANALYST®

- **Private Wealth Center**
  - CPWA®
  - CERTIFIED PRIVATE WEALTH ADVISOR®

- **Retirement Advice Center**
  - RMA®
  - RETIREMENT MANAGEMENT ADVISOR®

- **Advanced Financial Planning Center**

- **Thrive Center for Diversity, Equity & Inclusion**

- **Center for RIA Excellence**

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**Resources**

- White Papers
- Videos
- Articles & Links
- Podcasts
- Micro-Learning
- Discussions
- Community Shared Resources
- Sponsored Shared Resources

[www.investmentsandwealth.org/knowledge-centers-overview](http://www.investmentsandwealth.org/knowledge-centers-overview)
Networking Receptions
- Investments & Wealth Forum, January 2022, Hollywood, FL
- ACE Academy, May 2022, Nashville, TN
- Investments & Wealth Forum, November 2022, New York, NY
- Plus two dedicated webinars in 2022

Annual Sponsorship
- Recognition and registrations for all in-person events.
- Recognition in e-newsletters, publications and marketing of events.
- Sponsor recognition on website and at events.
- One panelist at one of the web seminars.
- Hosted table for up to 10 advisors.

Associate Sponsorship
Hosted table for up to 10 advisors at each in-person event. Recognition at events.
Meaningful change within an industry or a profession cannot be achieved by acting alone. There are many organizations and companies within financial services that have developed exceptional diversity and inclusion initiatives, and the THRIVE Coalition aims to connect with these initiatives through alliances and a shared resource center so that the industry and its ambassadors are aligned in its collective effort to foster a more diverse and sustainable workforce within the financial advisor profession.

**THRIVE Council of Ambassadors Co-Chairs**

- Garry Bridgeman, CIMA®, Past-Chair, Investments & Wealth Institute, Board of Directors
- Kevin Sánchez, CIMA®, CPWA®, CFP®, UBS Institutional Consulting, Past-Chair, Institute Board of Directors

**Annual Partner Support**

- Recognition in THRIVE Center for Diversity, Equity & Inclusion.
- Panelist on Diversity Elevates Webinar (date TBD).
- Complimentary registrations to Diversity Elevates Webinars.
- Participation in Scholarship Fund to support educational programs targeted to underrepresented professionals.
- Participation on THRIVE Council of Ambassadors.

**Associate Partner Support**

- Recognition in THRIVE Center for Diversity, Equity & Inclusion.
- Complimentary registrations to Diversity Elevates Webinar.
- Participation in Scholarship Fund.
- Participation on THRIVE Council of Ambassadors.
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.

- 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.
**Investments & Wealth Monitor**

Published bimonthly (six issues per year) “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.

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<th>2022 EDITORIAL CALENDAR</th>
<th>RESERVATIONS DUE</th>
<th>MATERIALS DUE</th>
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<tr>
<td>Investment Management (January/February)</td>
<td>November 2, 2021</td>
<td>December 1, 2021</td>
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<td>Demographics (March/April)</td>
<td>January 3, 2022</td>
<td>February 1, 2022</td>
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<tr>
<td>Sustainability Investing (May/June)</td>
<td>March 1, 2022</td>
<td>April 1, 2022</td>
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<td>Role and Use of Alternatives (July/August)</td>
<td>May 2, 2022</td>
<td>June 1, 2022</td>
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<td>Private Wealth (September/October)</td>
<td>July 1, 2022</td>
<td>August 2, 2022</td>
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<td>Longevity Risk (November/December)</td>
<td>September 1, 2022</td>
<td>October 1, 2022</td>
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**PRINT EDITION: FULL-PAGE, FOUR COLOR RATES (NET)**

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<th>FREQUENCY: 1-5X</th>
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<tr>
<td>Standard Page (Inside)</td>
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<tr>
<td>Table of Contents (TOC)</td>
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<td>$3,465</td>
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<td>Cover 3 (Inside Back Cover)</td>
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<tr>
<td>Cover 4 (Back Cover)</td>
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**Note:** All rates are net. Covers and premium positions are non-cancellable.

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Note: The Institute does not endorse any products or services advertised in *Investments & Wealth Monitor*. Advertisements must be used only for the purpose of promoting the advertiser’s products or services and are not to be used for recruiting. We reserve the right to approve or reject any advertisement.
PUBLICATIONS

Investments & Wealth Research
Published up to 6 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 AbsoluteEngagement.

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.

GENERAL REQUIREMENTS:
Only full-page ads accepted
Trim Size: 8.375 x 10.875”
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 covers)

NON-BLEED AD SIZES:
Trim size: 8.375 x 10.875”

INSTRUCTIONS:
Send materials to:
Debbie Nochlin
Managing Editor
Investments & Wealth Institute
5619 DTC Parkway, Suite 500
Greenwood Village, CO 80111
dnochlin@i-w.org
Email Submission Preferred

PRODUCTION PERSONNEL
Debbie Nochlin
+1 303-898-6152
dnochlin@i-w.org
CERTIFICATIONS AT-A-GLANCE
The Institute’s certifications stand out for their combination of sophisticated technical knowledge and practical application. What unites all of the Institute’s educational offerings is our emphasis on quality and our competency matrix which outlines all of the knowledge domains and core topic areas required to be an Exceptional Advisor.

