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Investments & Wealth Institute is a CE Quality Partner.
2021 Can’t Come Soon Enough!

The COVID-19 crisis of 2020 was one for the record books, however it was also a year of accelerated innovation. We made remarkable strides with artificial intelligence, robotics, quantum computing, aerospace, genomics, blockchain, and 5G. Remarkably, grandparents all over the world learned to use “Zoom” with their grandchildren – as well as with their financial advisors. For the Investments & Wealth Institute, 2020 was a pivotal year. We faced significant uncertainty, like the cancellation of our ACE Boston Annual Conference, but we were able to deliver “ACE Unplugged” on-demand. We retooled our business, adopted new technologies, and found ways to engage our members, candidates, and CIMA®, CPWA®, and RMA® certificants as well as the many CFP® holders who come to the Institute for meaningful and practical Continuing Education programs.

As we enter 2021, our business will continue to be conducted differently. However, the Institute is steadfast and dedicated to serving the educational needs of advanced investment and wealth professionals. We will continuously raise the bar of the knowledge and professionalism of advisors to better serve the investing public. We are proud of our 35+ year history and our prestigious program providers including: The University of Chicago Booth School of Business, The Wharton School, University of Pennsylvania, and the Yale School of Management.

Your firm can support the Institute in several ways, including funding our Scholarship Fund, Institutional Membership, Corporate Partnerships, Event Sponsorships, Exhibiting, Research, Advertising, and D&I initiatives like our Women in Wealth program. Your support helps us continue to deliver Ivy League-quality education to elevate our industry.

Please let us know how we can help you with your marketing needs and share the best ways to reach our influential members and certificants.

Here’s to a successful 2021! - Lara, Kelly, Suzie and Tim
MEMBER
DEMOGRAPHICS
Institute members are seasoned advisors. They go above what is expected to deliver the standard for investment advice and expert guidance to high-net-worth clients.

More than half bring over 20 years of industry experience!

Source: Cerulli Associates and IWI Member and certification data through August 2020.
26% of Institute members work in a practice with $500+ Million AUM

Institute members work in all advisory channels including Wirehouses, Independents, RIAs, National and Regional Broker-Dealers, Bank and Trust Companies.

The Institute’s membership is comprised of professionals from across the wealth management marketplace who provide investment consulting and wealth management services to both high-net-worth retail and institutional clients.

Source: Cerulli Associates
26% of Institute members work in a practice with $500+ Million AUM

52% of Institute members have individual AUM of $100+ Million versus 33% for other advisors.

Source: Cerulli Associates
Institute members place a greater emphasis on holistic advice, with 55% of their clients receiving comprehensive ongoing planning.

Institute members are more likely to provide investment manager due diligence and offer intergenerational planning and advanced services like charitable planning and trust services.

**Institute Members Offer Advanced Services**

<table>
<thead>
<tr>
<th>Financial Planning Services</th>
<th>IWI Advisors</th>
<th>All Advisors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Retirement Income Planning</td>
<td>93%</td>
<td>93%</td>
</tr>
<tr>
<td>Cash Management or Budgeting</td>
<td>62%</td>
<td>56%</td>
</tr>
<tr>
<td>Intergenerational Planning</td>
<td>57%</td>
<td>29%</td>
</tr>
<tr>
<td>Elder Care Planning</td>
<td>42%</td>
<td>37%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Advanced Financial Planning Services</th>
<th>IWI Advisors</th>
<th>All Advisors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Estate Planning</td>
<td>66%</td>
<td>59%</td>
</tr>
<tr>
<td>Charitable Planning</td>
<td>63%</td>
<td>49%</td>
</tr>
<tr>
<td>Tax Planning</td>
<td>56%</td>
<td>51%</td>
</tr>
<tr>
<td>Trust Services</td>
<td>41%</td>
<td>31%</td>
</tr>
<tr>
<td>Private Banking</td>
<td>22%</td>
<td>18%</td>
</tr>
<tr>
<td>Concierge and Lifestyle Services</td>
<td>19%</td>
<td>15%</td>
</tr>
<tr>
<td>Evaluating 3rd Party Lending Products</td>
<td>16%</td>
<td>11%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Investment Planning Services</th>
<th>IWI Advisors</th>
<th>All Advisors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment Manager Due Diligence</td>
<td>80%</td>
<td>61%</td>
</tr>
</tbody>
</table>

*Total number of services offered* 9.6, 8.9

Source: Cerulli Associates
Institute members manage more assets for affluent clients than the average advisor.

75% of Institute members’ clients have a net worth between $500,000 and $10 million+

Institute members have greater wallet share.

Source: Cerulli Associates
# INSTITUTE 2021 EVENTS

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
<th>Location</th>
<th>In-Person</th>
<th>Livestream</th>
<th>On-Demand</th>
</tr>
</thead>
<tbody>
<tr>
<td>January 27</td>
<td>Focus On: Tax Alpha</td>
<td>Livestream</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>April 25-28</td>
<td>ACE The Exceptional Advisor Forum</td>
<td>Seattle, WA</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>May 26</td>
<td>Focus On: Private Securities</td>
<td>Livestream</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>August 25</td>
<td>Focus On: Behavioral Governance</td>
<td>Livestream</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>September</td>
<td>Wealth Advisor Forum</td>
<td>Chicago, IL</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>October 8</td>
<td>Exceptional Advisor Canada</td>
<td>Toronto, ON</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>November</td>
<td>Investment Advisor Forum</td>
<td>New York, NY</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>December 1</td>
<td>Focus On: Retirement Planning</td>
<td>Livestream</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>January 2022</td>
<td>Retirement Advisor Forum</td>
<td>(TBD)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Partners, Sponsors, & Exhibitors will have rights and benefits to in-person and livestreamed events.
## Event Planner

<table>
<thead>
<tr>
<th>January 2021</th>
<th>February</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June</th>
<th>July</th>
<th>August</th>
<th>September</th>
<th>October</th>
<th>November</th>
<th>December</th>
<th>January 2022</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>ACE Seattle April 25-28</td>
<td></td>
<td></td>
<td></td>
<td>Wealth Advisor Forum Chicago, IL</td>
<td>Exceptional Advisor Canada October 8 Toronto, Canada</td>
<td>Investment Advisor Forum New York, NY</td>
<td>Retirement Advisor Forum (TBD)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Focus On Tax Alpha January 27</td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Focus On Private Securities May 26</td>
<td></td>
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<tr>
<td>Focus On Behavioral Governance August 25</td>
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<tr>
<td>Focus On Retirement Planning December 1</td>
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</tr>
</tbody>
</table>

**Note: Custom and Exclusive Single-Sponsored Focus On, or Webinar Series, Are Available Most Months**

### 2021 Institute Event Sponsorship & Exhibit Fees

<table>
<thead>
<tr>
<th>SPONSOR</th>
<th>EXHIBIT</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACE Seattle – The Exceptional Advisor Forum – April 25-28</td>
<td>$60,000</td>
</tr>
<tr>
<td>Wealth Advisor Forum, September, Chicago, IL</td>
<td>$20,000</td>
</tr>
<tr>
<td>Exceptional Advisor Canada, October 8, Toronto, Canada</td>
<td>$10,000</td>
</tr>
<tr>
<td>Investment Advisor Forum, November, New York, NY</td>
<td>$20,000</td>
</tr>
<tr>
<td>Retirement Advisor Forum, January 2022 (TBD)</td>
<td>$15,000</td>
</tr>
<tr>
<td>Focus On Sponsorship Per Event Per Sponsor (multi-sponsored)</td>
<td>$15,000</td>
</tr>
</tbody>
</table>

