BECOME PART OF THE COMMUNITY

Shaping the future of investment advice

PARTICIPATE WITH INTENT.

SOLVE TOGETHER.

THINK FORWARD.

MONEY MANAGEMENT INSTITUTE

OUR MISSION

Established in 1997, the Money Management Institute (MMI) serves as the collective voice of the investment advisory solutions industry.

For more than 25 years, MMI has nurtured a vibrant, member-led ecosystem that mirrors the vast and evolving investment landscape. It's a place where wealth managers, asset managers, and solutions providers come together, not just as professionals, but as collaborators, to foster meaningful relationships and the open exchange of ideas. Through industry-leading events, professional development programs, peer networks, and advocacy initiatives, MMI empowers its members to participate with intent, solve together, and think forward. Together, they tackle the industry's toughest challenges, ensuring the community's strength and resilience will endure for years to come.

THE VALUES THAT DRIVE OUR MEMBERSHIP:

PARTICIPATE WITH INTENT.

SOLVE TOGETHER.

THINK FORWARD.

OUR MEMBER NETWORK

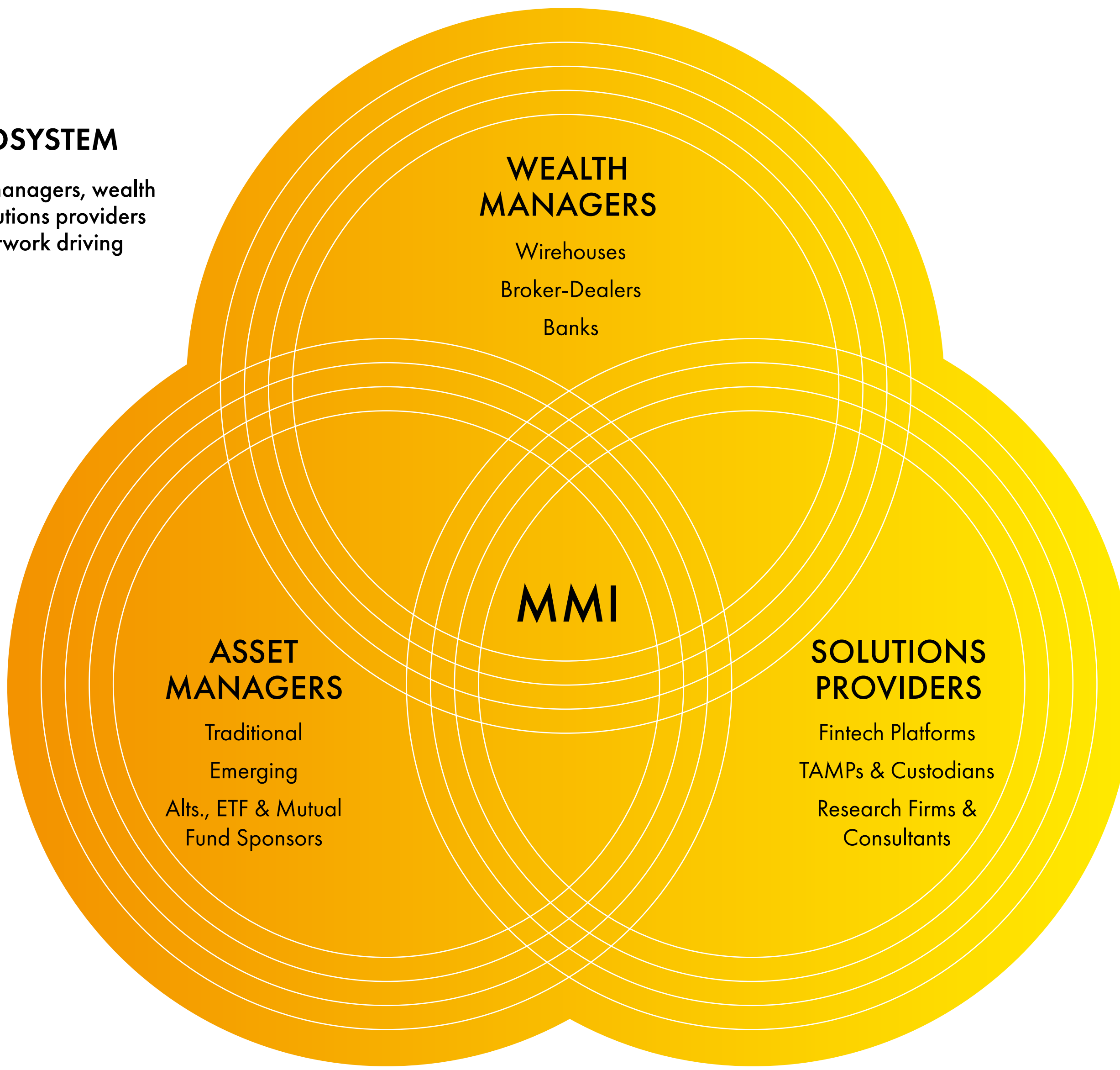
With a membership representing 95% of investment advisory solutions assets, MMI is purpose-built to connect firms, shape best practices, and drive progress in investment advice. It serves as a vital bridge where tradition meets innovation, uniting diverse voices around a common goal.

