INVESTMENTS & WEALTH INSTITUTE

The Investments & Wealth Institute is a nonprofit professional association, advanced education provider, and standards body for advanced financial planners, investment consultants, and private wealth advisors who embrace excellence and ethics. Through our live and online events, assessments-based certificate programs, and advanced certifications, we deliver premier quality, highly practical education to the advisor community.

Whether attending a conference, taking an online course, earning your certification, or becoming a member, you can have confidence that you are getting a useful balance of theory and practical knowledge.

You can expect:
• Best-in-class certification programs
• Ivy League-quality education, with practical application
• Award-winning, peer-reviewed publications

Top-rated live and online events:
• In-depth and intensive assessment-based online certificate programs
• Peer networking with an elite community of advisors from all business models—IWI members manage five times the assets under management of the average financial advisor
• Top-rated events with world-class speakers, industry heavy weights and esteemed academics

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Welcome to the Investments & Wealth Institute
It is a pleasure to welcome you to the premier community for advanced financial advisors. You are now part of a special group of like-minded professionals and life-long learners whose purpose is to shape the future of wealth management for years to come.

Whether your professional passion is helping clients with structure and process (investments) or tangible and intangible outcomes (wealth), the Investments & Wealth Institute is your home. We are sure that you will soon feel the sense of pride in being an active participant in this global community.

We are humbled that you have chosen the Institute as your life-long partner for professional development.

Dorthy Bossung, CIMA®, CPWA®, RMA®, CFP®
Chair, Board of Directors
2022-2023
Certified Investment Management Analyst®
The Certified Investment Management Analyst® (CIMA®) certification is the peak international, technical portfolio construction and manager search and selection program for investment consultants, analysts, financial advisors, and wealth management professionals.

Earn more

Certified Private Wealth Advisor®
The Certified Private Wealth Advisor® (CPWA®) program is a comprehensive wealth management certification for advanced financial planners who serve HNW clients.

Manage more AUM

It is designed for seasoned professionals who seek the latest, most advanced knowledge and techniques to address the sophisticated needs of clients with a minimum net worth of $25 million.

Oversee a greater percentage of client wallet share

Hold more leadership roles within their firms

Gain confidence

Demonstrate specialized knowledge

Certifications

On average, our certificants:
CERTIFIED INVESTMENT MANAGEMENT ANALYST® (CIMA®) CERTIFICATION

Value and Benefits
CIMA professionals are more satisfied with their careers, earn better compensation, and manage more assets for higher-net-worth clients than other advisors, according to research conducted by the Aite Group. In addition to these benefits, 33 percent of CIMA advisors report earning $380,000 annually or more.

Advise More Profitable Clients
Both solo and team practices with CIMA professionals manage twice the assets per client and generate twice the revenue per client compared to other practices.

Capture Additional Assets
Seventy percent of practices with a CIMA professional oversee 75 percent or more of their clients’ investment assets.

Advise More Affluent Clients
Fifty-two percent of practices with more than one CIMA professional advise high-net-worth ($5-20 million) and ultra-high-net-worth ($20 million or more) clients.

Are Part of an Experienced Group
Eighty-four percent of CIMA professionals have 10 or more years of experience as financial advisors.

Possess Important Institutional Expertise
Having more than one CIMA professional in a practice tends to open up the business to institutional clients (foundations, endowments, and 401(k) plans). Multi-CIMA certificant practices focus about 13 percent of their business on institutional clients.

Have Ownership in Their Practice
Eighty-four percent of CIMA professionals are practice owners or team leaders compared to 57 percent of other financial advisors.

“CIMA gives me the credibility among clients that I need in an increasingly competitive marketplace.”
Terri Hollander Albin, CPWA®, CIMA®, CFP®, Baird Wealth Management

Learn More about the CIMA® Certification
CERTIFIED PRIVATE WEALTH ADVISOR® (CPWA®) CERTIFICATION

Value and Benefits
CPWA professionals are more satisfied with their careers, earn better compensation, and manage more assets for higher-net-worth clients than other advisors, according to research conducted by the Aite Group. In addition to these advantages, 33 percent of CPWA advisors report earning $380,000 annually or more.

Deliver Specialized Expertise and Skills
The explosion in global wealth in recent years means that there are more high-net-worth (HNW) clients and that the needs of these clients are increasingly sophisticated. Seventy six percent of clients say that if they were looking for a new advisor today, the specialized designations they held would be an important or very important factor in their decision.

Acquire and Retain HNW Clients
Competition for wealthy clients is fierce, and clients are very selective in choosing advisors. The CPWA certification gives you the edge you need to stand out. Sixty-four percent of CPWA-certified advisors state that the certification has been very or extremely important to them in “expanding client services” and “gaining confidence with offering advice to HNW clients.”

Grow Firm Revenues
Thirty percent of practices with at least one CPWA practitioner realized revenue growth of more than 10 percent over a five-year period compared to only 18 percent of non-CPWA practices. The mean assets per client of CPWA advisors ($7.3M) is 3.9 times higher than non-CPWA practices ($1.9M).

Earn an Elite Education That is Highly Practical
The CPWA curriculum is taught through an intensive education program with eminent academic and practitioner faculty.

“[The CPWA® certification is worth its weight in gold. It’s definitely been the best program that I have ever gone through from a continuing education and expertise standpoint. After completing the course, I saw immediate benefits from the program.]”