Pre-Conference Workshops are available for Sponsorship at: ACE, WAF, and IAF.
# 2021 Hybrid Conferences

**In-Person + Live Streaming + On-Demand**

<table>
<thead>
<tr>
<th>ACE – The Exceptional Advisor Conference</th>
<th>Date</th>
<th>Venue</th>
<th>Attendees*</th>
<th>Exhibitors</th>
</tr>
</thead>
<tbody>
<tr>
<td>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. <em>Marquis Sponsor:</em> $60,000 <em>Exhibitor:</em> $15,000</td>
<td>April 25-28, 2021</td>
<td>Seattle Convention Center</td>
<td>500+</td>
<td>60+</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Wealth Advisor Forum</th>
<th>Date</th>
<th>Venue</th>
<th>Attendees*</th>
<th>Exhibitors</th>
</tr>
</thead>
<tbody>
<tr>
<td>A must-attend forum is designed for CPWA designees, wealth managers, and top advisors who manage the unique and complex needs of high-net-worth clients. This popular event will discuss the most critical topics in wealth management. <em>Sponsor:</em> $20,000 <em>Exhibitor:</em> $15,000</td>
<td>September 2021</td>
<td>Chicago, IL</td>
<td>250+</td>
<td>15+</td>
</tr>
</tbody>
</table>

*IBased on current social distancing guidelines*

*I choose Institute events for insights and thought leadership. Their agenda is strong, and their speakers are amazing.*
## 2021 Hybrid Conferences
### In-Person + Live Streaming + On-Demand

<table>
<thead>
<tr>
<th>EVENT: EXCEPTIONAL ADVISOR CANADA</th>
<th>Dates</th>
<th>Venue</th>
<th>Attendees*</th>
<th>Exhibitors</th>
</tr>
</thead>
<tbody>
<tr>
<td>This event engages today’s most influential practitioners, academics and thought leaders from around the world.</td>
<td>October 8 2021</td>
<td>Toronto Ontario Canada</td>
<td>150+</td>
<td>10+</td>
</tr>
<tr>
<td>Explores current trending topics and relevant strategies around wealth management, retirement, tax, and ethics.</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Table Sponsor $2,950 (Includes 10 registrations)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sponsor: $10,000 (USD)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Exhibitor: $5,000 (USD)</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>EVENT: INVESTMENT ADVISOR FORUM</th>
<th>Dates</th>
<th>Venue</th>
<th>Attendees*</th>
<th>Exhibitors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment advisors and wealth managers are drawn to this long-standing marquee New York City event. Speakers cover timely subjects on portfolio management, alternative investments, investment allocation, investment policy, wealth management, and the U.S. and world economies.</td>
<td>November 2021</td>
<td>New York, NY</td>
<td>250+</td>
<td>15+</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sponsor: $20,000  Exhibitor: $15,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Based on current social distancing guidelines

*The Institute provides the best Continuing Education in the industry.*
2022 Hybrid Conferences
In-Person + Live Streaming + On-Demand

Retirement Management Forum

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.

Sponsor: $15,000  Exhibitor: $10,000

<table>
<thead>
<tr>
<th>Dates</th>
<th>Venue</th>
<th>Attendees*</th>
<th>Exhibitors</th>
</tr>
</thead>
<tbody>
<tr>
<td>January 2022</td>
<td>(TBD)</td>
<td>250+</td>
<td>10+</td>
</tr>
</tbody>
</table>

*Based on current social distancing guidelines

“I always learn something that I can immediately apply to my practice.”
Focus On

Each quarterly Focus On event features several 1-hour sessions, delivered in succession, with top subject matter experts covering timely topics and providing practical and actionable advice. Participants have the flexibility of attending some, or all the sessions. Interactive chat is available with the presenters to enhance engagement and archives are available post-event.

Focus on Tax Alpha
January 27, 2021
11 a.m.–3:30 p.m. ET
High-net-worth clients want much more than simple investment tax-efficiency. They demand holistic TAX ALPHA that looks at all their financial moves through the lens of optimizing after-tax outcomes. This event provides strategic and actionable insights by advisors and for advisors to stay laser-focused on their clients’ 2021 tax situation.

Focus on Private Securities
May 26, 2021
11 a.m.–3:30 p.m. ET
Private securities are a critically important asset that institutions and high-net-worth investors cannot afford to exclude from their portfolios. Academic and practitioner experts provide up-to-the-minute information about private equity and credit, including the impact of the pandemic on the sector. This event is designed for institutional consultants and wealth advisors to develop a competitive edge by providing access to this key market.

Focus on Behavioral Governance
AUGUST 25, 2021
11 a.m.–3:30 p.m. ET
Saying you are a fiduciary no longer sets you apart when everyone claims to be one. Behavioral governance is a framework to establish credibility, trust, and build influence with advisors who truly want to differentiate themselves as a leader and steward. This event is especially designed for advisors that lead or advise organizations, investment committees, families, and other group dynamics.

Focus on Retirement Planning
DECEMBER 1, 2021
11 a.m.–3:30 p.m. ET
Retirement planning must be a client-centric process and address the unique mindsets retirees face as they transition from accumulation to decumulation. Drawn from the RMA® curriculum, this event highlights practical frameworks for developing a Household Balancesheet™ as the center of a financial plan, mitigating retirement risk, and goals-based portfolio construction.

Each online Focus On program is 4.5 hours.

Sponsor Rights and Benefits
Ability to provide content (with the Institute review and approval). Sponsor recognition in pre-event registration marketing. Recognition during day-of-event activities. Verbal sponsor recognition during sessions and color logo featured in slide shows. Opportunity to offer participants downloadable content assets. Complimentary registrations to sessions for your firm and your clients. Access to archives. Rights to post-event attendee list.

Focus Online Sponsorship: $15,000 per event (Branding Only: $12,000 for series)

Note: Platinum and Gold Partners receive these sponsorship rights and benefits.
## ACE 2021 Rights & Benefits

**Benefits ACE 2021 April 25-28 Seattle, Washington**

<table>
<thead>
<tr>
<th>MARQUEE PARTNER</th>
<th>EXHIBITOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>$60,000</td>
<td>$15,000</td>
</tr>
<tr>
<td>Exhibit booth.</td>
<td>20’×10’</td>
</tr>
<tr>
<td>Option to purchase additional exhibit space.</td>
<td>✓</td>
</tr>
<tr>
<td>Complimentary registrations.</td>
<td>4</td>
</tr>
<tr>
<td>Discounts on publication sponsorships.</td>
<td>20%</td>
</tr>
<tr>
<td>Participation in Scholarship Fund</td>
<td>✓</td>
</tr>
<tr>
<td>Color logo on conference pages of website with link to firm home page.</td>
<td>✓</td>
</tr>
<tr>
<td>Color logo in brochure.</td>
<td>✓</td>
</tr>
<tr>
<td>Recognition as an Institutional Partner</td>
<td>✓</td>
</tr>
<tr>
<td>Color logo and firm description in printed onsite materials.</td>
<td>✓</td>
</tr>
<tr>
<td>Color logo, firm description (with links), and handouts posted in conference app.</td>
<td>✓</td>
</tr>
<tr>
<td>Verbal sponsor recognition and color logo featured in select slide shows.</td>
<td>✓</td>
</tr>
<tr>
<td>One &quot;Bonus Opportunity&quot; included and ability to purchase additional opportunity.</td>
<td>✓</td>
</tr>
<tr>
<td>Rights to pre- and post-conference attendee list. Mailer must be pre-approved. No email addresses are released.</td>
<td>2x</td>
</tr>
<tr>
<td>Merit-Based speaking opportunity. Institute must approve the topic &amp; speaker.</td>
<td>✓</td>
</tr>
<tr>
<td>Full-Page, Four-Color Ad in <em>Investments &amp; Wealth Monitor</em>.</td>
<td>✓</td>
</tr>
<tr>
<td>Opportunity to recommend a speaker/topic for 20 minute “EdTalk” in exhibit hall. Subject to availability. Institute must approve topic &amp; speaker.</td>
<td>✓</td>
</tr>
</tbody>
</table>