With over 200 member firms and 12,000+ engaged professionals, MMI brings together the full spectrum of the advisory solutions industry. Our membership includes established and emerging asset managers, wealth management organizations of every model, and leading solutions providers offering technology, platforms, and services. More than a third of member firms have been part of MMI for over a decade—forming a deeply rooted community rich with experience and institutional knowledge. This strong foundation, energized by a steady flow of new members bringing fresh ideas and perspectives, makes MMI the leading forum for industry connections and innovation.

> By getting involved with MMI you're encouraged to get outside of your comfort zone to bounce ideas, hear different viewpoints, and think about challenges in a whole new way.
>
> **HEAD OF FUND DISTRIBUTION, ASSET MANAGER**

THE MMI ECOSYSTEM

Connecting asset managers, wealth managers, and solutions providers in one powerful network driving industry progress.



MAKING THE MOST OF YOUR MMI MEMBERSHIP

As a member of MMI, you step into a vibrant community where opportunities to **Participate with Intent, Solve Together,** and **Think Forward** come to life. Through thoughtfully designed benefits and services, MMI empowers professionals with the insights and tools to succeed at every stage of your career while helping firms with the resources and insights to lead across the full investment landscape.

EVENTS THAT BRING THE INDUSTRY TOGETHER

- Annual Conference & Leadership Summit
- Thematic Forums on key trends
- Executive Roundtables
- Webinars with timely insights

COMMUNITIES DRIVING COLLABORATION AND BEST PRACTICES

- Peer communities by function and area of focus
- Thrive community for emerging asset managers

PROFESSIONAL DEVELOPMENT THAT KEEPS YOU CAREER-READY AT EVERY STAGE

- Academy Program for early-career talent
- Leadership Pathway for rising leaders
- Executive IQ® for senior executives
- Continuous Learning Center with CE credit opportunities

INSIGHTS THAT HELP YOU ANTICIPATE CHANGE AND PREPARE FOR WHAT'S NEXT

- MMI/Cerulli Advisory Solutions Data
- Research reports & white papers
- Journal of Investment Advisory Solutions
- Member surveys & thought leadership

ADVOCACY & ENGAGEMENT THAT AMPLIFIES YOUR VOICE AND DRIVES PROGRESS

- Industry awards & recognition programs
- Representation on regulatory issues
- Gateway Foundation advancing inclusion

"MMI has tremendous resources. The networking at the MMI Annual Conference is outstanding, offering an opportunity to connect with industry peers and learn best practices. The MMI communities are built around different job functions within organizations, fostering relationships and collaboration. We have sent high-potential employees to the Executive IQ and Leadership Pathway professional development programs, and they genuinely appreciate our investment in their growth.

