

2020 Course Calendar

C Core **I** IACCP® **E** Elective **T** Testable Content
Legend for enrollees in the NRS IACCP® or Core programs

All events can be attended individually or as part of the IACCP® or Core Programs, which NRS co-sponsors with the Investment Adviser Association (IAA).

2020	Course	Course Type	Required	Location	Time
January 9	Introduction to the Advisers Act: Framework, Registration, Exclusions & Exemptions; Exempt Reporting Advisers; Private Fund Advisers & More	AA01	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
January 14	Form ADV Part 1: Annual Updating Amendment & More	DIS01	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
January 16	Form ADV Part 2 & 3: Identifying & Disclosing Conflicts	DIS02	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
January 23	Investment Adviser Performance & Advertising	DIS03	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
January 28	Books & Records Requirements for Investment Advisers	AA02	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
February 4	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts & Whistleblowers	ETH01	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
February 6	Two Persistent Compliance Challenges: Insider Trading & Advisory Contracts	AA03	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
February 11	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
February 13	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors & Proxy Voting Requirements	AA05	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
February 20	SEC Examination & Enforcement Update for Investment Advisers	ELC01	I E	Online	1:00 p.m. - 3:00 p.m. (ET)
February 25	Cybersecurity Breaches: Information Security Planning, Incident Response, & Breach Resolution	ELC09	I E	Online	1:00 p.m. - 3:00 p.m. (ET)
March 3	Compliance Programs Rules & Strategies for Managing Your Annual Review	AA06	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
March 5	Trading Practices, Portfolio Compliance & Related Enforcement Cases	TRA01	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
March 10	Trading Compliance: Best Execution, Soft Dollars & Directed Brokerage	TRA02	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
March 12	Two Trading Compliance Challenges: Valuation & Trade Errors	TRA03	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
April 7	Mandates Beyond the Advisers Act: Anti-Money Laundering, ERISA & '34 Act Section 13 Reporting for Investment Advisers	MAN01	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
April 9	Data Protection: Privacy, Identity Theft & Cybersecurity	MAN02	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
April 20 - 23	NRS Spring 2020 Compliance Conference for Investment Advisers & Broker-Dealers			Hyatt Regency Miami Miami, FL	
April 21	TBA	ELC	I E	Online & Onsite	TBD (ET)
April 22	Professional Ethics: Ethical Decision-Making for Compliance Professionals*	ETH02	C I T	Online & Onsite	TBD (ET)
April 23	Critical Skills for High-Performance Compliance Professionals	SKL01	I	Online & Onsite	TBD (ET)

NRS[™]

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2020	Course	Course Type	Required	Location	Time
May 5	State-Registered Investment Advisers: A Compliance Tutorial for Working with State Regulators	ELC03	I E	Online	1:00 p.m. - 3:00 p.m. (ET)
May 7	Form CRS: Preparation, Distribution, Procedures & More	ELC10	I E	Online	1:00 p.m. - 3:00 p.m. (ET)
May 12	Private Fund Compliance Considerations	ELC04	I E	Online	1:00 p.m. - 3:00 p.m. (ET)
May 14	Compliance Considerations: Elder Investors & Financial Exploitation	ELC06	I E	Online	1:00 p.m. - 3:00 p.m. (ET)
June 2 - 4	Investment Adviser Core Compliance Program Symposium – West	Venue Information available on website			
June 2	Introduction to the Advisers Act: Framework, Registration, Exclusions & Exemptions; Exempt Reporting Advisers; Private Fund Advisers & More	AA01	C I T	Onsite	8:30 a.m. - 10:30 a.m. (PT)
	Books & Records Requirements for Investment Advisers	AA02	C I T		10:45 a.m. - 12:45 p.m. (PT)
	Investment Adviser Codes of Ethics: The Rule Plus Implications of Whistleblowers	ETH01	C I T		1:45 p.m. - 3:45 p.m. (PT)
	Two Persistent Compliance Challenges: Insider Trading & Advisory Contracts: Part 1	AA03	C I T		4:00 p.m. - 5:00 p.m. (PT)
June 3	Professional Ethics: Ethical Decision-Making for Compliance Professionals*	ETH02	C I T	Onsite	8:30 a.m. - 10:30 a.m. (PT)
	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	C I T		10:45 a.m. - 12:45 p.m. (PT)
	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors & Proxy Voting Requirements	AA05	C I T		1:45 p.m. - 3:45 p.m. (PT)
	Two Persistent Compliance Challenges: Insider Trading & Advisory Contracts: Part 2	AA03	C I T		4:00 p.m. - 5:00 p.m. (PT)
June 4	Compliance Programs Rules & Strategies for Managing Your Annual Review	AA06	C I T	Onsite	8:30 a.m. - 10:30 a.m. (PT)
	Form ADV Part 1: Annual Updating Amendment & More	DIS01	C I T		10:45 a.m. - 12:45 p.m. (PT)
	Form ADV Part 2 & 3: Identifying & Disclosing Conflicts	DIS02	C I T		2:00 p.m. - 4:00 p.m. (PT)
	IA Core Compliance Program – Wrap-up		C		4:00 p.m. - 5:00 p.m. (PT)
June 23	Are You Prepared: Business Continuity, Disaster Recovery, Succession Planning & More	ELC05	I E	Online	1:00 p.m. - 3:00 p.m. (ET)
June 25	SEC Examination & Enforcement Update for Investment Advisers	ELC01	I E	Online	1:00 p.m. - 3:00 p.m. (ET)