Note: Also included are Livestream Platform Rights & Benefits (see page 21).
# Conference Sponsor & Exhibitor Rights & Benefits

## CONFERENCE RIGHTS & BENEFITS (ACE, WAF, EAC, IAF)

<table>
<thead>
<tr>
<th>Description</th>
<th>SPONSOR</th>
<th>EXHIBITOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>One 6’ tabletop exhibit at conference</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Complimentary registrations</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>Discounts on ads in <em>Investments &amp; Wealth Monitor</em> and <em>Retirement Management Journal</em></td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Verbal sponsor recognition and color logo featured in select slide shows</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Color logo on conference pages of website with link to firm homepage</td>
<td>✓</td>
<td>Listing with link</td>
</tr>
<tr>
<td>Logo in conference promotional materials</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Logo and description in onsite materials</td>
<td>✓</td>
<td>Description only</td>
</tr>
<tr>
<td>Color logo, firm description (with links), and handouts posted in conference app.</td>
<td>✓</td>
<td>Description &amp; Link</td>
</tr>
<tr>
<td>Rights to pre- and post-conference use of attendee list. Mailer must be pre-approved. No email addresses are released.</td>
<td>2x</td>
<td>1x</td>
</tr>
<tr>
<td>One “Bonus Opportunity” included and ability to purchase additional Bonus Opportunity</td>
<td>✓</td>
<td></td>
</tr>
</tbody>
</table>

Note: Also included are Livestream Platform Rights & Benefits (see page 21).
### Virtual Conference Livestream Rights & Benefits

<table>
<thead>
<tr>
<th>Benefits for Chime Live Livestreamed Events</th>
<th>Sponsor</th>
<th>Exhibitor</th>
<th>Host</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registrations for Livestream and On-Demand</td>
<td>13</td>
<td>12</td>
<td>10</td>
</tr>
<tr>
<td>Firm Logo and Description in Chime Live App</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Firm Logo Recognition in Select Slide Shows</td>
<td>Logo</td>
<td>Listing</td>
<td></td>
</tr>
<tr>
<td>Post White Paper(s) and Video(s) in Chime Live App</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Hosted Breakout Sessions with Attendees During Breaks</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Opportunity to Introduce a Speaker</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>One (1) Polling Question in Chime Live App</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Opportunity to submit 30 Minute Pre-Recorded “EdTalk”</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Logo in Select Presentation Slides Recognizing Sponsors</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recognition of Conference Website Pages</td>
<td>Logo</td>
<td>Listing</td>
<td></td>
</tr>
<tr>
<td>Recognition in Conference Promotions</td>
<td>Logo</td>
<td>Listing</td>
<td></td>
</tr>
<tr>
<td>Rights to Mailing List Usage (no emails)</td>
<td>Pre &amp; Post</td>
<td>Post Event</td>
<td></td>
</tr>
</tbody>
</table>

Note: Breaks with Exhibitors will be scheduled throughout the agenda.
Use your own Zoom account, or +$850 within Chime Live.
EdTalks will be pre-recorded and on-demand. Content must be approved by the Institute.
Virtual Event Livestream Benefits

Registrants can create their own agenda
Live streaming can be rewound and replayed and archives available post event
Interactive Q&A During Presentations
Interactive Polling Throughout Event for Sponsors
Virtual Exhibit Hall:
  Videos, White Papers, Contact Information, Logos, Branding
  Private “Zoom” rooms for sponsors to meet with attendees
  Ed Talks, or open discussions with Portfolio Managers
  Virtual Swag
  Virtual Happy Hour
Attendee Engagement
  Via the chat feature (up to 5 people)
  One-on-one messaging
  Social “Zoom” rooms
Surveys located directly in the platform
Speaker presentations, handouts and other file assets can be downloaded
Notes may be taken during sessions and emailed post-event
CE reporting is automatic
Virtual Exhibit Hall

- Logo/Branding
- Shows level of Partnership
- Contact information
  - Website, email, address, etc.
  - Social media links
- Link(s) to video(s)
- Whitepaper uploads
- Booth numbers with location on map (in conjunction with in-person conferences)
- Attendees & Reps message directly within the platform
- Sponsor mini-sessions in “Zoom” exhibit rooms
  - Held during breaks and meals
  - Via private chat rooms
    - EdTalks
    - Shared white paper with discussion
    - Topic of discussion (pre-conference we do a poll about topics attendees are interested in)
- Host happy hours

Providing results-driven event services is at the heart of what we do. As your partner, it’s not just business, it’s personal. We will design and execute a truly successful experience that transforms your vision into reality. No matter where you want to be - across the globe - our people and solutions are there to support you on your planning journey.

For meeting planners, producers or anyone organizing an event, a comprehensive range of services, including theming, audio-visual, entertainment, mobile apps and other digital services.

Contacts
- LinkedIn
- Twitter
- https://www.psalv.com/solutions
Virtual Conference Networking

Ways to Set Appointments
Exhibit representatives may track their own meeting times and schedules

1. IWI communicates with attendees to contact exhibitors and set appointment times.
2. Open the Networking button on platform to Exhibitors to message attendees to an available meeting time slot.
3. Attendees complete their profile and opt in to receive connection requests and messages.
<table>
<thead>
<tr>
<th>Partnership Levels</th>
<th>Institutional Partner Status</th>
<th>ACE Seattle</th>
<th>3 Forum Events WAF, EAC, IAF, RAF (2022)</th>
<th>4 Focus Events</th>
<th>Print Ad 6 Issues</th>
<th>Scholarship Fund</th>
<th>Education Bundle</th>
<th>Individual Institute Memberships</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Platinum Partner</td>
<td>Included</td>
<td>Sponsor</td>
<td>3X Sponsor</td>
<td>2X</td>
<td>2 Issues</td>
<td>5%</td>
<td>20% Promo Code</td>
<td>5</td>
<td>$100,000</td>
</tr>
<tr>
<td>Gold Partner</td>
<td>Included</td>
<td>Sponsor</td>
<td>2X Sponsor</td>
<td>1X</td>
<td>1 Issue</td>
<td>5%</td>
<td>20% Promo Code</td>
<td>5</td>
<td>$85,000</td>
</tr>
<tr>
<td>ACE Marquee Partner</td>
<td>Included</td>
<td>Sponsor</td>
<td></td>
<td></td>
<td></td>
<td>5%</td>
<td></td>
<td>5</td>
<td>$60,000</td>
</tr>
<tr>
<td>Conference Partner</td>
<td>Included</td>
<td>Exhibitor</td>
<td>3X Exhibitor</td>
<td></td>
<td></td>
<td>5%</td>
<td></td>
<td>5</td>
<td>$50,000</td>
</tr>
<tr>
<td>Education Partner</td>
<td>Included</td>
<td>1X Sponsor</td>
<td>1X Sponsor</td>
<td>1 Issue Sponsor</td>
<td>5%</td>
<td>Course Sponsor 20X regs</td>
<td>5</td>
<td>$50,000</td>
<td></td>
</tr>
<tr>
<td>Education Partner (Bronze)</td>
<td>Included</td>
<td>1X Sponsor</td>
<td>1X Sponsor</td>
<td>1 Issue Sponsor</td>
<td>5%</td>
<td>Course Sponsor 20X regs</td>
<td>5</td>
<td>$50,000</td>
<td></td>
</tr>
<tr>
<td>Institutional Partner</td>
<td>Included</td>
<td>Exhibit at one conference!</td>
<td>1 Issue</td>
<td>5%</td>
<td>1 Course Registration</td>
<td>5</td>
<td>$18,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A La Carte Options</td>
<td>$18,000</td>
<td>$15,000 Exhibit</td>
<td>$10-$15K Exhibit</td>
<td>$15,000</td>
<td>Tiered Donation</td>
<td>Group Sales</td>
<td>Group sales</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Certification</td>
<td>Scholarship Fund Donor</td>
<td>Contributions</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research Sponsor</td>
<td>Exclusiive IWR issue</td>
<td>$50,000 + Cost of Research</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pre-conference Sponsor</td>
<td>2 Available</td>
<td>1 at Each</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sponsored Exceptional Advisor Webinar Series</td>
<td>1 hour or 3 Part Series</td>
<td>$18,000 each or $45,000 for the Series</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
ACE Merit-Based Partner Speaking Opportunities
Platinum, Gold, & Marquee Partner

