

February 2021

Partnership for *GROWTH* With the AIF[®] Training and Designation



Broadridge[®]

Fi360

A Broadridge Company



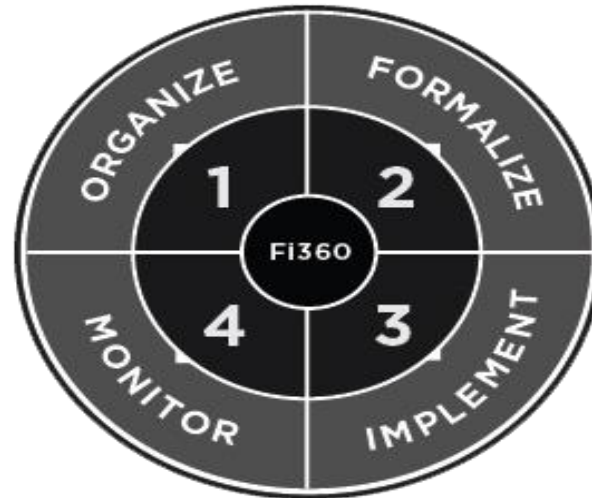
Today's Topics

- I. About Broadridge Fi360 Solutions
- II. Why Earn the AIF[®] Designation
- III. Steps to Become an AIF[®] Designee
- IV. Overview of Exclusive Offer for Webinar Attendees

FIDUCIARY CARE FOR EVERY INVESTOR, MADE SIMPLE

Fi360 empowers financial intermediaries to use the Prudent Practices[®] to profitably gather, grow and protect investors' assets with a fiduciary standard of care. Our training, certification, technology and analytics make implementing a prudent process for all clients easier at every step.

Our Foundation is Built on Prudent Practices®



TRAINING & CERTIFICATIONS

From fiduciary basics to thorough mastery, our learning and development programs are designed to empower financial professionals with the knowledge they need to effectively serve all clients and grow their business.

SOFTWARE & TECHNOLOGY

Our software and technology solutions enable investment professionals to strengthen client relationships and win more business with a repeatable, prudent process that is easily managed and documented.

DATA & ANALYTICS

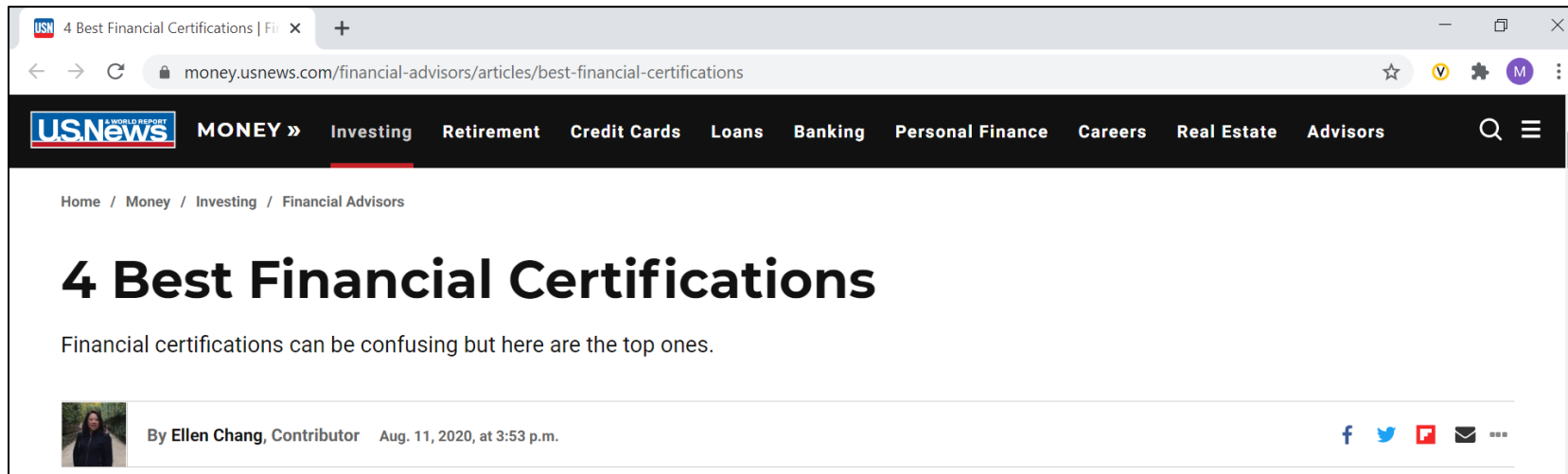
We give our clients a look under the hood with our fiduciary-focused data and analytics solutions, including custom reports and analysis that can be used in marketing materials and presentations to demonstrate a prudent process.