Erik Averill, CPWA®, CFP®, CKA®
AWM Capital

Learn More about the CPWA® Certification
Learn a Multidisciplinary Approach to Retirement Planning
The RMA program maps a complete framework of the retirement planning universe. By presenting and evaluating several schools of thought, particularly on retirement allocation strategies and risk management techniques, advisors from any industry segment can adopt all or part of the best-practice processes.

Better Understand the Client’s Retirement Mindset
Using a combination of behavioral finance, industry research, and practitioner experience, the RMA program can help you to better understand the clients’ mindsets at retirement, as they shift from accumulating and investing assets to funding retirement income. Because the program was developed, customized, and validated entirely from the client’s perspective, it will also help improve communication, trust, and planning outcomes with clients.

Explore Strategies for Custom Risk Assessment and Unbiased Solutions
Guidance on risk management techniques and solution strategies for each client segment, regardless of their income or assets, makes the RMA program truly product-neutral with unbiased solutions for every type of client. This client-centered, outcomes-based approach is the heart of the program, first doing what is best for the client, no matter the product or payout.

Discover Practical Tools and Techniques to use in Your Practice
Starting with the “Procedural Prudence Map,” the RMA program provides practical tools that help advisors map a decision-making process that complies with fiduciary best practices and results in the most appropriate recommendations for the client’s situation. Using the “Client Diagnostic Kit” helps set the stage for the initial client data gathering, while the RMA Toolbox compiles the various strategies of the program into practical techniques that result in actionable-client product recommendations.

Provide Professional Guidelines and Standards
The RMA program provides the best-of-industry professional standards to follow when working with your clients, while helping advisors comply with an ever-increasing regulatory environment. As the newest addition to the Investments & Wealth Institute’s advanced certification programs for financial advisors, RMA certificants must abide by the Institute Code of Professional Responsibility, along with continuing education requirements and ethics education every two years. These professional guidelines and standards help ease a client’s mind when interviewing advisors.

“The RMA® curriculum provided the framework to look at things holistically, across silos, creating stronger outcomes.”
Ashok S. Ramji, RMA®, CFP®, CDFA®, ChFC®, CLU®, RICP®
Financial Consultant, TOP Planning

Learn More about the RMA® Certification
CONFERENCES

In-Person + Streaming + On-Demand
Our live and streaming events feature Ivy League-quality speakers, industry heavy weights, and top practitioners, along with your exceptional peers. Our annual events include:

WEALTH ADVISOR FORUM
September 13–14, 2021
Chicago, IL
A must-attend forum designed for CPWA® designees, wealth managers, and top advisors who manage the unique and complex needs of HNW clients. Learn More

BEHAVIORAL NEGOTIATION FOR ADVISORS
October 4, 2021
Virtual Workshop
The Behavioral Negotiation for Advisors is an acclaimed event for the Canadian market. This one-day, virtual forum, engages today’s most influential practitioners, academics, and thought leaders from around the world. Learn More

INVESTMENT ADVISOR FORUM
December 7–8, 2021
New York, NY
This is the industry’s premier portfolio management forum. Master advanced portfolio management techniques from industry experts, political experts, and practitioners. Learn More

INVESTMENTS & WEALTH FORUM
January 31–February 1, 2022
Hollywood, FL
The top event for wealth and retirement planners and advisors who want to advise HNW and UNW clients and on all stages of retirement. Learn More

ACE ACADEMY 2022
May 15–18, 2022
Nashville, TN
The largest association gathering of wealth management practitioners draws together Ivy League academics, top practitioners, and world-class speakers, authors, and researchers for 2+ days of learning, networking, and engagement. Learn More
EDUCATIONAL PARTNERS

Our educational providers include Ivy League universities and Top 10 business schools. We partner with elite institutions, such as the Yale School of Management, The Wharton School, University of Pennsylvania, and the University of Chicago Booth School of Business for our certifications. Upon successful completion of the program you will receive a certificate from the corresponding university. Our programs feature speakers from schools such as Harvard University and the Haas School of Business at University of California-Berkeley, for our conferences, webinars, and online education programs.

Yale School of Management
Executive Education

Wharton
University of Pennsylvania
Aresty Institute of Executive Education

CHICAGO BOOTH
The University of Chicago Booth School of Business
NEED TUITION ASSISTANCE?

The Institute is committed to diversity, equity, and inclusion in its membership and executive educational programs. Our scholarships were designed to reduce the barriers for entry, and expand the shared perspectives and voices heard throughout our evolving industry. We wish to improve the access to premier professional development and increase the involvement of those underrepresented in the industry.

Who is eligible?
Individuals who:

- Are from groups currently underrepresented within the industry, including, but not limited to:
  - African-Americans/Blacks, Latinx, Asians, Pacific Islanders, and Native Americans
  - Individuals with an ADA disability
  - Are a Veteran
  - Identify under the LGBTQ+ umbrella
  - Registered Independent Advisors who don’t have access to tuition reimbursement programs
  - Currently work in the field and meet the requirements related to the certification they are seeking
  - Are able to demonstrate financial need
  - Desire to create a more inclusive community and improve the professionalism, ethics and expertise throughout the industry

Scholarship Types:

| Women in Wealth | Investments & Wealth Diversity | RIA Center for Excellence |
## MEMBERSHIP YOUR WAY: CHOOSE THE OPTION THAT WORKS BEST FOR YOUR NEEDS