May

<table>
<thead>
<tr>
<th>General Sessions</th>
<th>IWI</th>
<th>IWI</th>
<th>IWI</th>
<th>IWI</th>
<th>IWI</th>
<th>Partner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Super Sessions</td>
<td>IWI</td>
<td>IWI</td>
<td>Partner</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Super Sessions</td>
<td>IWI</td>
<td>IWI</td>
<td>Partner</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Super Sessions</td>
<td>IWI</td>
<td>IWI</td>
<td>Partner</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Workshops</td>
<td>IWI</td>
<td>IWI</td>
<td>IWI</td>
<td>IWI</td>
<td>IWI</td>
<td>Partner</td>
</tr>
<tr>
<td>Workshops</td>
<td>IWI</td>
<td>IWI</td>
<td>IWI</td>
<td>IWI</td>
<td>IWI</td>
<td>Partner</td>
</tr>
<tr>
<td>Workshops</td>
<td>IWI</td>
<td>IWI</td>
<td>IWI</td>
<td>IWI</td>
<td>IWI</td>
<td>Partner</td>
</tr>
<tr>
<td>Workshops</td>
<td>IWI</td>
<td>IWI</td>
<td>IWI</td>
<td>IWI</td>
<td>IWI</td>
<td>Partner</td>
</tr>
</tbody>
</table>

Two (2) ACE Pre-Conference Workshops are available for Sponsorship. (Workshops are scheduled concurrently).

A total of 8 ACE Partner Merit-Based Speaking opportunities. General Session is in-kind opportunity for Keynote Speaker (e.g. Partner covers $125k+ Speaker’s Fee). ACE Merit-Based speaking opportunities offered only to Platinum, Gold, & Marquee Partners. Speaker & Topic must be approved by the Institute. Preference of scheduling based on a first-come first-served basis of signed agreement.
<table>
<thead>
<tr>
<th>Platinum Partner $100,000</th>
<th>ACE 2021</th>
<th>Wealth Advisor Forum</th>
<th>Exceptional Advisor Canada</th>
<th>Investment Advisor Forum</th>
<th>Choice of 2 Focus On Online</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prominent space at all 5 live events. Pick 2 quarterly Focus On events.</td>
<td>One 20’x20’ Island Booth in Prominent Location</td>
<td>First choice 6’ Tabletop Exhibit Location</td>
<td>First choice 6’ Tabletop Exhibit Location</td>
<td>First choice 6’ Tabletop Exhibit Location</td>
<td>2</td>
</tr>
<tr>
<td>Complimentary Registrations.</td>
<td>5</td>
<td>3</td>
<td>3</td>
<td>3</td>
<td>10</td>
</tr>
<tr>
<td>Merit-Based Speaking Opportunity (Approved by IWI)</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Handouts may be posted in the conference app.</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>One customized app message during event</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Recognition and/or color logo on event pages of the Institute website, printed postcards, conference app.</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Recognition and/or color logo on event emails, including confirmation and post event thank you.</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Rights to 2x use pre- and post-event attendee list Mailer must be preapproved. No emails.</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Recognition &amp; color logo in event promotional material, event signage, banner ads, other collateral materials.</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Recognition and/or color logo on onsite event slide show and verbal recognition from main stage.</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Sponsor recognition in promotions &amp; online event.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>✓</td>
</tr>
</tbody>
</table>

- **Rights and Benefits for all Livestream Events.**
- **2 FP4C Print Ads I&W Monitor.**
- **5% towards Scholarship Fund.**

**Other Benefits:**
- Signature drink and appetizer at your ACE booth during one reception.
- Opportunity to recommend “EdTalk” Speaker at ACE.
- Recognition and/or color logo on homepage of the Institute website.
- Priority selection of one Branding Opportunity (additional may be purchased based on availability).
- 20% discount for any employee or affiliate toward online learning programs.
- Institutional Partnership recognition is included in this package.
Gold Partner $85,000

Pick 4 of these 5 live events.
Pick 1 quarterly Focus On event.

<table>
<thead>
<tr>
<th>Choice of 1 Focus On</th>
<th>ACE 2021</th>
<th>Wealth Advisor Forum</th>
<th>Exceptional Advisor Canada</th>
<th>Investment Advisor Forum</th>
<th>Choice of 1 Focus On</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>10</td>
<td>10</td>
<td>10</td>
<td>10</td>
<td>10</td>
</tr>
</tbody>
</table>

Pick 1 quarterly Focus On event.

1. Complimentary Registrations.  
2. Merit-Based Speaking Opportunity (Approved by IWI) ✓
3. Handouts may be posted in the conference app. ✓ ✓ ✓ ✓ ✓
4. Recognition and/or color logo on event pages of the Institute website and conference app. ✓ ✓ ✓ ✓ ✓ ✓
5. Rights to 2x use pre- and post-event attendee list Mailer must be preapproved. No emails. ✓ ✓ ✓ ✓ ✓ ✓
6. Recognition & color logo in event promotional material. ✓ ✓ ✓ ✓ ✓ ✓
7. Recognition and/or color logo on onsite event slide show and verbal recognition from main stage. ✓ ✓ ✓ ✓ ✓ ✓
8. Sponsor recognition in promotions & online event. ✓ ✓ ✓ ✓ ✓ ✓

➢ Rights and Benefits for all Livestream Events.
➢ Opportunity to recommend “Ed-Talk” speaker at ACE.
➢ 1 FP4C Print Ad in I&W Monitor.
➢ 5% towards Scholarship Fund.

Other Benefits:
- Recognition and/or color logo on homepage of the Institute website.
- Priority selection of one Branding Opportunity (additional may be purchased based on availability).
- 15% discount on publication sponsorships.
- 20% discount for any employee or affiliate toward online learning programs.
- Institutional Partnership recognition is included with this package.
## Bronze Conference Partner $50,000

<table>
<thead>
<tr>
<th>Pick 4 of these 5 live events.</th>
<th>ACE 2021</th>
<th>Wealth Advisor Forum</th>
<th>Exceptional Advisor Canada</th>
<th>Investment Advisor Forum</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complimentary Registrations.</td>
<td>3</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Priority Selection of booth or tabletop before other exhibitors.</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Recognition as a Bronze Partner and description in on-site conference materials.</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Rights to 1x use pre- and post-event attendee list</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Mailer must be preapproved. No emails.</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Recognition, color logo, and firm description in conference app.</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>

➢ Rights and Benefits for all Livestream Events.
➢ 5% towards Scholarship Fund.

