Promoting a Culture of Professional Development and Continuous Learning

The MMI Continuous Learning Center is a comprehensive educational resource for individuals beginning a career in financial services or for industry professionals seeking to enhance their industry knowledge or advance their career. We welcome the opportunity to discuss how we can assist you or your firm with your professional development and continuing education goals.

Continuous Learning Center

- Fundamentals of Investment Advisory Solutions
- Sustainable Investing Curriculum
- Wholesaler Training Curriculum
- Wealth Management Essentials
- Education Marketplace
CONTINUOUS LEARNING CENTER

ABOUT THE PROGRAM
The MMI Continuous Learning Center offers a structured, comprehensive education platform for all career stages of the investment professional. Through collaboration with MMI member firms and expert third-party educational organizations, the Continuous Learning Center provides online introductory, intermediate and specialized courses. Courses are continuously updated to keep in step with industry trends and regulatory developments.

AVAILABLE PROGRAMS

Fundamentals of Investment Advisory Solutions
This curriculum delivers a 360-degree perspective of the rapidly-evolving investment advisory space. The eight-course series provides 3.4 hours of content covering the evolution of the advisory business, current trends, and general principles of asset allocation, due diligence, performance reporting, and fiduciary requirements. Eligible for CE credits for Investments & Wealth Institute® CIMA®, CPWA®, CIMC®, and RMA®; Fi360 AIF®, AIFA®, and PPC®; and CFP® designations.

Sustainable Investing Curriculum
This eight-course, 3.4-hour curriculum provides an introduction to the fundamentals, principles, and practices of sustainable and ESG investing for financial advisors and industry professionals who want to apply sustainable investing concepts. Eligible for CE credits for Investments & Wealth Institute® CIMA®, CPWA®, CIMC®, and RMA®; Fi360 AIF®, AIFA®, and PPC®; and CFP® designations.

Wholesaler Training Curriculum
The Curriculum provides external and internal wholesalers with practical insights, best practices, and field-tested strategies from a who’s who of industry distribution leaders and sales experts. Presented in collaboration with Wilke & Associates, the 29 modules comprise seven hours of core content and three hours of advanced content focused on high-impact advisor engagement and effective client conversations. Eligible for CE credits for Investments & Wealth Institute® CIMA®, CPWA®, CIMC®, and RMA®; and Fi360 AIF®, AIFA®, and PPC® designations.

Wealth Management Essentials
This curriculum should be a prerequisite for anyone interested in pursuing a career in wealth management. There are 30 courses focused in five key areas: Introduction to Financial Markets, Investment Products Landscape, Investment Management Principles, Client Management, and Elements of Corporate Finance. Eligible for CE credits on an individual course basis from Investments & Wealth Institute® for CIMA®, CPWA®, CIMC®, and RMA® designations.

Education Marketplace
To address other critical knowledge gaps in the rapidly changing financial services industry, MMI has partnered with a number of industry-leading organizations to offer their well-regarded training curriculums through the Continuous Learning Center. This Education Marketplace includes offerings from CAIA Association, CFA Institute, Investments & Wealth Institute, PRI Academy and US SIF Foundation.
CAREER READY AT EVERY STAGE
The Center offers courses appropriate for individuals with any level of industry knowledge, experience, or role. With 100+ hours of course content available, the modular set-up means you can customize the learning experience most appropriate for you—or for different members of your team.

Firm Benefits

- **Best-in-Class Learning**
  - Built with the guidance and input of MMI members
  - Content developed by subject matter experts
  - Regularly updated to keep up with latest industry trends

- **Turnkey Solution for Talent Development**
  - Streamlines new employee onboarding
  - Provides training progression for employees at all levels
  - Creates leverage for in-house L&D and training teams
  - Provides a competitive edge and differentiation
  - CE credits available for Investments & Wealth Institute®, Fi360, and CFP® designations

- **Streamlined On-Demand Access**
  - State-of-the-art learning management system powered by Kaplan SmartPros
  - Accessible 24/7 to accommodate any schedule
  - Mobile-friendly format
  - Reporting tools to monitor course progress
  - Digital badges available upon course completion

- **Flexibility to Suit Your Specific Business Needs**
  - MMI member and bundled pricing options available
  - Third-party course hosting available through AICC-link capability
AVAILABLE CURRICULUMS

Fundamentals of Investment Advisory Solutions
Core courses designed to orient new employees or to fill in knowledge gaps for current employees, preparing them for career progression and long-term success. Suitable for home office professionals or financial advisor teams.