HEAD OF FUND DISTRIBUTION, ASSET MANAGER

EVENTS

BRINGING THE INDUSTRY TOGETHER — FROM FLAGSHIP CONFERENCES TO INTIMATE ROUNDTABLES

> "The power of MMI events isn't just about what's on the agenda—it's about who's in the room. People show up because they know the conversations will be meaningful, and there's real opportunity to build lasting relationships.
>
> **SENIOR DIRECTOR, WEALTH MANAGER**

MAJOR CONFERENCES | ~ 300–600+ INDUSTRY LEADERS

Multi-day in-person events designed as flagship gatherings for leaders at the heart of the advisory ecosystem:

- **Annual Conference:** The advisory industry's flagship annual conference, bringing together approximately 600 leaders for three days of multi-track programming, big-picture dialogue, and relationship building.
- **Leadership Summit:** A focused, high-impact forum of approximately 300 senior executives to address emerging challenges and shape future priorities.

THEMATIC FORUMS | ~50–125 PARTICIPANTS

Topic-specific programs throughout the year to explore critical industry themes and trends. Each forum is tailored to drive practical insights and peer-to-peer discussion. Recurring forums include:

- Alternative Investments
- Annuity & Insurance Solutions
- Distribution & Sales
- Institutional
- Legal & Compliance
- Thrive Forum for emerging asset managers
- Women in Advisory Solutions

EXECUTIVE ROUNDTABLES | ~25 SENIOR LEADERS

Invitation-only, senior-level briefings throughout the year to delve into strategic industry opportunities and challenges:

- **Executive briefings** with targeted agendas
- **Facilitated discussions** that enable direct engagement among key decision-makers

WEBINARS | THOUSANDS OF PARTICIPANTS THROUGHOUT THE YEAR

A year-round calendar of virtual programs offering convenient, complimentary access to timely knowledge and expert perspectives on key industry topics.

COMMUNITIES

CONNECTING PROFESSIONALS ACROSS ROLES AND FIRMS TO FOSTER COLLABORATION AND THE OPEN EXCHANGE OF IDEAS

MEMBER COMMUNITIES

Our peer communities are led by members and shaped by the industry's most important issues. Meeting regularly throughout the year, they provide year-round opportunities to come together, collaborate, and tackle the challenges that matter most on key industry themes. Each community focuses on a specific discipline or topic, creating tailored forums where ideas flow freely, learning is constant, and leadership naturally emerges.

ADVISORY PRODUCTS & SOLUTIONS

A community for experts to track developments from ETFs to SMAs, serving as a resource on industry impact and advisor adoption.

ALTERNATIVE INVESTMENTS

A hub for exploring new products, distribution trends, and the expanding role of alternatives and private markets in advisory solutions.

ANNUITY & INSURANCE SOLUTIONS

Where product, distribution, asset, and wealth management experts partner to innovate and grow the annuity and insurance marketplace.

DISTRIBUTION & SALES

A space for leaders to address changing go-to-market strategies, strengthen advisor engagement, and share best practices for driving results.

INSTITUTIONAL

Where institutional and wealth leaders come together to share best practices and integrate perspectives across channels.

LEGAL & COMPLIANCE

A collaborative forum of executives, compliance officers, and legal counsel navigating regulation, shaping policy, and preparing the industry for future compliance demands.

MARKETING

A community for marketing professionals to exchange ideas, explore the strategic impact of marketing, and share best practices that drive innovation and growth.

TECHNOLOGY & DIGITAL ADVICE

A network of innovators leading the charge in digital transformation and tech-enabled investor outcomes.

"

My strongest and best industry relationships have MMI roots. Having been actively involved with their various communities, I learn new things, build important relationships, advance my business and that of my clients, partners, and friends.

EVP, CHIEF GROWTH OFFICER, FINANCIAL TECHNOLOGY PROVIDER

FOR DETAILS ON MEETING SCHEDULES, CURRENT CO-CHAIRS, AND DISCUSSION TOPICS, VISIT THE COMMUNITIES PAGE ON OUR WEBSITE.