**Other Benefits:**
- 5% discount on publication sponsorships
- 10% discount for any employee or affiliate toward online learning programs.
- Institutional Partnership recognition is included in this package.
Align your brand to an educational topic including: Investments, Behavioral Finance, Wealth Management, or Retirement Management.

<table>
<thead>
<tr>
<th>Bronze Education Partner $50,000</th>
<th>Investment Advisor Forum</th>
<th>Exceptional Advisor Canada</th>
<th>Wealth Advisor Forum</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Pick Sponsorship of 1 of these events (IAF or EAC or WAF)</strong></td>
<td><strong>6' Tabletop Exhibit</strong></td>
<td><strong>6' Tabletop Exhibit</strong></td>
<td><strong>6' Tabletop Exhibit</strong></td>
</tr>
<tr>
<td>Complimentary Registrations .</td>
<td>3</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>Merit-Based Speaking opportunity at selected live event [Institute must approve].</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Verbal sponsor recognition and color logo featured in select slide shows</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Color logo on conference pages of website with links to firm home page</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Logo in conference promotional materials</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Logo and description in onsite materials</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Color logo and firm description in conference app with link to firm home page</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Rights to pre- and post-conference use of attendee list. Mailer must be pre-approved. No email addresses are provided.</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>One “Bonus Opportunity” and ability to purchase additional Bonus Opportunity</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>One Full-Page, Four-Color ad in Investments &amp; Wealth Monitor</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Recognition of sponsor of correlated Focus On topic and merit-based speaking opportunity at correlated Focus On event.</td>
<td>Focus On Private Securities</td>
<td>Focus On Behavioral Governance</td>
<td>Focus On Tax Alpha</td>
</tr>
<tr>
<td>Sponsorship and 20 Registrations to topical online course.</td>
<td>Essentials of Investment Consulting</td>
<td>Essentials of Investment Consulting</td>
<td>Private Wealth Essentials</td>
</tr>
<tr>
<td>5% towards Scholarship Fund</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>

Other Benefits:
Institutional Partnership recognition is included in this package.
Rights and Benefits to selected Livestreamed Forum.
ACE Marquee Partner $60,000

- 20’x10’ Exhibit Booth (option to purchase additional space).
- 4 Complimentary Registrations.
- Merit-Based Speaking* Opportunity.
- Opportunity to recommend “EdTalk” Speaker* in Exhibit Hall.
- Full-Page, Four-Color Ad* in *Investments & Wealth Monitor.*
- Recognition, logo, and description in onsite conference materials.
- Company logo on conference pages of website with link to firm home page.
- Color-logo and description in conference app with link to firm home page.
- Handouts may be posted in the conference app.
- Verbal sponsor recognition and color logo featured in select slide shows.
- One “Bonus Opportunity” included and ability to purchase additional opportunity.
- Rights to pre- and post-conference attendee list.
- Mailer must be pre-approved (no emails).
- Participation in Scholarship Fund.
- Institutional Partner recognition.

*Institute must approve.
Institutional Partnership

Show Institute members that your firm supports their professional association through Institutional Partnership.

$18,000 Annually Includes:

- 10’x10’ Exhibit at ACE –or- Tabletop at one Forum (WAF, EAC, IAF).
- Listing and posting of a whitepaper on Institute’s website.
- One Full-Page, Four-Color Ad in *Investments & Wealth Monitor*.
- 5 Complimentary individual Institute memberships.
- One complimentary online course registration.
- 5% goes towards general Scholarship Fund.
THRIVE Center for Diversity & Inclusion

The Investments & Wealth Institute’s mission is to deliver the premier certifications and education for investment consultants, wealth managers, financial planners and advisors, and retirement management professionals. Growing the number of professionals who hold advanced certifications enhances the competency and professionalism of advice delivered to the public.

The vision for the THRIVE Center for Diversity & Inclusion is to foster professionals from all backgrounds to THRIVE, thereby fostering a more diverse and sustainable workforce within the financial advisor profession. We will advance this vision by focusing on three areas:

I. **THRIVE Certification Scholarship Fund**
   I. Accelerate career advancement for those underrepresented in the profession.

II. **THRIVE Programs**
   I. Women in Wealth – Celebrating and Promoting Gender Diversity
   II. Diversity Elevates – Guidance for the Advisor Community

III. **THRIVE Coalition**
   I. MMI Gateway to Leadership
   II. CFP Board Center for Financial Planning
CERTIFICATION SCHOLARSHIP FUND

Sponsoring a scholarship is a phenomenal way to impact the diversity of the profession, educate young advisors, or career changers, and reshape our industry to better serve investors.”

Investments & Wealth Institute Scholarship Funds Program.
A portion of each Partner, Sponsor, and Institutional Members’ fee will go towards a general pool for merit-based scholarships. Student may apply and be offered scholarships for the CIMA®, CPWA®, or RMA® program of their choice.
$137,500 in Scholarship Funds Granted to 126 individuals in 2020 (YTD).

Scholarships Available from $1,000 to $2,500 for CIMA, CPWA, or RMA certifications.

Your organization may also decide to provide restricted scholarship funds that would support a specific group of students (e.g. Women, Diversity, NextGen, Company Employees).

In addition to Corporate Donors, the Institute will accept funding and Provide recognition to Individual Donors as well as from Endowments & Foundations.

Top Reasons* to Support a Scholarship Fund.
1. It’s a great way of giving back.
2. It enhances your brand among students.
3. It raises brand awareness with the next generation of advisors.
4. It inspires brand loyalty.
5. It’s another avenue to recruit talent.
6. It helps your organization achieve a purpose.
7. It supports tomorrow’s leaders.
8. It helps close achievement gaps.
2021 Women in Wealth Sponsorship Program

Annual Sponsorship: $40,000
• Choice of two 2021 Women in Wealth events.
• Recognition in newsletters, publications and throughout marketing of events.
• Sponsor recognition on website and at events.
• One panelist at each of the selected events.
• Hosted table for up to 10 advisors.
• Webinar sponsorship with speaker (Must be approved by IWI).
• Co-branded Press Release.
• Scholarship Fund contribution.

Associate Sponsorship: $5,000
Includes one event of your choice:
• Hosted table for up to 10 advisors.
• Recognition at event

Women in Wealth Luncheon (Date TBD)

Wealth Advisor Forum September 2021 (Date/Location TBD)
Women in Wealth VIP Reception

Investment Advisor Forum November 2021 (Date/Location TBD)
Women in Wealth VIP Reception
PUBLICATIONS & ADVERTISING

*Investments & Wealth Monitor* is published bimonthly (six issues per year) and 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 your one of the best ad-to-editorial ratios in the industry, as well as an uncompromised, 100% peer-reviewed editorial environment.

All advertisements in the print issue will also be published in the digital and mobile app editions for iPhone and iPad, Android, and Kindle. Advertisers’ logos will be featured on the *Investments & Wealth Monitor* section of the Institute website, [www.investmentsandwealth.org](http://www.investmentsandwealth.org).