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| **Basic**  | $395         | $16   | 2 Year Membership  
Basic Membership is perfect for those who want a taste of the Institute or prefer to learn a la carte. Basic Membership gets you everything you need to start your professional development journey. |
| **Signature** | $790 | $37 | 2 Year Membership  
Step up your professional development with access to all publications, discounts on online courses, and all the premium content the Institute has to offer. From complimentary continuing education (CE) hours, to client brochures and more. Your Signature Membership includes everything in Basic, PLUS access to 25% off all live conferences, online courses, and webinars! |
| **Elite**   | $1,290       | $107.50 | 2 Year Membership  
Become an Institute VIP with this premier professional development experience. Take any of our one-hour on-demand classes or courses with your full access pass and attend special webinars for Elite Members only. Your Elite Membership lets you enjoy full access to everything the Institute has to offer. Elite Members also enjoy 40% off all live conferences, online courses, and webinars. |
MEMBERSHIP PROFILE: VALUE OF A MEMBERSHIP

An Investments & Wealth Institute membership is an invitation to excel. Whether you’re establishing yourself or an industry veteran, whether your clients are individuals or institutions, or whether you’re a firm committed to giving clients the highest-quality advice and service, the Institute gives you the resources you need to be at your best.
THE HIVE: COMMUNITIES AND KNOWLEDGE CENTERS

A membership benefit of becoming an Institute member is unlimited access to the Hive communities and knowledge centers. The six knowledge centers focus on the latest news, research and content from Investment Management, Private Wealth, Retirement Management, Practice Management, Diversity, Equity, & Inclusion, and Advanced Financial Planning.

Within each knowledge center are active communities where members can post discussions, upload documents, interact with peers, and share best practices.

01 Accelerate Emerging Trends: Learn and apply best practices, review articles and blogs, and discover powerful case studies from the leading financial authorities and experts in the profession.

02 Gain Insights: Search through our research library and discover ways to sustain, improve, and create pivotal communities.

03 Ignite New Ways of Learning: Get vital information and illuminating stories by way of podcasts and instructional videos.

04 Make Connections: Connect with members to curated collections of topically related resources related to retirement, investments, wealth, practice management, and diversity, equity, and inclusion.

05 Facilitate Value: Interface with leading professionals around the world. The Hive enables members to express ideas, share documents, and start conversations with each other on topics most relevant to you.

06 Fast-track Ideation: Crowdsource real-time challenges, gain peer feedback, and accelerate ideas.

07 Obtain Helpful Advice for Candidates: Helping candidates be successful in their journey through communication, connectivity, and mentorship.

08 Share Best Practices: Browse a collection of member documents and resources to gain actionable strategies and spark new solutions.

Join the Hive
**ONLINE LEARNING CENTER**

**GET ACCESS. GAIN KNOWLEDGE**

*Take Your Education Further*

We have something for everyone, from quick, one-hour, on-demand recordings to assessment-based courses, offering 5-to-20 hours of CE credit. Our online learning center has more than 100 unique offerings. Check out the following pages for a sample of our catalog and visit the Online Learning Center for a complete list of offerings.

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Visit the Learning Center

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<td>Designed to be comprehensive and interactive, courses can take between 5 and 20 hours to complete. They contain quizzes to affirm that you have met the learning objectives for the curriculum. Course activities can include readings, lectures, case studies, and sample documents.</td>
<td>Maintain your competitive edge by listening to quick, one-hour recordings of lectures archived from our various educational events. Designed to be informative and convenient, these recordings require only one hour of listening time and CE credit is automatically reported to CIMA®, CPWA®, and RMA® certification records.</td>
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ONLINE COURSES

Premier Quality. Practical Application. Convenient Delivery. These are the top reasons to choose our online programs for your ongoing education.

Our online courses are structured as assessment-based certificate programs and delivered by Ivy League-quality faculty and top practitioners. These programs offer a certificate of completion that you can proudly display and share on your social networks. Some options include:

• Applied Behavioral Finance
• Endowments and Foundations Consulting
• Exceptional Advisor: Communicate Your Value and Build Client Engagement
• Private Wealth Essentials
• Investment Management Essentials
• Private Investments for Advisors (coming Fall 2021)
INVESTMENT MANAGEMENT COURSE

INVESTMENT MANAGEMENT ESSENTIALS - 15.5 CE

This course provides fundamental knowledge and skills required in the investment workplace. It is designed for individuals wanting to elevate their investment knowledge beyond the basic level of understanding. As a participant in the course, you may have recently entered the investment consulting profession, transitioned from an unrelated field, or plan to use this course as a step toward the Certified Investment Management Analyst® (CIMA®) certification program to enhance your future career opportunities. Or, maybe you want to reexamine the fundamentals to reinvigorate your practice.

Key Takeaways
- Step 1: Client discovery
- Step 2: Create an IPS
- Step 3: Construct portfolio(s)
- Step 4: Conduct manager search, selection, and monitoring
- Step 5: Review and revise portfolio(s)

Earn a Certificate

15+ Hours to Complete
Basic: $895, Signature: $671.25, Elite: $537

CFP® Eligible
Self-Paced
Assessment-Based

Visit the Learning Center
ALL OPTIONS ON THE TABLE: HOLISTIC INVESTMENT STRATEGIES FOR A VOLATILE, LOW-YIELD WORLD
The 60/40 is dead. Traditional portfolio construction is ill-suited to tackle the challenges presented by historically low yields coupled with equity markets near all-time highs. Advisors are seeking other solutions to produce necessary returns and mitigate risk in order to guide investors to and through retirement. Gain practical insights on the due diligence and portfolio implementation of options and option-based strategies as one possible solution. 3 CFP CE*