• CIMA® certification is an advanced professional certification for financial advisors and investment consultants that provides sophisticated investment knowledge, along with the practical tools to meet the real-world needs of individual and institutional investors.

• CPWA® certification is an advanced professional certification for advisors who provide the breadth of specialized skills required to meet the needs of sophisticated high-net-worth clients.

• RMA® certification is an advanced certificate program and pathway to certification that focuses on building custom retirement income plans to mitigate clients’ risks and to master the retirement planning advisor process, all within an increasingly regulatory environment.
# CERTIFICATIONS

<table>
<thead>
<tr>
<th>Registered Education Provider</th>
<th>Contact Information</th>
<th>Executive Education Cost</th>
<th>Test Prep</th>
<th>Cost Includes</th>
<th>Format</th>
<th>Length</th>
<th>Location</th>
<th>Websites</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yale School of Management</td>
<td>Jim Dobbs, CIMA®, CPWA®, CFP® Program Director +1 720-224-1530 Toby Moskowitz, PhD. Faculty Advisor Online Education Program</td>
<td>*$4,500</td>
<td>Included</td>
<td>40-hour education course and test-prep materials</td>
<td>100% online</td>
<td>Candidates study at their own pace and have access for up to one year</td>
<td>Online</td>
<td></td>
</tr>
<tr>
<td>Wharton University of Pennsylvania</td>
<td>Anastasia Voutsinas Director Client Relations +1 215-898-1776 (Worldwide) +1 800-255-3932 (U.S. or Canada)</td>
<td>*$6,850 (ip/h) *$4,850 (v)</td>
<td>+$795 Wiley Test Prep</td>
<td>Accommodations and meals</td>
<td>In-Person (ip) Virtual (v) Hybrid (h)</td>
<td>4.5 days in-person</td>
<td>In-person education at the Wharton campus in Philadelphia, PA</td>
<td></td>
</tr>
<tr>
<td>Chicago Booth The University of Chicago Booth School of Business</td>
<td>Rebecca Meyer Associate Director +1 312-423-8037 Executive Education +1 312-464-8732 Main Phone</td>
<td>*$4,950</td>
<td>Included</td>
<td>2-day in-person workshop (does not include accommodations)</td>
<td>10% in-person</td>
<td>3.5 months 2 days in-person</td>
<td>In-person workshop at the Chicago Booth School of Business, Gleacher Center, Chicago, IL</td>
<td></td>
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</tbody>
</table>

*Prices subject to change in 2022
<table>
<thead>
<tr>
<th><strong>Certifications</strong></th>
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<tbody>
<tr>
<td><strong>CPWA® Intensive LIVE</strong></td>
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<tr>
<td><strong>Format</strong></td>
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</tr>
<tr>
<td>100% virtual</td>
<td>90% self-study 10% in-person</td>
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<tr>
<td><strong>Length</strong></td>
<td></td>
</tr>
<tr>
<td>Candidates study at their own pace and have access for up to one year</td>
<td>6 months self-study 4.5 days in-person</td>
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<tr>
<td><strong>Location</strong></td>
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<tr>
<td>Online</td>
<td>In-person workshop at the Chicago School of Business, Gleacher Center, Chicago, IL</td>
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<td><strong>Websites</strong></td>
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*Prices subject to change in 2022*
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<tbody>
<tr>
<td><strong>Steps</strong></td>
<td><strong>Step 1</strong></td>
<td><strong>Step 2</strong></td>
<td><strong>Step 3</strong></td>
</tr>
<tr>
<td>RMA Online Course</td>
<td>RMA Online Course</td>
<td>Exam</td>
<td></td>
</tr>
<tr>
<td><strong>Executive Education Cost</strong></td>
<td></td>
<td></td>
<td>$2,495</td>
</tr>
<tr>
<td><strong>Cost Includes</strong></td>
<td>Online course, printed textbook, education capstone, and first examination. Up to 40 hours of CE credit towards CIMA®, CPWA®, and CFP® certifications.</td>
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<tr>
<td><strong>Format</strong></td>
<td>Online</td>
<td>In-person at RMA® Capstone or online</td>
<td>In-person at RMA® Capstone or online</td>
</tr>
<tr>
<td><strong>Length</strong></td>
<td>25 hours of self-study</td>
<td>2 days in-person 15.5 hours of self-study</td>
<td>3 hours to complete exam</td>
</tr>
<tr>
<td><strong>Location</strong></td>
<td>Online</td>
<td>In-person education at the Wharton campus in Philadelphia, PA</td>
<td>In-person workshop at the Chicago Booth School of Business, Gleacher Center, Chicago, IL</td>
</tr>
<tr>
<td><strong>Websites</strong></td>
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</table>

Private group classes are available through our registered education providers for CIMA® and CPWA® certifications and through the Institute for CPWA® and RMA® certifications at either a conference center, or your own training facilities. Please contact your Institute representative to learn more.
Online Certificate Programs
Exceptional Advisors are life-long learners who have asked the Institute for convenient online certificate programs to help them advance their knowledge while earning continuing education (CE) credits. Whether you are looking to brush up on a specific subject, or venture in to a new area to expand your client service, we have several assessment-based programs for you. Here are our most popular programs.