<table>
<thead>
<tr>
<th>2021 EDITORIAL CALENDAR</th>
<th>RESERVATIONS DUE</th>
<th>MATERIALS DUE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Globalization in a Post-Pandemic World (January/February)</td>
<td>November 2, 2020</td>
<td>December 1, 2020</td>
</tr>
<tr>
<td>Future of Advice (March/April)</td>
<td>January 4, 2021</td>
<td>February 1, 2021</td>
</tr>
<tr>
<td>Evolution of Products and Solutions (May/June)</td>
<td>March 1, 2021</td>
<td>April 1, 2021</td>
</tr>
<tr>
<td>Future of Wealth Management (July/August)</td>
<td>May 3, 2021</td>
<td>June 1, 2021</td>
</tr>
<tr>
<td>Advanced Portfolio Construction (September/October)</td>
<td>July 1, 2021</td>
<td>August 2, 2021</td>
</tr>
<tr>
<td>Rethinking Retirement (November/December)</td>
<td>September 1, 2021</td>
<td>October 1, 2021</td>
</tr>
</tbody>
</table>

**PRINT EDITION: FULL-PAGE, FOUR-COLOR RATES (NET)**

<table>
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<th>FREQUENCY: 1–5X</th>
<th>FREQUENCY: 6X+</th>
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<tr>
<td>Table of Contents (TOC)</td>
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<tr>
<td>Cover 2 (Inside Front Cover)</td>
<td>$5,625</td>
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<td>Cover 3 (Inside Back Cover)</td>
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<tr>
<td>Cover 4 (Back Cover)</td>
<td>$6,625</td>
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</table>

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

The Institute does not endorse any product 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 (continued)

Digital Edition and Mobile App Sponsorship: $15,000  Looking for an exclusive way to feature your brand in a digital environment for an entire calendar year? Investments & Wealth Monitor Digital Edition and Mobile App Sponsorship is reserved for a single firm that will receive sponsorship recognition and a company logo displayed on the Investments & Wealth Monitor section of the Institute website. Your online ad will appear next to the publication cover of the digital edition and buttons and leaderboard ads will run throughout the pages. You also have the ability to embed video. On the Mobile App, in addition to an ad next to the publication cover, your firm will receive a launch image and banner ads on the search and bookmarks.

Investments & Wealth Research Sponsorship:

$25,000 Per Issue (Subject to Availability)

Published quarterly (four issues per year) and distributed as a supplement to 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 elite membership of investment consultants and wealth management professionals. This research series is published in partnership with the leading industry researcher, Cerulli Associates.

Sponsorship includes a full-page, four-color ad in the sponsored edition. Exposure is also provided through sponsorship recognition on the Institute website (logo recognition) and through the digital edition and mobile app edition for iPhone, iPad, Android, and Kindle.

PUBLICATIONS & ADVERTISING PRODUCTION INFORMATION

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

MATERIALS TO:
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Suzie Byrnes
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sbyrnes@i-w.org
CUSTOM RESEARCH ISSUE
Do you have white papers or industry benchmark research that you would like to get in front of our influential members?

Along with regularly published issues of Investments & Wealth Research, we can also take your credible and/or third-party research and publish a special issue of Investments & Wealth Research that will be printed, polybagged, and mailed with a select issue of Investments & Wealth Monitor to our members. The content will also be available digitally on www.investmentsandwealth.org.

Custom Research Issue Sponsorship: $50,000 per issue.
Don’t have research available? Through our partnerships Cerulli Associates, Logica, Absolute Engagement, and other reputable third-party research firms we can help design custom research. Project pricing will depend on the scope of work.
Retirement Management Journal is the newest addition to the Investments & Wealth Institute publication roster. This peer-reviewed annual publication is provided as a member benefit to our 12,500+ Institute members. It is designed to promote research and innovative thinking on retirement topics. Each issue is devoted exclusively to the world of retirement-income planning and management. Articles are written by some of the leading authorities on a variety of subjects such as Social Security and behavioral finance. In addition, articles are written by experts 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.

<table>
<thead>
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<td>Cover 4 (Back Cover)</td>
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</tr>
</tbody>
</table>

Note: All rates are net. Covers and premium positions are non-cancellable. See page 33 for specs and shipping instructions. Please inquire about materials due date.
## BENCHMARK & INDUSTRY SURVEYS

Whether your needs are for tactical decision making or for purposes of establishing thought leadership positioning, our subject matter experts will coordinate with industry-recognized independent third-party research firms with established Institute relationships to design a program tailored to your needs. Pricing is quoted on the scope of work, but typically ranges from $85,000 to $150,000 per project.

<table>
<thead>
<tr>
<th>The Institute members provide a ready base of influential high-end advisors whose opinions and actions can provide valuable insight.</th>
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<tbody>
<tr>
<td>With a full-range of industry-standard capabilities, the Institute can provide both qualitative and quantitative research.</td>
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<tr>
<td>Uncover trends, provide actionable data to assess existing products and services, or help determine new market potential.</td>
</tr>
<tr>
<td>Benchmark reports, custom research, white papers, panels, and round table discussions.</td>
</tr>
</tbody>
</table>
CERTIFICATIONS & EDUCATION
As the premier certifying body and community for advanced investment and wealth management professionals, the Institute has the capability to support your organization’s educational needs. Preferential pricing is available for all sizes of groups interested in our certification and certificate programs. Whether you have a cohort of advisors interested in a private CIMA or CPWA class, or a group of wholesalers or internal staff interested in increasing their knowledge base of the investment consulting process, behavioral finance, or alternative investments, the Institute can develop an appropriate solution for you.
For over 32 years, Certified Investment Management Analyst® (CIMA®) professionals have integrated a complex body of investment knowledge, ethically contributing to prudent investment decisions by providing objective advice and guidance to individual investors and institutional investors.

CIMA is the only financial services credential in the U.S. to have met the international standard (ISO 17024) and accredited by the American National Standards Institute (ANSI).

Private group classes are available through our registered education providers. Minimum class sizes range from 30–50. Additional details and pricing quoted upon request.

**Steps to CIMA® Certification**

1. **Step 1**
   - Complete an executive education program through one of the Institute's registered education providers.

2. **Step 2**
   - Complete executive education program through:
     1. The Wharton School, University of Pennsylvania
     2. The Yale School of Management online program
     3. The University of Chicago Booth School of Business

3. **Step 3**
   - Pass a comprehensive Certification Exam at an approved testing center.

4. **Step 4**
   - Pass a second background check, provide compliance disclosure, complete license agreement, and pay initial certification fee.

**Education Providers:**

- The University of Chicago Booth School of Business
- Yale School of Management
- The University of Pennsylvania
- Wharton School of Management

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For over 12 years Certified Private Wealth Advisor® (CPWA®) certificants have met an advanced wealth management competency for advisors committed to serving the needs of high-net-worth clients with $5 million+ net worth).

Private group classes are available. Minimum class sizes start at 30. Additional details and pricing quoted upon request.

**STEPS TO CPWA® CERTIFICATION**

**STEP 1**
Submit an application detailing a minimum of five years of experience in financial services and four year degree or other designation.

**STEP 2**
Complete the 6-month online education program. Students are provided with reading materials, assignments, and online quizzes during the online program.

**STEP 3**
Complete executive education program through:
1. The University of Chicago Booth School of Business in-person
2. The Yale School of Management online

**STEP 4**
Pass the comprehensive examination.

Education Providers:

- The University of Chicago Booth School of Business
- Yale School of Management

 Executive Education
The Retirement Management Advisor (RMA) is a multi-stage education program for professionals interested in building custom retirement income plans for their clients. The program provides a unique mix of academic validation and practical application through a holistic approach, rather than a strictly investment-based, goals-based, or product-based approach. Focused on outcomes, not expectations, the RMA program provides advisors with practical tools, techniques, and methodologies. The result is a set of knowledge and skills that can satisfy clients’ retirement income needs while complying with the industry’s increasing regulations.