ALTERNATIVE YIELD FROM PRIVATE CREDIT
In alternative yield, investors can access a set of differentiated strategies that provide the dual utility of attractive risk-adjusted return and enhanced portfolio risk management. Learn the scenarios under which, and clients for whom, it could be advantageous. 1 Premier Institute CE

PRIVATE MARKET EXPOSURES FOR HNW CLIENTS
As new products make private equity (PE) available to a much broader range of your clients, the question remains: Which styles of PE are best suited for today’s environment? How do you choose, and how do you implement those choices across the client base? Answer these questions, and more, in this session. 1 Premier Institute CE

AN INTRODUCTION TO ALTERNATIVE INVESTMENTS
This bundle begins with a high-level overview of alternative investments, including general characteristics of alternative investments, the categories of alternative investments, and the benefits of including alternatives in a portfolio. Subsequent modules delve into the history and strategies of hedge funds, private equity, and real estate. The series concludes with discussion of risk management issues and appropriate measures of risk and return for alternatives. 4 CFP CE*

THE MACROECONOMIC PICTURE
Learn the critical factors in play for a multi-strategy portfolio, how HNW investors might think about their fixed income allocation, and how advisors can add value during a period of uncertainty. 1 Premier Institute CE

BIG IDEAS 2020: COVID-19 AND MARKET VOLATILITY
ARK Invest’s annual research publication “Big Ideas” showcases a selection of innovations that they believe should transform the way the world works. Learn what is positioned to deliver outsized growth across different industries according to the 2020 study. 1 Premier Institute CE

TAX ADVANTAGES OF 1031 EXCHANGES
A 1031 exchange is one of the most effective investment tools for real estate owners looking to defer capital gain taxes on the sale of appreciated investment properties. Learn the 1031 process and what types of clients can benefit. 1 Premier Institute CE, Tax and Regulation credit

BUILDING BETTER OUTCOMES: A FACTOR-BASED APPROACH
Investing in factors can help improve portfolio outcomes, enhance diversification, and help manage risk. Explore how to best select factor strategies and how to implement factors into portfolios. 1 Premier Institute CE

CAPITAL ALLOCATION IN TAXABLE HNW PORTFOLIOS IN THIS UNCERTAIN TIME
Learn the strategic design of taxable investment portfolios and where family offices may be searching for opportunity and addressing risk given the roaring stock market, very low interest rates, uncertain economic impact of the ongoing pandemic, and the potential for higher income, capital gains, and estate taxes. 1 Premier Institute CE

*Also includes Premier Institute CE
ON-DEMAND RECORDINGS: INVESTMENT MANAGEMENT

INVESTMENT PORTFOLIOS FOR HNW CLIENTS
Portfolios for HNW clients are more sophisticated than for the average affluent client. They require enhanced access to asset classes and products, such as private equity, alternatives, impact investing, and derivatives. These portfolios may also involve leverage and lending, and they require an elite advisor to manage all the moving parts. Learn the techniques you need in this recording.

4 Premier Institute CE

RETHINKING TAXABLE INVESTMENT ADVICE FOR THE NEXT DECADE
The wealth industry is being buffeted by eroding margins from low-priced competitors, commonplace access to alternative investments, rock-bottom expected returns from most fixed income, and higher potential client tax bites. What can we advisors do to redefine our value proposition, to help clients rethink what it means to be a taxable investor, and to become more valuable than ever despite the headwinds?

1.5 Premier Institute CE, 1.5 Tax and Regulation CE Credit

THE FUTURE OF ESG INTEGRATION IN THE WAKE OF COVID-19
Environmental, social, and governance (ESG) risks are generally forward-looking, but the data to prove whether they are meaningful (or not) can often be judged only in the rearview mirror. Arm yourself with knowledge about what and how ESG policies are being implemented and a sense of the market forces involved to determine whether a company is interested in honest change or a good marketing campaign.

1 Premier Institute CE

MODELING SECURITIZED CREDIT: A FRAMEWORK TO DETERMINE STRATEGIC ALLOCATIONS
Diverse opportunities span the securitized and structured finance universe. Learn the considerations in building securitized credit funds and strategies, how to build a representative dataset to conduct asset allocation optimizations, and the elements of thoughtful optimizations.

1 Premier Institute CE

MMI/MORNINGSTART SUSTAINABLE INVESTING CURRICULUM
The Money Management Institute/Morningstar Sustainable Investing Curriculum provides an introduction to the fundamentals, principles, and practices of sustainable and ESG investing. Designed to help financial advisors and investment professionals meet increasing investor demand for sustainable investing, the curriculum blends foundational information and terminology with practical insights from advisors who already have integrated ESG into their practices.

3.5 Premier Institute CE

THE TOTAL COST OF ETF OWNERSHIP
Buying cars can teach you a lot about buying Exchange Traded Funds (ETFs). With both purchases, total cost of ownership goes beyond the sticker price. By looking under the hood, you can make more informed decisions to help your clients select the investments that best meet their needs. Hear from Edward Rosenberg, head of exchange-traded funds at American Century Investments, as he lifts the hood on ETFs and breaks down the various costs of ownership.

1 Premier Institute CE
PRIVATE WEALTH COURSE

PRIVATE WEALTH ESSENTIALS - 14.5 CE

An introduction to working with private wealth clients, this self-paced course focuses on the specific needs of high-net-worth (HNW) clients in five core areas: tax strategies, portfolio management, asset protection and risk management, charitable giving, and estate planning. Each of these areas is examined in conjunction with the needs of three different HNW client profiles: the executive, the closely held business owner, and the retirement client.