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2020	Course	Course Type	Required	Location	Time
July 14 - 16	Investment Adviser Certified Compliance Professional Program Symposium – Mid-West	U of Chicago Gleacher Ctr/ Sheridan Chicago, IL <i>(THERE IS NOTHING RELATED TO CORE AT THE CHICAGO EVENT)</i>			
July 14	Investment Adviser Performance & Advertising	DIS03	I T	Onsite	8:30 a.m. - 10:30 a.m. (CT)
	Trading Practices, Portfolio Compliance & Related Enforcement Cases	TRA01	I T		10:45 a.m. - 12:45 p.m. (CT)
	Trading Compliance: Best Execution, Soft Dollars & Directed Brokerage	TRA02	I T		1:45 p.m. - 3:45 p.m. (CT)
	Two Trading Compliance Challenges: Trade Errors & Valuation: Part 1	TRA03	I T		4:00 p.m. - 5:00 p.m. (CT)
July 15	Critical Skills for High-Performance Compliance Professionals	SKL01	I	Onsite	8:30 a.m. - 10:30 a.m. (CT)
	Mandates Beyond the Advisers Act: Anti-Money Laundering, ERISA & '34 Act Section 13 Reporting for Investment Advisers	MAN01	I T		10:45 a.m. - 12:45 p.m. (CT)
	Data Protection: Privacy, Identity Theft & Cybersecurity	MAN02	I T		1:45 p.m. - 3:45 p.m. (CT)
	Two Trading Compliance Challenges: Trade Errors & Valuation: Part 2	TRA03	I T		4:00 p.m. - 5:00 p.m. (CT)
July 16	Professional Ethics: Ethical Decision-Making for Compliance Professionals*	ETH02	C I T	Onsite	8:30 a.m. - 10:30 a.m. (CT)
	Are You Prepared: Business Continuity, Disaster Recovery, Succession Planning & More	ELC05	I E		10:45 a.m. - 12:45 p.m. (CT)
	SEC Examination & Enforcement Update for Investment Advisers	ELC01	I E		2:00 p.m. - 4:00 p.m. (CT)
July 23	TBD	ELC	I E	Online	1:00 p.m. - 3:00 p.m. (ET)
July 28	IACCP Exam Study Session	N/A	I	Online	1:00 p.m. - 4:00 p.m. (ET)
August 4 - 6	Investment Adviser Core Compliance Program Symposium – East	Venue Information available on website			
August 4	Introduction to the Advisers Act: Framework, Registration, Exclusions & Exemptions; Exempt Reporting Advisers; Private Fund Advisers & More	AA01	C I T	Onsite	8:30 a.m. - 10:30 a.m. (ET)
	Books & Records Requirements for Investment Advisers	AA02	C I T		10:45 a.m. - 12:45 p.m. (ET)
	Investment Adviser Codes of Ethics: The Rule Plus Implications of Whistleblowers	ETH01	C I T		1:45 p.m. - 3:45 p.m. (ET)
	Two Persistent Compliance Challenges: Insider Trading & Advisory Contracts: Part 1	AA03	C I T		4:00 p.m. - 5:00 p.m. (ET)



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All events can be attended individually or as part of the IACCP® or Core Programs, which NRS co-sponsors with the Investment Adviser Association (IAA).