**RMA is a stackable credential that lets you earn a certificate or a designation.**

Students may elect to complete just the online course and receive a certificate of completion or advance through the capstone course and the final exam to receive the RMA certification. Financial services professionals with three years relevant experience or designations (CIMA®, CPWA®, CFP®, CFA®) who have completed the education requirements, agree to adhere to the Institute’s Code of Professional Responsibility and are willing to commit to the ongoing responsibility for recertification and continuing education are eligible to sit for the final exam upon approval.

Candidates may register for the following as an individual purchase or as a package of all three levels:

<table>
<thead>
<tr>
<th>RMA Level One: Retirement Management Advisor Online Course</th>
<th>RMA Level Two: Retirement Management Advisor Education Capstone</th>
<th>RMA Level Three: Retirement Management Advisor Exam</th>
</tr>
</thead>
<tbody>
<tr>
<td>Offered online, on-demand, this course provides an introduction and can be completed in 9-12 weeks. Candidates who successfully complete the course will receive a certificate of completion and a digital badge that can be used on websites or online profiles. To obtain the certificate of completion, professionals must successfully complete each module and all of the quizzes.</td>
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<tr>
<td>This two-day, in-person event is offered in an executive education format. Presented at the Investments &amp; Wealth Institute Annual Conference Experience-ACE. This Capstone provides a deep dive into the concepts, strategies and techniques learned through the online course, in an interactive format facilitated by industry experts.</td>
<td></td>
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</tr>
<tr>
<td>The RMA examination can be taken after successful completion of the Retirement Advisor Online Course and the Retirement Management Advisor Education Capstone. The examination is delivered in a proctored setting in conjunction with selected Institute events.</td>
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</tbody>
</table>

**RMA Level 1**
- $1,395 Members
- $1,595 Join & Learn*

**RMA Level 2**
- See Conference Registration Fees

**Bundled Pricing**
- Includes Levels 1, 2, and 3
- $2,495 Members
- $2,895 Join & Learn*
ONLINE EDUCATION PROGRAMS

PRIVATE WEALTH ESSENTIALS 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 & Risk Management
- Charitable Giving
- Estate Planning
- Client Profile Review

REGISTRATION
$695 per student
Up to 14.5 CE Hours

Instructors include PJ Marinelli, President, RiverGlades Family Offices, Tim Steffen, Director of Advanced Planning, Baird Private Wealth Management, David Wolf, Elizabeth Morgan, JD, Owner, Elizabet 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®, Chief Learning Officer, Investments & Wealth Institute.

Group Rates starting with 10 and private groups starting with 25 registrations.
ONLINE EDUCATION PROGRAMS

APPLIED BEHAVIORAL FINANCE 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.

REGISTRATION $695 Per Student 20 Hours of CE

ESSENTIALS OF INVESTMENT CONSULTING 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.

REGISTRATION $545 Per Student 15 Hours of CE

WEALTH MANAGEMENT STRATEGIES Created for wealth managers who work with HNW clients, the program is designed to help advisors develop specific strategies to minimize taxes, monetize and protect assets, maximize growth, and transfer wealth. This 6-month course consists of 11 online modules: Applied Behavioral Finance, Family Dynamics, Tax Strategies and Planning, Portfolio Management, Risk Management and Asset Protection, Working with Executives and Closely Held Business Owners, Charitable Giving, and Estate Planning and Wealth Transfer.

REGISTRATION $995 Per Student Available only to Institutional Member Firms on an Enterprise Basis.

Group Rates starting with 10 and private groups starting with 25 registrations.
# ONLINE EDUCATION PROGRAMS

| **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 |
| **ENDOWMENTS AND FOUNDATIONS CONSULTING** 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** $995 Per Student 13 Hours of CE |
| **OPTIONS STRATEGIES FOR ADVISORS** The Options Strategies for Advisors course examines the investment characteristics of equity and index options, and how advisors can use them to strategically manage portfolio risk, enhance returns, and gain unique market exposure. In partnership with the Options Industry Council (OIC) this program’s 6 modules are designed to help advisors overcome confidence hurdles when using options. | **REGISTRATION** $495 Per Student 8 Hours of CE |

**Group Rates starting with 10 and private groups starting with 25 registrations.**
WEB SEMINARS

Web Seminars 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 a variety of suggested topics including: 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.

$18,000 for One, or $45,000 for 3-Part Series

• Each Web Seminar is 55 minutes (45-minute presentation with 10 minutes of Q & A).
• One hour of CE credit available to participants for no cost.
• Institute will handle all CE reporting (pending CE approval).
• Approximately 300-400 advisors register for each web seminar; approximately 900 total or a 3-part series.
• Sponsor receives attendee list (no emails).
• Institute handles all promotion, marketing, and registration activities.
• Prospect marketing may be supplemented to industry segments of sponsor’s choice (e.g. RIA’s).
• Institute will provide sponsor with HTML creative assets for you to send to clients & prospects.
• Web seminars archived on www.investmentsandwealth.org and promoted for 6 months.
• Sponsors may recommend other topics and speakers, but they must be approved by the Institute.
• Web seminars may be scheduled to take place every two weeks over two-month period; sponsor can suggest timing.
• Unique promotion codes will be supplied for complimentary access for sponsors to invite clients & prospects.

Participating Firms:
The Exceptional Advisor podcast series provides financial professionals the latest information on how advisors can better serve their clients, differentiate themselves from the competition, and improve their ability to communicate the competencies that make them exceptional. Listeners will enjoy interviews with some of the world’s leading financial services experts and practitioners.

Institute podcasts are available through major outlets like iTunes and Spotify as well as on the Institute’s web site. Sponsored interviews are available for $1,500 each or $3,000 for a series. Available only to Institutional Partners.
ANNUAL ENGAGEMENT PROGRAM

CONTENT • BRANDING • EXPOSURE

Getting your message through to busy professionals is becoming more and more complex. Today’s astute marketers understand the value of delivering quality content and the need to create multiple points of engagement. Which is why we’ve created a comprehensive content, branding, and exposure program that consists of live events, online education, and research.

By taking a comprehensive, year-long approach, you can build your reputation among our elite audience of investments and wealth professionals, aligning your brand with topical and relevant content. Below is a sample program with three key components (topics to be mutually agreed upon).

1. Exclusive Sponsorship of a one-day, in-person “Focus” event.
2. Exclusive Sponsorship of a Focus Online event.
3. Exclusive Sponsorship of an issue of Investments & Wealth Research.

This is a unique way to align your brand contextually with desired content and build thought-leadership. Significant branding will be realized throughout the life of the program through pre- and post-promotion of the three key components.

Content Branding Exposure Program Sponsorship: $100,000 to $150,000.
THANK YOU TO OUR PARTNERS!

PRIOR EXHIBITORS
HOW MAY WE HELP YOU?