THRIVE COMMUNITY—THE PREMIER DESTINATION FOR EMERGING ASSET MANAGERS

MONEY MANAGEMENT INSTITUTE | THRIVE

MMI's Thrive initiative is designed to champion emerging asset managers (EAMs) managing less than $25 billion in retail advisory AUM. As a part of their MMI membership, participating firms step into a supportive community designed to address the unique challenges and opportunities faced by smaller and mid-sized players in the market.

BENEFITS OF THRIVE PARTICIPATION:

- **Build valuable industry relationships** through community calls, executive roundtables, and the in-person Thrive Forum, each designed to foster genuine connection and collaboration.
- **Engage with** leading platform providers and distribution partners in intimate, small-group settings designed for meaningful dialogue and lasting partnerships.
- **Stay ahead of the curve** with curated content on distribution strategies, product development, and regulatory navigation.
- **Accelerate growth** by engaging with specialized vendors and sponsors who can help advance your firm's objectives.

PROFESSIONAL DEVELOPMENT

PROGRAMS THAT EQUIP YOU FOR WHAT'S NEXT—WITH CONNECTIONS THAT ENDURE

MONEY MANAGEMENT INSTITUTE | ACADEMY

FOR EARLY-CAREER PROFESSIONALS (<5 YEARS EXPERIENCE)
Academy is a three-week program for members that combines graduate-level learning hosted by NYU Stern Executive Education with real-world exposure through member workshops and an in-person residency—equipping early-career professionals with the tools for long-term success.

MONEY MANAGEMENT INSTITUTE | LEADERSHIP PATHWAY

FOR EMERGING TALENT (5–10 YEARS EXPERIENCE)
Leadership Pathway is a transformative two-year program that combines mentorship, coaching circles, peer pods, and direct access to industry experts. A highlight of the journey is the Leadership Pathway Seminar—MMI's signature leadership experience delivered by Duke Corporate Education—where participants hone strategic thinking and leadership acumen in a high-impact real-world setting. Throughout the program, participants build their leadership presence and form lasting bonds with a cohort of emerging changemakers.

MONEY MANAGEMENT INSTITUTE | EXECUTIVE IQ®

FOR SENIOR LEADERS (10+ YEARS EXPERIENCE)
Executive IQ® by Money Management Institute is a 12-month program delivered with UVA Darden and PwC, blending academic coursework, case competitions, and dedicated executive coaching—equipping senior leaders to lead with confidence through unparalleled access to expert perspectives and peer exchange.

SS&C LEARNING INSTITUTE

DACFP Digital Assets Council of Financial Professionals

INVESTMENTS & WEALTH INSTITUTE®

CAIA ASSOCIATION®

CONTINUOUS LEARNING CENTER (FOR EVERY CAREER STAGE)
Strengthen your expertise and accelerate your career with premium learning programs available at exclusive discounted rates for MMI members. Through the Continuous Learning Center, members gain access to high-quality courses from renowned providers—including the SS&C Learning Institute, the Chartered Alternative Investment Analyst (CAIA) Association, the Investments & Wealth Institute (IWI), and the Digital Assets Council of Financial Professionals (DACFP). Each course offers CE-credit opportunities to help you stay current, competitive and positioned for what's next.

> Being a part of MMI has provided the single most impactful opportunity to grow and learn outside of my firm. MMI's commitment to continuing education is unmatched in the benefit it brings to our communities of like-minded professionals.

HEAD OF PRACTICE MANAGEMENT, PRIVATE WEALTH

INSIGHTS

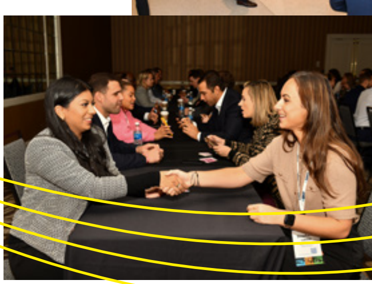
TIMELY RESEARCH AND INTELLIGENCE TO GUIDE STRATEGY AND ANTICIPATE CHANGE

MMI-CERULLI ADVISORY SOLUTIONS DATA
A single, authoritative source of data on the advisory solutions marketplace to assist members with strategic planning and analysis. Members receive a quarterly quantitative summary and access to an online portal, which allows firms that contribute data to view the underlying dataset.

