



Fundamentals of Investment Advisory Solutions

Expand Your Proficiency with a 360-Degree View of a Dynamic Industry



The Money Management Institute’s Fundamentals of Investment Advisory Solutions curriculum provides a unique series of courses that educate through real-word insights and practical application of advisory topics. Courses in the curriculum include a review of the evolution and current trends in the industry as well as general principles of asset allocation, due diligence, performance reporting, fiduciary and suitability requirements, and how it all applies to an ongoing advisory process.

Learn from Industry Insiders

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 associated with Investment Advisory Solutions.

IAS201	Industry Components and Trends	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.



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Target Audience

As investment advisory solutions continue to advance, so too does the associated level of complexity—which means that industry professionals increasingly need to be proficient in more than one area or function. **Fundamentals of Investment Advisory Solutions** provides expanded knowledge and perspective on the advisory business to assist with:

- **New employee training.** Augment your firm's introductory onboarding with focused training on the fundamentals of the investment advisory business and prepare new hires for long-term success. These practical courses will help employees perform at a high level from the very start.
- **Filling in the gaps for current employees.** The 360-degree nature of the curriculum delivers a wide-angle perspective on the industry, providing a deeper understanding and appreciation for the components and relationships of the advisory business.
- **Career progression.** Expand employees' awareness and expertise across the entire investment advisory ecosystem. Complement this curriculum with additional specialty courses available in the 'Marketplace' tab of the MMI Continuous Learning Center (mmi.smartpros.com).

Additional Benefits

- **CE credits:** Eligible for CE credits for the Investments & Wealth Institute CIMA[®] and CPWA[®], Fi360 AIF[®], AIFA[®] and PPC[®], and CFP[®] designations upon successful completion of the curriculum
- **Easy on-demand access:** Access is for a full year and available 24/7 for training
- **Recognition:** Upon successful completion of the entire curriculum, the student receives a certificate of completion as well as an optional digital badge to use on LinkedIn and other digital sites.



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TO SCHEDULE A DEMONSTRATION OR FOR MORE INFORMATION ON CUSTOMIZING A TRAINING SOLUTION.

Please email learning@mminst.org or call (646) 868-8500.

Through its Continuous Learning Center, MMI continues to advance professionalism and education, offering a comprehensive and diverse set of practical learning courses available 24/7 at mmi.smartpros.com. The Center provides educational programming including eLearning courseware, webinars, live seminars, and custom course development, all through the award-winning SmartPros eCampus Learning Management System.