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Bonus Opportunities
### AVAILABLE AT ALL IN-PERSON CONFERENCES

**LUNCH (1–2 OPTIONS PER CONFERENCE—LUNCHEON SESSIONS TO BE SPONSORED WILL BE DETERMINED BY THE INSTITUTE AND DOES NOT INCLUDE SPEAKER INTRODUCTIONS)**
- Company logo at each luncheon table (if tables are used)
- Sponsor signage placed near luncheon room with company’s name and logo
- Recognition in onsite conference materials
- Recognition in conference app

**EVENING RECEPTION (1–3 OPTIONS PER CONFERENCE)**
- Custom tumblers and napkins with company logo
- Recognition on signage and in onsite conference materials
- Recognition in conference app

**CONFERENCE LANYARDS OR BADGE HOLDERS (1 OPTION PER CONFERENCE)**
- Custom lanyards or badge holders created with company logo and Institute logo
- Recognition in onsite conference materials

**BREAKFAST (2–3 OPTIONS PER CONFERENCE)**
- Coffee sleeves and napkins with company logo
- Recognition on signage and in onsite conference materials
- Recognition in conference app

### PREMIER REFRESHMENT BREAK (1–4 OPTIONS PER CONFERENCE)
- Deluxe refreshment break with premier snack option for attendees
- Recognition on signage and in onsite conference materials
- Recognition in conference app
- Napkins with company logo

### AVAILABLE AT SOME EVENTS (DEPENDENT ON LOCATION)

**COAT CHECK SPONSORSHIP: (1 OPTION PER CONFERENCE)**
- Signage at coat check station
- Logo in onsite materials
- Recognition and alert in conference app
- Recognition in onsite conference materials

**LUGGAGE/BAG CHECK SPONSORSHIP (1 OPTION PER CONFERENCE)**
- Signage at the luggage/bag check area with logo and firm name
- Recognition in onsite conference materials

**WATER STATION SPONSOR (1 SPONSOR ONLY)**
- Branding of water stations with company logo and firm name
- Cups with company logo at water stations
- Recognition on signage and in onsite conference materials
- Recognition in conference app

Note: Opportunities may change due to availability or venue restrictions.
# 2021 ACE BONUS OPPORTUNITIES

Only Platinum, Gold, and ACE Marquee Partners may select one item for ACE. Bonus opportunities are not available to Bronze Partners or Exhibitors.

## AVAILABLE AT THE ANNUAL CONFERENCE EXPERIENCE—ACE ONLY

<table>
<thead>
<tr>
<th>Continuous Coffee Stations (1 Sponsor Only)</th>
<th>Charging/Workstation at ACE (1 Sponsor Only)</th>
</tr>
</thead>
</table>
| • Coffee sleeves and stir sticks with company logo at a coffee station open all day during the conference  
• Recognition on signage and in onsite conference materials  
• Recognition in conference app | • Charging station  
• Signage with company’s name and logo and recognition in onsite conference materials  
• Company’s logo on note pads, pens, and mouse pads at each workstation (sponsor provided)  
• Recognition in conference app |

<table>
<thead>
<tr>
<th>Shoe Shine Station (1 Sponsor Only)</th>
<th>Afternoon Dessert Reception (1 Sponsor Only)</th>
</tr>
</thead>
</table>
| • Professional shoe shiner supplied by Institute (shoe shiner may wear sponsor-provided company logo attire)  
• Recognition on signage and in onsite conference materials  
• Recognition in conference app | • Deluxe refreshment break with dessert option for attendees  
• Recognition on signage and in onsite conference materials  
• Recognition in conference app |

Note: Opportunities may change due to availability or venue restrictions.
IN-PERSON EVENTS
COVID-19
SAFETY MEASURES
What safety measures can you expect?

**Hotel/Public Areas**
- Visible cleaning throughout the day
- Social Distancing – currently 6’ is the norm
- Possible enforcement of masks in public areas
- Possible temperature checks by hotel
- Possible pre-arrival questionnaire
- Hand sanitizers provided throughout the property
- Signage with health and safety reminders throughout the property
- Possible nurse or medical professional onsite
- Medical providers and hospitals contact information kept at front desk
- Self-parking allowed; valet parking discontinued

**Hotel Registration**
- Sneeze guard/barriers at registration
- Most hotels will offer virtual check-in
- Some hotels to offer digital key program to minimize front desk check-ins

**Elevators/Public Rest Rooms**
- Signs to remind guests to monitor occupancy levels to ensure compliance of physical distancing guidelines
- Restroom sinks marked off for use to help with distancing
- Possible marked spaces on elevators to remind physical distancing is required

**Hotel Guest Room**
- Possible limited number of items in your room
  (no mini-bar, fewer pillows, fewer hangers)
- Room service delivered in disposable containers and left at your door
- Assume no in-room housekeeping during stay
- Services and items on a request only basis
  Cleaning staff will not enter until you have left for 24 hours
- Assigned sleeping room will have been left empty for 24-48 hours of prior guest’s departure; then serviced and sanitized; another period of 24-48 hours until new guest arrives
What about meals and receptions?

Space
- Hand sanitizers at every station/counter
- Hotel staff to wear masks and gloves
- Hotel to provide a visible level of safeguards and cleaning
- Meals to take place in multiple rooms, if possible
- More outdoor functions, when possible
- Reception spaces to be large to allow 6’ distancing
- Limited seating at tables

Food
- Buffets replaced with plated meals or pre-wrapped items (box lunch)
- Additional hotel staff serving food with some type of shielding
- Disposable and/or pre-wrapped utensils
- Communal items such as bread baskets and butter replaced with individual servings

Hotel Restaurants
- To offer pick-up and room service only
- If full service, expect smaller occupancy rates and disposable menus

Beverage
- Receptions serve only alcohol short term, no food
  - Bars marked with 6’ reminder
  - One person allowed at bar to order, no lingering
- Bottled water to replace shared water stations
- Coffee/Tea/Soda Break Service:
  - Hotel staff to serve (counter style)
  - This will require more time between sessions
  - Individual condiments (cream, sugar) to replace self-serve stations
- Extra counters open, if space available
- Drinks pre-poured to increase efficiency of service
What can you expect in the meeting rooms?

- Signage with health & safety protocols
- Hand sanitizer and sanitizing wipes in meeting rooms
- Visible and enhanced cleaning schedule during all breaks
- Meeting space set for optimal distancing
  - (1) person per 6’ table
  - 25% max capacity in room
  - Maximize aisle width
- Possible enforcement of masks/face coverings in meeting areas
- Downsized contents in meeting rooms to minimize touch points
  - No paper/pens on tables
  - No candy dishes
  - Bottled water; no self-pour water stations
- Doors marked to help with traffic flow and avoid bottlenecking, if possible
  - Rooms set with enter only and exit only
- Extended breaks to allow for longer wait periods in restrooms, elevators, beverage lines
- Possible CE attendance tracked through the app
- Q&A completed through the app
- Surveys completed through the app
- Attendee programs located in program app; no handouts
- Limited giveaways, if any
Other Suggestions and Thoughts for Partners, Sponsors and Exhibitors.

- Instead of giveaways at tables, consider room drops to hotel guests.
- For local attendees, have gift bags at end of day as giveaways. One bag or box so attendee only must pick it up and head home.
- There will be extra space in meeting rooms so we can distance exhibitors safely (6’ distancing) and still allow for several people in the room, with a bar.
- Consider setting up one-on-one appointments, safely at ends of a 6’ table, or offer a small group to meet at a large round table.
  - This can only happen in venues where we have the extra space.
  - We are increasing break times, and this can also be done during the receptions.
- In the General Session room, allow for EdTalks during breaks.
- The normal “foyer plan” we’ve used for exhibitors as well as breaks and receptions, will have to be revised to ensure safe distancing.
- Special meeting rooms may be available (limited to top-tier sponsors).
- Rooms and foyers will be marked with adequate spacing and social distancing reminders.