Included Content:
This introduction to working with HNW clients is segmented into seven learning modules:

- Module 1: Private Wealth Management Basics
- Module 2: Tax Strategies
- Module 3: Portfolio Management
- Module 4: Asset Protection & Risk Management
- Module 5: Charitable Giving
- Module 6: Estate Planning
- Module 7: Client Profile Review

Earn a Certificate

15+ Hours to Complete
Basic: $895, Signature: $671.25, Elite: $537

CFP® Eligible
Self-Paced
Assessment-Based

Visit the Learning Center
ON-DEMAND RECORDINGS: PRIVATE WEALTH

FINDING GROWTH IN A SLOW-GROWTH WORLD
Do you know which companies throughout the world still have substantial longer-term growth strategies despite current economic hardships? This session will help you consider the current backdrop for international equities, how indexes can potentially skew impressions of non-U.S. markets, how global consumer behaviors are changing, and examples of industries where growth opportunities may exist.

1 Premier Institute CE

FAMILY LOVE LETTER: INTERGENERATIONAL WEALTH TRANSFER
The Family Love Letter provides a convenient manner to communicate the important information needed in case of incapacitation or death to family members. It also allows individuals to memorialize clear instructions about how assets, benefits, final wishes, and intents are to be carried out. The Family Love Letter is not a legal document or substitute for estate planning, but it can function as a supplement to any good planning and a source of great comfort to loved ones in a time of stress and confusion.

1 Premier Institute CE

WEALTH PLANNING FOR MODERN FAMILIES
Refresh your approach to wealth planning and preserving family legacy to better meet the needs of modern families.

1 Premier Institute CE

TAX ALPHA
HNW 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. Gain strategic and actionable insights that will help keep you laser-focused on your clients’ 2021 tax situation.

4 Premier Institute CE

HOW THE PANDEMIC WILL IMPACT THE FUTURE OF WEALTH MANAGEMENT
In this exclusive interview, hear Michael Kitces’ views about the long-term ramifications of 2020’s events and what this means for you in your advisory practice.

1 Premier Institute CE

BECOME IMPOSSIBLE TO IGNORE: IMPLEMENTING LONGEVITY PLANNING RESOURCES INTO YOUR BUSINESS
Learn how to create a differentiated advantage by changing the longevity conversation, provide clients with what they really want, and use the planning process to make your message impossible to ignore.

1 Premier Institute CE

WEALTH ADVISOR FORUM
These best sessions from the 2020 Wealth Advisor Forum have been packaged together for your convenience. These sessions provide insights, effective strategies, and real-world tools to add significant value for HNW clients. You will be able to distinguish yourself among those who serve HNW and ultra-HNW clients.

4 Premier Institute CE
BEHAVIORAL FINANCE COURSE

APPLIED BEHAVIORAL FINANCE - 20 CE

No matter what’s happening with interest rates or whether the market is up or down, behavioral finance affects us all—client and advisor alike. Understanding that we’re subject to the forces of behavioral finance and how to work with those forces to clients’ advantage can greatly enhance the advisor-client relationship.

Applied Behavioral Finance is designed to help advisors address common financial decisions that trip up investors. Featuring notable experts from leading business schools—such as Dan Ariely, Andrew Lo, Tobias Moskowitz, and Meir Statman—the program presents in-depth, thoughtful, and interesting research from the field today. Then, we’ll take it a step further and provide strategies and tactics to help you translate what you’ve learned to your own experience working with clients, including tips from notable practitioner and *New York Times Bucks Blog* columnist Carl Richards.

**Topic Highlights:**
- Why Behavioral Finance
- Principles of Behavioral Finance
- Behavioral Finance and Investing
- Communicating with Clients in Light of Behavioral Finance

Visit the Learning Center

**Earn a Certificate**

Approx. 20 Hours to Complete
Basic: $895, Signature: $671.25, Elite: $537

CFP® CE Eligible
Self-Paced
Assessment-Based
ON-DEMAND RECORDINGS: BEHAVIORAL FINANCE

BEHAVIORAL ADVISOR FORUM
We have cultivated the best content from 2020 Behavioral Advisor Forum into this content bundle. Experience the blending of modern behavioral science and finance. Curated with the latest research, top academics, and the best practitioners in the field, the most sought-after leading experts will help you find solutions for the complex problems of today with a holistic approach.
4 Premier Institute CE

BEHAVIORAL FINANCE TACTICS TO IMPROVE RETIREMENT READINESS
Advisors who can help clients prepare emotionally for financial challenges, risks, and opportunities, deliver higher, but doing so means focusing less on spreadsheets and more on coaching clients to incorporate the latest behavioral lessons.
1 Premier Institute CE

BOOST HAPPINESS AND MANAGE STRESS AND ANXIETY IN OUR UNCERTAIN WORLD
Discover how to use stress to boost performance and leadership, why mindfulness is now mainstream brain science, and how it is being used to treat and improve mental and physical health.
1 Premier Institute CE

CREATING A ROBUST PLAN FOR EMOTIONAL INVESTORS
Learn how to create and deliver a tailored investment strategy that accounts for the irrationality of the investor.
1 Premier Institute CE

DEPRESSION BABIES: HOW EXPERIENCES AFFECT RISK-TAKING
Join Professor Ulrike Malmendier, UC Berkeley, for an academic look at the effect of personal financial experiences on risk tolerance, and recognize the differences between salient early-life experiences versus experiences made more salient by their recency.
1 Premier Institute CE

