

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 | 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) |
| February 27 | Form CRS: Preparation, Distribution, Procedures & More | ELC10 | 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 | | | Hyatt Regency Miami Miami, FL | |
| April 21 | Third Party Due Diligence Practices | ELC | I E | Online | 1:00 p.m. - 3:15 p.m. (ET) |
| April 22 | Professional Ethics: Ethical Decision-Making for Compliance Professionals* | ETH02 | C I T | Online | 1:00 p.m. - 3:15 p.m. (ET) |
| April 23 | Critical Skills for High-Performance Compliance Professionals | SKL01 | I | Online | 11:30 a.m. - 1:30 p.m. (ET) |

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| 2020 | 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 | Virtual: Investment Adviser Core Compliance Program Symposium | Grand Hyatt Seattle, WA | | | |
| June 2 | Introduction to the Advisers Act: Framework, Registration, Exclusions & Exemptions; Exempt Reporting Advisers; Private Fund Advisers & More | AA01 | C I T | Online | 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 | Online | 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 | Online | 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 IA's | ELC01 | I E | Online | 1:00 p.m. - 3:00 p.m. (ET) |
| July 14 - 16 | Virtual: Investment Adviser Certified Compliance Professional Program Symposium | U of Chicago Gleacher Ctr/ Sheridan Chicago, IL <i>(THERE IS NOTHING RELATED TO CORE AT THIS EVENT)</i> | | | |
| July 14 | Investment Adviser Performance & Advertising | DIS03 | I T | Online | 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) |



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* approved for IACCP Ethics credit

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| 2020 | Course | Type | Required | Location | Time |
|--------------|---|--------------------------------|--------------|----------|------------------------------|
| July 15 | Critical Skills for High-Performance Compliance Professionals | SKL01 | I | Online | 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 | Online | 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 IA's | ELC01 | I E | | 2:00 p.m. - 4:00 p.m. (CT) |
| July 23 | GIPS for Investment Advisers | 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 | Hyatt Regency, Jersey City, NJ | | | |
| 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) |
| 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) |

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| 2020 | Course | Type | Required | Location | Time |
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| 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) |
| October 26-29 | NRS Fall 2020 Compliance Conference | Manchester Grant Hyatt San Diego, CA | | | |
| October 27 | Unpacking Changes to the Advertising and Solicitors Rules for Investment Advisers | ELC | I E | Online & Onsite | 1:15 p.m. - 3:15 p.m. (ET) |
| October 28 | Professional Ethics: Ethical Decision-Making for Compliance Professionals* | ETH02 | C I T | Online & Onsite | 1:15 p.m. - 3:15 p.m. (ET) |
| October 29 | Critical Skills for High-Performance Compliance Professionals | SKL01 | I | Online & Onsite | 11:30 a.m. - 1:30 p.m. (ET) |
| 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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