

# 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<br>Miami, FL |                             |
| April 21      | Third Party Due Diligence Practices   | ELC   | I E      | Online & Onsite                  | 1:00 p.m. - 3:15 p.m. (ET)  |
| April 22      | Professional Ethics: Ethical Decision-Making for Compliance Professionals*  | ETH02 | C I T    | Online & Onsite                  | 1:00 p.m. - 3:15 p.m. (ET)  |
| April 23      | Critical Skills for High-Performance Compliance Professionals   | SKL01 | I        | Online & Onsite                  | 11:30 a.m. - 1:30 p.m. (ET) |

**NRS**<sup>™</sup>

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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   | <b>I E</b>   | Online   | 1:00 p.m. - 3:00 p.m. (ET)   |
| May 7        | Form CRS: Preparation, Distribution, Procedures & More  | ELC10   | <b>I E</b>   | Online   | 1:00 p.m. - 3:00 p.m. (ET)   |
| May 12       | Private Fund Compliance Considerations  | ELC04   | <b>I E</b>   | Online   | 1:00 p.m. - 3:00 p.m. (ET)   |
| May 14       | Compliance Considerations: Elder Investors & Financial Exploitation   | ELC06   | <b>I E</b>   | Online   | 1:00 p.m. - 3:00 p.m. (ET)   |
| June 2 - 4   | Investment Adviser Core Compliance Program Symposium – West   | Grand Hyatt Seattle, WA   |              |          |                              |
| June 2       | Introduction to the Advisers Act: Framework, Registration, Exclusions & Exemptions; Exempt Reporting Advisers; Private Fund Advisers & More | AA01  | <b>C I T</b> | Onsite   | 8:30 a.m. - 10:30 a.m. (PT)  |
|              | Books & Records Requirements for Investment Advisers  | AA02  | <b>C I T</b> |          | 10:45 a.m. - 12:45 p.m. (PT) |
|              | Investment Adviser Codes of Ethics: The Rule Plus Implications of Whistleblowers  | ETH01   | <b>C I T</b> |          | 1:45 p.m. - 3:45 p.m. (PT)   |
|              | Two Persistent Compliance Challenges: Insider Trading & Advisory Contracts: Part 1  | AA03  | <b>C I T</b> |          | 4:00 p.m. - 5:00 p.m. (PT)   |
| June 3       | Professional Ethics: Ethical Decision-Making for Compliance Professionals*  | ETH02   | <b>C I T</b> | 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  | <b>C I T</b> |          | 10:45 a.m. - 12:45 p.m. (PT) |
|              | Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors & Proxy Voting Requirements                                     | AA05  | <b>C I T</b> |          | 1:45 p.m. - 3:45 p.m. (PT)   |
|              | Two Persistent Compliance Challenges: Insider Trading & Advisory Contracts: Part 2  | AA03  | <b>C I T</b> |          | 4:00 p.m. - 5:00 p.m. (PT)   |
| June 4       | Compliance Programs Rules & Strategies for Managing Your Annual Review  | AA06  | <b>C I T</b> | Onsite   | 8:30 a.m. - 10:30 a.m. (PT)  |
|              | Form ADV Part 1: Annual Updating Amendment & More   | DIS01   | <b>C I T</b> |          | 10:45 a.m. - 12:45 p.m. (PT) |
|              | Form ADV Part 2 & 3: Identifying & Disclosing Conflicts   | DIS02   | <b>C I T</b> |          | 2:00 p.m. - 4:00 p.m. (PT)   |
|              | IA Core Compliance Program – Wrap-up  |   | <b>C</b>     |          | 4:00 p.m. - 5:00 p.m. (PT)   |
| June 23      | Are You Prepared: Business Continuity, Disaster Recovery, Succession Planning & More  | ELC05   | <b>I E</b>   | Online   | 1:00 p.m. - 3:00 p.m. (ET)   |
| June 25      | SEC Examination & Enforcement Update for IA's   | ELC01   | <b>I E</b>   | Online   | 1:00 p.m. - 3:00 p.m. (ET)   |
| July 14 - 16 | Investment Adviser Certified Compliance Professional Program Symposium – Mid-West   | U of Chicago Gleacher Ctr/ Sheridan Chicago, IL<br><i>(THERE IS NOTHING RELATED TO CORE AT THE CHICAGO EVENT)</i> |              |          |                              |
| July 14      | Investment Adviser Performance & Advertising  | DIS03   | <b>I T</b>   | Onsite   | 8:30 a.m. - 10:30 a.m. (CT)  |
|              | Trading Practices, Portfolio Compliance & Related Enforcement Cases   | TRA01   | <b>I T</b>   |          | 10:45 a.m. - 12:45 p.m. (CT) |
|              | Trading Compliance: Best Execution, Soft Dollars & Directed Brokerage   | TRA02   | <b>I T</b>   |          | 1:45 p.m. - 3:45 p.m. (CT)   |
|              | Two Trading Compliance Challenges: Trade Errors & Valuation: Part 1   | TRA03   | <b>I T</b>   |          | 4:00 p.m. - 5:00 p.m. (CT)   |