THE PSYCHOLOGY OF A BLACK SWAN EVENT
Join Professor Greg La Blanc, UC Berkeley, to learn about “black swan” events and how you can immunize yourself from the risk of developing deep psychological bias to these events.
1 Premier Institute CE

LATEST RESEARCH ON RISK TOLERANCE: DEVELOPING AN INVESTOR RISK PROFILE
Join Professor John Grable, University of Georgia, for practical insights from his recent risk research. He provides a comprehensive framework for identifying and understanding an individual investor’s risk profile, incorporating both objective and behavioral attributes that reflect the interdependence of the investor’s underlying attitudes.
1 Premier Institute CE

UNCONSCIOUS COMMUNICATION & ENGAGEMENT: HOW REMOTE INTERACTIONS & ENVIRONMENTS OF UNCERTAINTY IMPACT CLIENT COMMUNICATION DYNAMICS
Learn to recognize how unconscious biases affect our decisions, particularly in times of crisis, and learn corrective techniques to account for them and to enhance your professional interactions in today’s remote world.
1 Premier Institute CE

WHAT EVERY BUSINESS PERSON SHOULD KNOW ABOUT NONVERBAL BEHAVIOR
Your nonverbal behavior is much more impactful than you think. Join Associate Professor Dana Carney, UC Berkeley, for simple things you can do to optimize interactions with others or better understand others’ interactions with you.
1 Premier Institute CE

THE PSYCHOLOGY OF OVERCONFIDENCE
Join Professor Don Moore, UC Berkeley, for academic insights on overconfidence and how achieving the “right” amount of confidence can unlock better outcomes, both personally and in relationships with clients.
1 Premier Institute CE

BIOLOGY, COMPLEXITY, AND THE BENEFITS OF BIAS
Join Professor Greg La Blanc, UC Berkeley, for an academic look at the ecological factors that have shaped human decision-making and how organizational design can help change human behavioral tendencies.
1 Premier Institute CE
EXCEPTIONAL ADVISOR - 5 CE, INCLUDING 1 ETHICS HOUR

Your Institute certification(s) differentiates you from other advisors, but are your prospective and current clients aware? Discover the characteristics of an exceptional advisor by uncovering and understanding the traits that clients consider important. Use the tools provided in the course to write plans for better communicating your value.

**Topic Highlights:**
- Understand what clients consider important
- Provide meaningful guidance
- Demonstrate advanced knowledge through your credentials
- Highlight your commitment to ethics by leveraging the Investments & Wealth Institute® Code of Professional Responsibility

**Earn a Certificate**

5+ Hours to Complete
Basic: $195, Signature: $146.25, Elite: $117

CFP® CE Eligible
Self-Paced
Assessment-Based

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WHAT MAKES AN EXCEPTIONAL ADVISOR?

The basic domains of organizations are the strategy, the work required to accomplish the strategy, the teams of people who do the work, and the individuals who make up those teams. High-performing organizations know how important it is that each domain is strong and skilled. That is why we map our courses and programs to the domains in the model on the right, and we focus on building your skills in those areas so you can be as successful as possible.

Learn More
ON-DEMAND RECORDINGS: PRACTICE MANAGEMENT

ADVISOR ALPHA DURING CRISIS
The value of professional financial advice has evolved from portfolios to people. In today’s health and financial crisis, the ability to add value is needed more than ever. Learn from experts about new research on advisor alpha and practical ways to deliver it during the COVID-19 crisis, and after.
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BETTER CLIENT OUTCOMES THROUGH EXTRAORDINARY TEAMWORK
Research has isolated the core elements of successful teams. Learn how to combine these elements to achieve extraordinary results for your clients.
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BEYOND FIDUCIARY: ENACTING LEADERSHIP, STEWARDSHIP, AND GOVERNANCE IN THIS VUCA WORLD
The industry is facing unprecedented volatility, uncertainty, complexity, and ambiguity (VUCA). Sean Hannah, PhD (Colonel, US Army Retired, Wake Forest University Professor) and his colleagues have created the theory and framework of Behavioral Governance® to chart the way forward for those who truly want to be exemplars and establish credibility, trust, and build influence with those they serve, particularly during times of VUCA.
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CREATING HIGH-PERFORMING TEAMS
Learn from 20 years of research about generational workplace biases, how they hinder team performance, and how to get generational biases out of your own way so that your teams can thrive.
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DRIVERS OF ENTERPRISE VALUE
In the world of financial advisory practices, the chief drivers of enterprise value are organizational, not financial. They’re also intrinsically linked to the value you create for clients, and begin with your practice’s to survive—and to thrive without you. How do you achieve this goal and equip your practice to deliver on the desires of your clients? The answer lies in the dreaded, overused word: holistic. Join Ray Scalfani as he calls for a shift in thinking from driving revenue to driving value.
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IS SERVICE A SUSTAINABLE COMPETITIVE ADVANTAGE?
In light of the coronavirus “new normal,” wealth managers are competing with world-class service providers such as Amazon and Google more than ever. Make sure you and your team are equipped to compete.
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RIGOROUS EMPATHY: HOW THE ADAPTIVE ADVISOR WILL SUCCEED
To remain both impactful and profitable, some advisors have embraced the new normal in which holistic decision-making and behavioral coaching is paramount. Have you? Discover the power of rigorous empathy to help your clients achieve true wealth.
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MAKING FINANCIAL PLANNING EFFICIENT
Explore the latest Kitces Research study, “How Financial Advisors Really Do Financial Planning” to understand how long it really takes to create and deliver a financial plan, where time-savings opportunities are (or are not), and more, to make the delivery of financial planning more efficient.
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RETHINK HOW TO SERVE EXECUTIVES
Are female investors less risk tolerant? Are their goals and needs really that different from their executive male counterparts? Learn both new findings about gender differences in HNW executives and how you can apply the research to adjust your approach and achieve better client outcomes.
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THIS IS YOUR TIME
This is an unprecedented time for us all. Navigating client conversations in this “new normal” is paramount. Take away six actionable ideas to deepen client connectivity, bring value to tomorrow’s clients, and fortify relationships with your “inner circle.”
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THE PATH TO EXCEPTIONAL (THROUGH THE EYES OF THE CLIENT)
The good news is that, even in a crisis, investors are generally satisfied. The bad news is that there is lurking risk as more clients consider changing advisors. Consider our most recent research on what it means to be an exceptional advisor, and walk away with a clear plan to transform clients from being “merely satisfied” to “profoundly engaged.”
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THE VIRTUAL CLIENT EXPERIENCE: FROM CONVERSATION TO TRANSFORMATION
For years, we have taken for granted the ability to spend time face-to-face with a client. Go back to basics to ensure you still create enriched relationships virtually.
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WHAT’S THE NEXT BIG THING?
From income-sharing agreements to the non-financial trends that may overhaul the housing market, to artificial intelligence that will help mold the conversations that you’re having with clients, are you prepared to embrace and answer client questions about “the next big thing.”
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RETIREMENT MANAGEMENT