- IAS201 Industry Components and Trends, Part 1
- IAS202 Industry Components and Trends, Part 2
- IAS203 Investment Products and Solutions
- IAS204 The Critical Value of Due Diligence and Oversight
- IAS205 Asset Allocation and Portfolio Construction
- IAS206 The Consultative Process and Relationship to Wealth Management
- IAS207 Benchmarking and Performance Reporting
- IAS208 Code of Conduct and the Investment Advice Business

“The Fundamentals course helps you understand how the advisory business is interconnected and unveils the much broader industry landscape, product universe, regulatory environment, and client experience. It will help us all be more aware and effective strategists, product managers, and relationship managers.”
—Senior Manager, Business Strategy, Full-service Brokerage Firm

Sustainable Investing Curriculum
Intermediate-level overview of sustainable investing concepts and best practices. Suitable for home office professionals as well as financial advisors and their teams.

- ESG101 What is Sustainable Investing?
- ESG102 The Importance of Sustainable Investing
- ESG103 Introduction to ESG Analysis
- ESG104 Understanding ESG: Environmental Issues
- ESG105 Understanding ESG: Social Issues
- ESG106 Understanding ESG: Corporate Governance
- ESG107 Impact Investing
- ESG201 Integrating ESG into Investment Advice

The complete ESG200 series will be available in Q1 2020.
Wholesaler Training Curriculum

Core and advanced courses designed for investment advisory distribution professionals. Suitable for external and internal wholesalers as well as other professionals who connect to the sales process, including key accounts, national accounts and marketing representatives.

SERIES 1.0 CORE COURSES

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<td>Welcome to the MMI Wholesaler Training Curriculum</td>
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<td>WTC102</td>
<td>Foundations: What do Barron’s Top Advisors Want from Wholesalers?</td>
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<td>WTC103</td>
<td>Foundations: Views on Wholesaling</td>
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<td>WTC104</td>
<td>Foundations: Becoming the Trusted Advisor to Trusted Advisors</td>
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<td>WTC105</td>
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<td>Foundations: Wealth Management Trends</td>
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<tr>
<td>WTC107</td>
<td>Foundations: Key Financial and Robo Advisor Trends to Engage Advisors</td>
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<tr>
<td>WTC108</td>
<td>Territory: Create a Target Advisor Profile—Who is Your Best Advisor?</td>
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<tr>
<td>WTC109</td>
<td>Territory: Territory Organization Strategies Using the ARMS Segmentation Analysis</td>
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<td>WTC110</td>
<td>Territory: Leveraging Analytics for External Sales Consultants</td>
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<tr>
<td>WTC111</td>
<td>Territory: The Wholesaler’s Prep Checklist—Be Prepared for Every Meeting or Call</td>
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<td>WTC112</td>
<td>Territory: Building Your Value Proposition</td>
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<td>WTC113</td>
<td>Territory: Deliver High Impact Service to Advisors—Build a World Class Model</td>
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<td>WTC114</td>
<td>Territory: Power Partnerships—How External and Internal Teamwork Strategies Drive Productivity and Results</td>
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<td>WTC115</td>
<td>Technology: Shorten the Sales Cycle by Leveraging Social Media</td>
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<td>WTC116</td>
<td>Technology: Tablets for Wholesaler Productivity</td>
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<td>WTC117</td>
<td>Technology: Effectively Working with Wirehouses</td>
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<td>WTC118</td>
<td>Technology: Effectively Working with RIAs</td>
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<td>WTC119</td>
<td>Technology: Effectively Working with IBDs</td>
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<td>WTC120</td>
<td>Technology: Value-add Strategy—Show Advisors How to Gain Referrals with LinkedIn</td>
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SERIES 2.0 IMPACTFUL CONVERSATION STRATEGIES FOR ADVISORS AND THEIR CLIENTS

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<td>Portfolio Construction—The Advisor View</td>
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<td>WTC204</td>
<td>Understanding the Life of a Business Owner</td>
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<td>WTC205</td>
<td>Success Tips from Top Women Wholesalers</td>
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<td>WTC206</td>
<td>Keys to a Winning Advisor Service Model</td>
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<td>WTC207</td>
<td>Driving Sales Virtually</td>
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<td>WTC208</td>
<td>Maximize Attending Conferences</td>
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<td>WTC209</td>
<td>The Power of the Right Words</td>
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“This curriculum will help external and internal wholesalers take their business to the next level. The presenters are extremely knowledgeable and well-respected in the industry, and the modules provide diverse and meaningful content that sales teams can immediately apply to their territories.”