2020	Course	Course Type	Required	Location	Time
August 5	Professional Ethics: Ethical Decision-Making for Compliance Professionals*	ETH02	C I T	Onsite	8:30 a.m. - 10:30 a.m. (ET)
	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	C I T		10:45 a.m. - 12:45 p.m. (ET)
	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors & Proxy Voting Requirements	AA05	C I T		1:45 p.m. - 3:45 p.m. (ET)
	Two Persistent Compliance Challenges: Insider Trading & Advisory Contracts: Part 2	AA03	C I T		4:00 p.m. - 5:00 p.m. (ET)
August 6	Compliance Programs Rules & Strategies for Managing Your Annual Review	AA06	C I T	Onsite	8:30 a.m. - 10:30 a.m. (ET)
	Form ADV Part 1: Annual Updating Amendment & More	DIS01	C I T		10:45 a.m. - 12:45 p.m. (ET)
	Form ADV Part 2 & 3: Identifying & Disclosing Conflicts	DIS02	C I T		2:00 p.m. - 4:00 p.m. (ET)
	IA Core Compliance Program – Wrap-up		C		4:00 p.m. - 5:00 p.m. (ET)
August 18	Mandates Beyond the Advisers Act: Anti-Money Laundering, ERISA & '34 Act Section 13 Reporting for Investment Advisers	MAN01	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
August 20	Data Protection: Privacy, Identity Theft & Cybersecurity	MAN02	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 10	Introduction to the Advisers Act: Framework, Registration, Exclusions & Exemptions; Exempt Reporting Advisers; Private Fund Advisers & More	AA01	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 15	Form ADV Part 1: Annual Updating Amendment & More	DIS01	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 17	Form ADV Part 2 & 3: Identifying & Disclosing Conflicts	DIS02	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 22	Investment Adviser Performance & Advertising	DIS03	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 24	Books & Records Requirements for Investment Advisers	AA02	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 29	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts & Whistleblowers	ETH01	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
October 1	Two Persistent Compliance Challenges: Insider Trading & Advisory Contracts	AA03	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
October 6	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
October 8	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors & Proxy Voting Requirements	AA05	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
October 13	Compliance Programs Rules & Strategies for Managing Your Annual Review	AA06	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)



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2020	Course	Course Type	Required	Location	Time
October 26-29	NRS Fall 2020 Compliance Conference for Investment Advisers & Broker-Dealers			Manchester Grant Hyatt San Diego, CA	
October 27	TBD	ELC	I E	Online & Onsite	TBD
October 28	Professional Ethics: Ethical Decision-Making for Compliance Professionals*	ETH02	C I T	Online & Onsite	TBD
October 29	Critical Skills for High-Performance Compliance Professionals	SKL01	I	Online & Onsite	TBD
November 12	Trading Practices, Portfolio Compliance & Related Enforcement Cases	TRA01	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
November 17	Trading Compliance: Best Execution, Soft Dollars & Directed Brokerage	TRA02	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
November 19	RIA Year-End Compliance Check-up	ELC07	I E	Online	1:00 p.m. - 3:00 p.m. (ET)
December 1	Two Trading Compliance Challenges: Valuation & Trade Errors	TRA03	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
December 3	IACCP Exam Study Session	N/A	I	Online	1:00 p.m. - 4:00 p.m. (ET)
December 8	Compliance Professional Summit	ELC08	I E	Online	1:00 p.m. - 3:00 p.m. (ET)

Calendar is current as of the date found in the footer. All dates, times & locations are subject to change.

Visit nrs-inc.com/events-calendar to register & view the latest Education course listings.

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