

Continuous Learning Center

Fundamentals of Investment Advisory Solutions



The Fundamentals of Investment Advisory Solutions 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.

These are 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. The curriculum is suitable for home office professionals or financial advisor teams.

Developed with MMI members' unmatched insights into the industry, these core courses lay the foundation for an understanding of the various functions, processes, and regulations related to Investment Advisory Solutions.

IAS201 Industry Components and Trends, Part 1

Gain a working understanding of the platforms and overall Investment Advisory Solutions ecosystem as well as the critical role of a fiduciary in providing ongoing investment advice.

IAS202 Industry Components and Trends, Part 2

Explore the complexity and innovation of the various types of businesses in the advisory marketplace. This includes the roles that each play, the clients they serve, as well as the various degrees of interdependence.

IAS203 Investment Products and Solutions

Obtain an overview of current product solutions as well as the pace of product development efforts. Understand how manufacturers, intermediaries, and distributors are aligning emerging product structures with investor demand, changing demographics, and regulatory change.

IAS204 The Critical Value of Due Diligence and Oversight

Understand the factors to consider and evaluate when choosing a manager, fund or ETF in the context of a fiduciary relationship. This includes the use of disclosure documents as well as the value of ongoing research and monitoring.

IAS205 Asset Allocation and Portfolio Construction

Get acquainted with general concepts of portfolio analysis and asset allocation, including how to establish appropriate investment objectives, develop optimal portfolio strategies, estimate risk-return tradeoffs, and evaluate investment performance.

IAS206 The Consultative Process and Relationship to Wealth Management

Understand the framework of an iterative consulting process, which includes an ongoing review of personal objectives and investment plans and, in general, a higher level of service than other retail investment solutions.



IAS207 Benchmarking and Performance Reporting

Review the strategies typically used to compare investment performance. This includes the design and use of benchmark indices, the growing use of goal-based investing, and the impact of underlying fees on overall performance. Other topics include the role of composite reporting, Global Investment Performance Standards (GIPS), and the impact of time-weighted rather than asset-weighted return calculations.

IAS208 Code of Conduct and the Investment Advice Business

Gain an overview of client suitability as it relates to the Investment Adviser Code of Conduct; learn best practices for customer data protection and preventing identity theft; and review Fiduciary responsibilities associated with each step of the consultative process as outlined in the Investment Adviser Code of Ethics.

The Fundamentals of Investment Advisory Solutions curriculum is ideal for:

- New employees onboarding
- Summer interns
- Employees who support investment advisory business in any capacity and would benefit from sharing a common base of knowledge and terminology with other functional areas—for example, technology and operations professionals, call center representatives, product solutions teams, as well as those in marketing and communications, legal and compliance, sales support, and data analytics roles, etc.
- Financial advisor support teams

BENEFITS

- Content developed by subject matter experts
- Regularly updated to keep up with latest industry trends
- Turnkey solution for in-house L&D and training teams
- Provides training progression for employees and streamlines new employee onboarding
- Provides a competitive edge and differentiation
- Eligible for CE credits—3.5 hours for Investments & Wealth Institute® CIMA®, CPWA®, CIMC®, and RMA®; 2 hours for Fi360 AIF®, AIFA®, and PPC®; and 4 hours for CFP® designations
- Streamlined on-demand access
- State-of-the-art learning management system powered by Kaplan SmartPros
- Mobile-friendly and accessible 24/7 to accommodate any schedule
- Reporting tools to monitor course progress
- Digital badges available upon course completion

“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

MMI CONTINUOUS LEARNING CENTER

The MMI Continuous Learning Center offers a structured, comprehensive education platform for all career stages of the investment professional. Available programs include Fundamentals of Investment Advisory Solutions, Sustainable Investing Curriculum, Wealth Management Essentials, Wholesaler Training Curriculum, and an Education Marketplace of third-party offerings. For more information or to schedule an online demonstration, contact us at **(646) 868-8500** or learning@mminst.org.