The Institute offers a variety of on-demand recordings and resources around all stages of retirement, including planning for the transition from accumulation to decumulation.
ON-DEMAND RECORDINGS: RETIREMENT MANAGEMENT

RETIREMENT MANAGEMENT FORUM
The top sessions from the 2020 Retirement Management Forum have been curated for your convenience. Clients of all ages are looking for expertise in retirement planning, especially when it comes to holistic, multidisciplinary planning for an entire household.

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RETIREMENT-INCOME STRATEGIES
Learn strategies for designing holistic, goals-based retirement-income plans for your clients who are transitioning from accumulation to decumulation.

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A RETIREMENT PLAN COMMITTEE PROVES PRUDENCE & PARTICIPANT LOYALTY
Serving as fiduciary of an employer-sponsored retirement plan is a significant responsibility. Learn how the American Century Investments Retirement Committee successfully defended itself against a class-action lawsuit by demonstrating a consistent and prudent process in which participants’ best interests remained the true north.

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AN AGING WORLD: CHALLENGES AND OPPORTUNITIES FOR FINANCIAL ADVISORS
Examine the findings of recent studies on health in retirement, women and finances, and caregiving insight into trends associated with an aging population. Discuss ways to convert takeaways into fruitful, results-driven financial planning conversations.

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ASSET-LIABILITY MATCHING: HOW TO CREATE A SAFE RUNWAY INTO RETIREMENT
How do you make sure a client’s portfolio can deliver reliable retirement paychecks as the client transitions into retirement? Asset-liability matching is one way to do it.

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BEHAVIORAL OUTCOMES OF RETIREMENT PLANNING
This candid conversation between Investments & Wealth Institute Chief Learning Officer Devin Ekberg and PIMCO Executive Vice President & Product Strategist Avi Sharon will provide you insights about how to make behavioral biases work for, not against, the retiree in an intuitive way.

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HOW THE SECURE ACT CHANGES IN RETIREMENT PLANNING
The headline from the SECURE Act is its changes to the “stretch” rules for designated beneficiaries, but that’s far from the only change that will impact advisors and their clients. Learn about each of the major changes made by the SECURE Act, exploring both the new challenges, and planning opportunities, it creates.

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INCORPORATING THE HOUSING ASSET IN RETIREMENT PLANNING
Explore a clear road map to use the Home Equity Conversion Mortgage (HECM) to solve financial challenges and four vital pieces of information (the 4 Nevers®) that demolish the negative lore that attends reverse mortgages. Shelley Giordano, author of What’s the Deal with Reverse Mortgages, and co-author of What You Don’t Know About Retirement Income Can Hurt You, breaks down how reverse mortgages have changed, and why retirement experts recommend a new approach to them.

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MODERN RETIREMENT PORTFOLIO THEORY: THE EFFICIENT INCOME FRONTIER
Explore methods to improve retirement portfolios and ways you can add significant value to clients in need of a distinct retirement income-plan.

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INCOME TO OUTCOME: THE PIMCO RETIREMENT FRAMEWORK
Add value to your retiree clients by aiming to make behavioral biases work for, not against, the retiree in an intuitive way.