—Senior External Wholesaler, Large Asset Management Firm
Wealth Management Essentials

Thirty fast-paced courses that provide a well-rounded introduction to the financial services and investment management industry. Suitable for anyone beginning—or considering—a career in the financial arena.

INTRODUCTION TO FINANCIAL MARKETS

1. Introduction to Securities Markets
2. Introduction to World Equities Markets
3. Introduction to World Bond Markets
4. Introduction to Private Equity

INVESTMENT PRODUCTS LANDSCAPE

5. Investing in Equity
6. Investing in Bonds
7. Exchange Traded Funds
8. Mutual Funds
9. Alternative Investments
10. Investing in Hedge Funds
11. Insurance Overview—US

INVESTMENT MANAGEMENT PRINCIPLES

12. Investment Principles
13. Asset Allocation
14. Portfolio Returns
15. Portfolio Risk
16. Portfolio Diversification
17. Understanding Uncertainty
18. Introduction to Portfolio Management

CLIENT MANAGEMENT

19. The Human Side of Investing
20. Introduction to Financial Planning Products
21. Understanding Financial Planning
22. Introduction to Performance Measurement
23. Managing Client Expectations
24. Information Security Awareness

ELEMENTS OF CORPORATE FINANCE

25. Introduction to Investment Banking
26. Introduction to Corporate Finance
27. Time Value of Money
28. Introduction to Economic Profit
29. Fundamentals of Economic Indicators
30. Capital Asset Pricing Model
Education Marketplace

Highly-regarded training curriculums from respected industry education providers. Suitable for investment professionals at various career stages seeking to fill specific knowledge gaps and broaden their understanding of the industry.

The Fundamentals of Alternative Investments Certificate Program is presented by CAIA Association, the global leader in alternative investment education. The course fills a critical education gap for individuals who seek to understand the ever-changing landscape of alternative investments.

Investment Foundations Program, presented by CFA Institute, is an online, self-study program that can give employees a clearer understanding of the investment industry.

The Essentials of Investment Consulting Program, presented by Investments & Wealth Institute, is comprised of two courses, the Investment Consulting Process and Math for Investment Consultants.

Responsible Investment Fundamentals, Responsible Investment Essentials, Enhanced Financial Analysis, and Sustainable and Responsible Investment for Trustees—four distinct curriculums all presented by PRI Academy—offer a mix of specialized content at core and advanced levels.

Fundamentals of Sustainable and Impact Investment, presented by US SIF, covers the implementation of ESG data into security analysis, discusses the latest trends and research, and explains how to communicate your expertise in sustainable and impact investment.

Online learning is ideal for busy professionals seeking to increase their knowledge and enhance their skills according to their own schedule.

For more information or to schedule an online demonstration, contact us at (646) 868-8500 or learning@mminst.org.
The Importance of Learning & Development

Investments in learning and development pay dividends in multiple ways. They can enhance a company’s reputation as an “employer of choice,” helping to attract and retain top talent. Employees who are given opportunities to learn and develop new competencies tend to be more motivated and engaged. And with many company workforces becoming more geographically dispersed, learning and development can help to build a values-based culture and sense of community.

THE 5 KEY AREAS OF TALENT DEVELOPMENT

- Attract and Retain Talent
- Develop People Capabilities
- Motivate and Engage Employees
- Create a Values-based Culture
- Build an Employer Brand

Source: Adapted from McKinsey & Company, The Essential Components of a Successful L&D Strategy, February 2019

MMI's Continuous Learning Center offers a comprehensive and diverse set of practical educational curriculums for industry professionals. Available 24/7 at mmi.smartpros.com, the Center is powered by the award-winning Kaplan SmartPros learning management system.

To schedule a demonstration or for more information on customizing a training solution:
Please email learning@mminst.org or call (646) 868-8500.