THOUGHT LEADERSHIP
A robust calendar of white papers, research reports, and other publications produced in collaboration with respected subject matter experts.

MMI JOURNAL OF INVESTMENT ADVISORY SOLUTIONS
A scholarly journal, released throughout the year, that presents articles and reports on topics critical to the future of investment advice and solutions.

MMI INVESTMENT ADVISORY PULSE SURVEY
An annual survey, produced in conjunction with Broadridge, capturing member perspectives on key distribution, product, and business issues.



ADVOCACY & ENGAGEMENT

AMPLIFYING MEMBER VOICES TO BUILD A MORE RESILIENT, INCLUSIVE INDUSTRY

At MMI, we believe that a stronger, more resilient investment advisory industry is built when voices come together. Guided by our commitment to being active industry participants, we convene members through the Legal & Compliance Community to exchange perspectives and stay ahead of the evolving regulatory and compliance landscape.

One way members make an impact is through comment letters—formal responses to proposed regulations that provide insights, raise concerns, and offer recommendations. By leveraging the collective expertise of our members, MMI ensures the interests of the advisory solutions industry are represented and helps member firms navigate regulatory change.

MONEY MANAGEMENT INSTITUTE | GATEWAY

The Gateway Foundation is a 501(c)(3) non-profit organization established by MMI to drive meaningful change in the financial services industry.

Through close collaboration with our network of member firms, Gateway works to create lasting opportunities and foster broader industry participation for underrepresented communities.

In addition to these member-driven initiatives, MMI partners with peer organizations to advance shared priorities across the industry, amplifying our collective impact and accelerating progress toward a more equitable future.

AWARDS

HONORING TODAY, SHAPING TOMORROW: MMI CELEBRATES LEADERSHIP AND INNOVATION THAT ELEVATE OUR INDUSTRY

As part of our commitment to fostering an engaged community and celebrating excellence, MMI has established signature awards programs that spotlight the individuals and firms shaping the future of investment advice. These awards shine a light on innovation, leadership, and member contribution—recognizing both individual and organizational achievement while highlighting the collective progress of our community.

MMI/BARRON'S INDUSTRY AWARDS
Presented each fall at the MMI Annual Conference, these awards honor firms for achievements across categories such as digital innovation, distribution excellence, and more.

INDUSTRY LEADERSHIP AWARD
Presented each fall at the MMI Annual Conference, this award recognizes an individual who sets the standard for industry excellence through their strategic vision and impact.

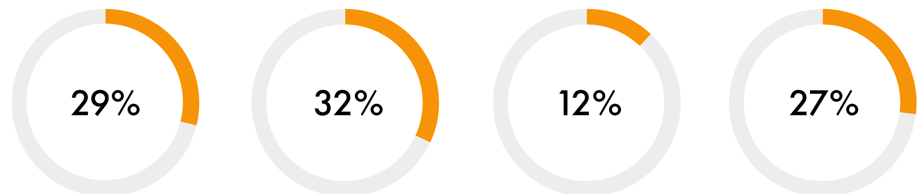
MEMBER RECOGNITION AWARDS
Presented annually at the MMI Leadership Summit, these awards celebrate members who demonstrate outstanding engagement and service to the MMI community.