<table>
<thead>
<tr>
<th><strong>PRIVATE WEALTH ESSENTIALS</strong></th>
<th><strong>REGISTRATION</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>This course is an introduction to working with private wealth clients. This 10-12-hour course focuses on the specific needs of high-net-worth clients through seven modules covering the following core topic areas: Private Wealth Management Basics, Tax Strategies, Portfolio Management, Asset Protection &amp; Risk Management, Charitable Giving, Estate Planning, and Client Profile Review.</td>
<td></td>
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<tr>
<td>$895 per student</td>
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<tr>
<td>Up to 14.5 CE hours</td>
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</table>

Instructors include PJ Marinelli, President, RiverGlades Family Offices, Tim Steffen, Director of Advanced Planning, Baird Private Wealth Management, David Wolf, Elizabeth Morgan, JD, Owner, Elizabeth Morgan & Associates, Tricia Hollander Henning, Senior Vice President/Partner, The Hollander Group, Hilliard Lyons, Dierdre Waltz, Director, Wealth Planning Strategist, UBS Financial Services, Inc., and Devin Ekberg, CFA, CIMA®, CPWA®, Senior Consultant, Advisor Education, PIMCO

<table>
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<tr>
<th><strong>APPLIED BEHAVIORAL FINANCE</strong></th>
<th><strong>REGISTRATION</strong></th>
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<tbody>
<tr>
<td>This course is designed to address how advisors can help investors avoid being tripped up by their behavior when making common financial decisions. With 20 hours of CE, content is delivered by leading behavioral finance experts including: Meir Statman, Dan Ariely, Andrew Lo, Toby Moskowitz, and Courtney Pullen. Topic highlights include: Why Behavioral Finance? Principles, Investing, and Communicating with Clients.</td>
<td></td>
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<tr>
<td>$895 per student</td>
<td></td>
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<tr>
<td>20 CE hours</td>
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<tr>
<th><strong>ESSENTIALS OF INVESTMENT CONSULTING</strong></th>
<th><strong>REGISTRATION</strong></th>
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</thead>
<tbody>
<tr>
<td>This course is designed for advisors and their teams to learn core topics related to the investment consulting process. Comprised of two courses (10 total modules), the Investment Consulting Process and Math for Investment Consultants, the program covers fundamental concepts and applications, including portfolio construction, investment types, manager selection, performance measurement, investment policies, and math for managing money for portfolio growth.</td>
<td></td>
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<tr>
<td>$895 per student</td>
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<tr>
<td>15 CE hours</td>
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</table>
ENDOWMENTS AND FOUNDATIONS CONSULTING
This course teaches advanced methods for institutional investment consulting with endowments and foundations clients. Learn the unique dynamics of advising non-profit clients, key principles of consulting and investment management, and best practices for maintaining rewarding relationships. Seven segmented modules cover; Fundamentals of Non-Profit Organizations, Investment Policy Statements, Portfolio Construction, SRI, ESG, and Impact Investing, Performance Monitoring, Outsourcing Discretionary Management, and Serving Endowment and Foundation Clients.

REGISTRATION
$895 per student
13 CE hours

THE EXCEPTIONAL ADVISOR®
Communicate Your Value & Build Client Engagement. Participants will learn how to communicate the value of their credentials, expertise, and ethics to their clients. The program will help advisors develop communication and action plans to better understand what clients consider important, provide meaningful guidance, demonstrate advanced knowledge through credentials, and highlight their commitment to ethics.

REGISTRATION
$195 per student
5 hours of CE including
1 hour of Ethics CE

INVESTMENT MANAGEMENT ESSENTIALS
Investment Management Essentials is an online course that puts you in the shoes of an investment management professional working with individual or institutional clients. Though you may or may not ultimately fill that position, you can have easier conversations with industry peers, prospects, and clients by elevating your investment knowledge beyond the basics.

REGISTRATION
$895 per student
15.5 hours of CE

Certificate Program Group Rates starting with 10 registrations.
Private Groups starting with 25 registrations.

COMING SOON
- New Program: Private Investment for Advisors
To Learn more about Investments & Wealth Institute and our certifications, events and education programs, visit us at www.investmentsandwealth.org

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