Why Earn the AIF® Designation?

- 1) Learn and apply fiduciary best practices
- 2) Differentiate yourself from other financial professionals



- 3) Build trust with clients and prospects to grow your business





Steps to Become an AIF[®] Designee

- 1) Meet designation prerequisites
- 2) Complete AIF[®] training
- 3) Pass the AIF[®] examination
- 4) Complete the formal application & pay first year dues
- 5) Complete annual renewal requirements

1) Meet the Experience Prerequisites

Candidates need a combination of education, industry experience and/or professional development to apply:

- 2+ years of relevant experience ± a bachelor's degree ± a professional designation
- 5+ years of relevant experience ± a bachelor's degree or a professional designation
- 8+ years of relevant experience

2) Complete AIF® Designation Training

- Instruction on the Prudent Practices for Investment Advisors
- Two [training options](#) currently available:
 - a. Online Course (self-study)
 - b. Virtual Course (live, instructor-led)
- Reading the [Prudent Practices for Investment Advisors](#) handbook is essential
- Candidates should expect to spend a minimum of 20 - 25 hours



3) Pass the AIF® Examination

- Consists of 80 multiple-choice questions
 - 70 questions are scored
 - 10 unidentified pilot questions
- Candidates must score a minimum of 70% to pass the exam
- Closed book, 120-minute time limit
- Under supervision of a remote proctor
- Exam must be completed within one year of the date of purchase

4) Complete Application Process

- Attest to [Code of Ethics](#) and [Conduct Standards](#)
- Complete the [designation application](#) and pay first year dues (\$325)

Fi360

A Broadridge Company

[AIF® Candidate Handbook](#)

Table of Contents

#	Section	Page #
1	Overview	3
2	Fairness, Impartiality and Non-Discrimination	3
3	AIF® - Initial Requirements	4
4	Training	4
5	Examination	4
6	AIF® Exam Blueprint	5
7	Exam Administration	6
8	Accommodations	6
9	Policy Exceptions	7
10	Proctors	7
11	Proctor Regulations and Guidelines	8
12	Experience Requirement	9
13	Code of Ethics	9
14	Conduct Standard	10
15	Application Process	12
16	Fees	12
17	Audit	13
18	AIF® - Recertification Requirements	13
19	Designee Qualification and Complaint Procedure	14
20	Candidate Application Statement	14
21	Updates and Version History	15

© 2020 Fi360, Inc. All rights reserved. For investment professional use only.

2

5) Complete Annual Renewal Requirements

- Complete 6 hours of approved [continuing education \(CE\) credits](#) each year
- Update the [renewal application](#) and attest to [Code of Ethics](#) and [Conduct Standards](#)
- Pay annual dues (\$325)
- Enjoy [ongoing benefits](#) of being an AIF[®] Designee:
 - Continuing Education (CE) Library
 - Designee Resources
 - Designee search listing
 - Fi360 monthly webinars
 - Discounts on other solutions

Broadridge Fi360 Solutions

ANNUAL CONFERENCE 2021

May 17 – 20, 2021

REGISTER TODAY

Ready for Next



AIF Training Retail Price: \$1,595 or \$1,950 (format dependent)

AIF Training + Conference Registration Bundle: \$1,144

Bundled pricing only applies to the virtual class being held April 13 - 23, 2021

To learn more contact us at (866) 390-5080 or email Fi360sales2@broadridge.com



Benefits of the AIF[®] Designation

- **Learn** practices and a process to meet legal obligations and always act in the best interest of your clients
- **Build** trust with clients and win new business
- **Differentiate** yourself from other financial professionals
- **Gain** resources to help you stay current, competitive and compliant
- **Join** a growing global community of over 12,000 total designees



Broadridge[®]

No part of this document may be distributed, reproduced or posted without the express written permission of Broadridge Financial Solutions, Inc. ©2020 Broadridge Financial Solutions, Inc. All rights reserved. Broadridge and the Broadridge logo are registered trademarks of Broadridge Financial Solutions, Inc.