INSIDE THE MMI NETWORK

A SNAPSHOT OF OUR MEMBERSHIP BASE—BY FIRM TYPE, TENURE, AND GEOGRAPHY

210 MEMBER FIRMS AS OF Q3 2025

BY FIRM TYPE



61 ASSET MANAGERS

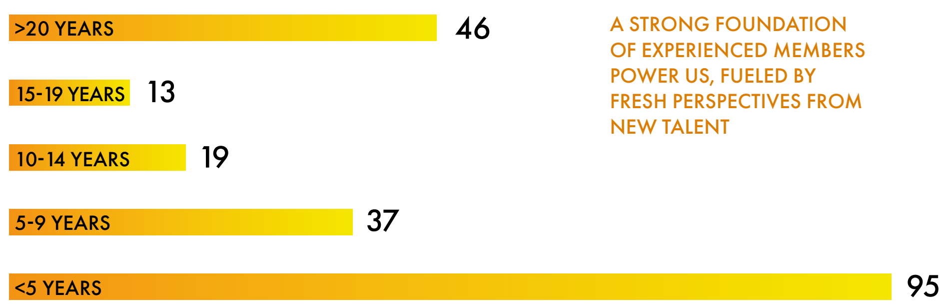
68 EMERGING ASSET MANAGERS
(AKA Thrive Members)

25 WEALTH MANAGERS

56 SOLUTIONS PROVIDERS

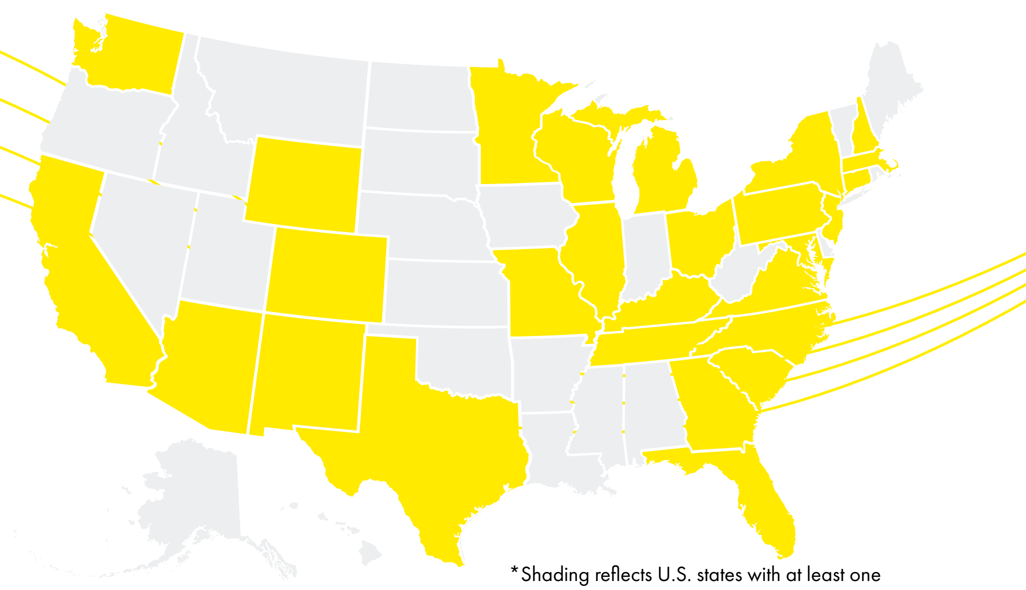
> MMI is more than networking, it's real relationship building and understanding what others in the industry are going through. We're all solving the same problems differently, but we share a responsibility to make the industry better. When we buy into that and share ideas, that's where the real value comes from.
>
> **SENIOR DIRECTOR, WEALTH MANAGER**

BY LENGTH OF MEMBERSHIP



A STRONG FOUNDATION OF EXPERIENCED MEMBERS POWER US, FUELED BY FRESH PERSPECTIVES FROM NEW TALENT

BY GEOGRAPHY*



*Shading reflects U.S. states with at least one member firm; MMI membership also extends to Canada and Japan.

ADVANCING THE INVESTMENT INDUSTRY, TOGETHER

Expand your impact at **mminst.org**

MONEY MANAGEMENT INSTITUTE
1410 Broadway
Suite 2601
New York, NY 10018

For membership inquiries please contact:
Ken Bossen
Executive Vice President
Director of Membership Services
646-505-4991
kbossen@mminst.org

MONEY MANAGEMENT INSTITUTE