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ON-DEMAND RECORDINGS: RETIREMENT MANAGEMENT

PLAN FOR THE 21ST CENTURY RETIREMENT
Older workers face a series of critical decisions as they transition from the workforce into retirement. Learn how you are ideally positioned to help your clients navigate these decisions and evaluate results.
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SOCIAL SECURITY & MEDICARE INTEGRATION
These two powerful federal programs serve as the foundation to most every client’s retirement income, but get it wrong and there are costly and permanent penalties to pay. Take away new tips and key discussion points to share with clients who think they’re ready to jump into the fray.
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SOCIAL SECURITY: ADDRESSING CRITICAL ISSUES FOR CLIENTS
Social Security plays an integral role for those already in or preparing for retirement. Can you answer all your clients’ questions about this important benefit program?
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REDEFINING RETIREMENT
Advisors continually face the complexities of clients’ issues on finances, but more often they are expected to be a personal counselor and they offer non-financial advice. Learn some of the challenges faced by your retiree clients so that you can better relate and better serve them.
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RETIREMENT AND ITS DISCONTENTS: WHY WE WON’T STOP WORKING, EVEN IF WE CAN
Join Professor Michelle Silver, University of Toronto, for an academic look at how aging is different today than in the past. Rethinking your perceptions may change the way you approach retirement planning with clients.
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THE LONGEVITY ECONOMY
Gain a framework and insights to excite and delight the fastest-growing global market: a vast, diverse group of consumers representing every possible level of health and wealth, worth about $8 trillion in the United States alone that comprises the world’s third-largest economy after the United States and China.
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WORKING WITH CLIENTS WITH DIMINISHED CAPACITY
According to the Alzheimer’s Association, Alzheimer’s disease will strike more than 8 million Americans by 2030 (a rise of 60% from 2010). If you don’t know what steps to take to protect your client and your practice, both may be at risk.
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10 CRITICAL IRA ERRORS ADVISORS MUST AVOID
Each year, client mistakes, advisor errors, and oversights by financial institutions cost clients millions of dollars in unnecessary taxation. Learn the 10 most frequent and costly individual retirement account (IRA) mistakes to avoid contributing to that trend.
1 Premier Institute CE, Tax and Regulations credit
As an organization that was built on the foundation of ethics, we are committed to educating and upholding our certificants to the same standard. This is why we require our certificants to earn 2 credit hours of ethics every two years to remain in good standing. The following pages contain our current library of options for on-demand ethics recordings. More content is being added daily, so visit the online course catalog here.
ON-DEMAND RECORDINGS: ETHICS

STOLEN WITHOUT A GUN: ANATOMY OF A WHITE COLLAR CRIME
Walt Pavlo delivers his candid, first-person account of how he participated in a major fraud, which was part of the largest accounting fraud in the United States.
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THE ESSENTIAL TIE BETWEEN ETHICS AND LEADERSHIP
Business leaders must prioritize ethical decision-making. Learn why setting a tone and creating a culture that inspires ethical decision-making at every level of your organization is so important in the modern workplace.
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TIMELESS LESSONS FROM THE MADOFF SCANDAL
A better understanding of how Bernie Madoff’s fraud worked can inform a smarter approach to this hazard for all investors and for everyone trying to keep investors safe from such predators.
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WHAT BUSINESS ETHICS IS NOT
Ethics is not and cannot become marketing, compliance, law, or even assertions of universal morality. Hear from Professor Peter Conti-Brown of The Wharton School, University of Pennsylvania, for an academic look at how ethics is about personal values and organizational culture—where those reinforce each other and, more importantly, where they conflict.
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ETHICAL MANAGEMENT FOR FOUNDATION AND ENDOWMENTS CONSULTING
The marketplace for advisors in the nonprofit space is substantial. Advisors and consultants can differentiate themselves by ethically serving these institutions, and facilitating effective fiduciary governance. Scott Thayer, CIMA®, discusses why ethics matters, how to facilitate group decision-making, and how to help govern accordingly.
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WEBINARS

Learning opportunities on your schedule.

Whether you are looking for an hour-long overview, a half-day summit, or an event that is grounded in the Institute’s Women in Wealth or Diversity Elevates Initiatives, there is something for everyone.

FOCUS SERIES
The Institute’s Focus Series promises to take a deep dive into the complexities of a specific industry topic or theme that our members have expressed interest in learning more about. Led by industry thought leaders, the Focus Series will immerse you in a single industry theme, featuring timely Focus On Series content that matters, right now.

Advanced Advisor Education Workshop: Retirement Income Strategies
August 4, 2021, 1–3 p.m.
2 CE Premier Institute CE CFP CE

Focus on Exchange-Traded Funds
August 25, 2021, 11 a.m–3:30 p.m. EST
4 Premier Institute CE CFP CE

Focus on Retirement Planning
December 1, 2021, 11 a.m–3:30 p.m. EST
4 Premier Institute CE CFP CE, pending approval

DIVERSITY ELEVATES SERIES
The Diversity Elevates Initiative offers guidance for the advisor community, from the forward-looking perspective that racial and ethnic diversity is imperative to advancing the financial advice profession.

Building Trust Within Diverse Teams
February 10, 2021, 3:30–4:30 p.m. EST
1 CE Premier Institute CE CFP CE

Activating Professional Communities to Narrow the Equity Gap Caused by COVID-19
June 17, 2021, 2–3:00 p.m. EST
1 CE Premier Institute CE

WOMEN IN WEALTH SERIES
Our Women in Wealth mission is to become the fastest-growing and leading provider of certifications for women in the financial industry.

Wealth Advisor Forum Reception
September 13–14, 2021
Chicago, IL

Investment Advisor Forum
December 6–7, 2021
New York, NY

EXCEPTIONAL ADVISOR
Our Exceptional Advisor Webinar Series is designed to drive discussion and dialogue surrounding current events, providing you with insider perspective and actionable strategies you can put into practice.

‘Money Jobs’: Is Your Money Working for You?
September 16, 2021, 4:30–5:15 p.m. EST

How to Assess Retirement Readiness for Your Clients
November 18, 2021, 4:30–5:15 p.m. EST

For more upcoming events check out the website.
PODCASTS

Stay ahead of the curve and updated on the latest trends, tips, and best practices with our Exceptional Advisor Podcast Series. Covering the latest in investment management, wealth management, retirement management, and behavioral finance.

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