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| 2020         | Course  | Type                           | Required     | Location | Time                         |
|--------------|---|--------------------------------|--------------|----------|------------------------------|
| July 15      | Critical Skills for High-Performance Compliance Professionals   | SKL01                          | <b>I</b>     | 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                          | <b>I T</b>   |          | 10:45 a.m. - 12:45 p.m. (CT) |
|              | Data Protection: Privacy, Identity Theft & Cybersecurity  | MAN02                          | <b>I T</b>   |          | 1:45 p.m. - 3:45 p.m. (CT)   |
|              | Two Trading Compliance Challenges: Trade Errors & Valuation: Part 2   | TRA03                          | <b>I T</b>   |          | 4:00 p.m. - 5:00 p.m. (CT)   |
| July 16      | Professional Ethics: Ethical Decision-Making for Compliance Professionals*  | ETH02                          | <b>C I T</b> | Onsite   | 8:30 a.m. - 10:30 a.m. (CT)  |
|              | Are You Prepared: Business Continuity, Disaster Recovery, Succession Planning & More  | ELC05                          | <b>I E</b>   |          | 10:45 a.m. - 12:45 p.m. (CT) |
|              | SEC Examination & Enforcement Update for IA's   | ELC01                          | <b>I E</b>   |          | 2:00 p.m. - 4:00 p.m. (CT)   |
| July 23      | GIPS for Investment Advisers  | ELC                            | <b>I E</b>   | Online   | 1:00 p.m. - 3:00 p.m. (ET)   |
| July 28      | IACCP Exam Study Session  | N/A                            | <b>I</b>     | 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                           | <b>C I T</b> | Onsite   | 8:30 a.m. - 10:30 a.m. (ET)  |
|              | Books & Records Requirements for Investment Advisers  | AA02                           | <b>C I T</b> |          | 10:45 a.m. - 12:45 p.m. (ET) |
|              | Investment Adviser Codes of Ethics: The Rule Plus Implications of Whistleblowers  | ETH01                          | <b>C I T</b> |          | 1:45 p.m. - 3:45 p.m. (ET)   |
|              | Two Persistent Compliance Challenges: Insider Trading & Advisory Contracts: Part 1  | AA03                           | <b>C I T</b> |          | 4:00 p.m. - 5:00 p.m. (ET)   |
| August 5     | Professional Ethics: Ethical Decision-Making for Compliance Professionals*  | ETH02                          | <b>C I T</b> | 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                           | <b>C I T</b> |          | 10:45 a.m. - 12:45 p.m. (ET) |
|              | Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors & Proxy Voting Requirements                                     | AA05                           | <b>C I T</b> |          | 1:45 p.m. - 3:45 p.m. (ET)   |
|              | Two Persistent Compliance Challenges: Insider Trading & Advisory Contracts: Part 2  | AA03                           | <b>C I T</b> |          | 4:00 p.m. - 5:00 p.m. (ET)   |
| August 6     | Compliance Programs Rules & Strategies for Managing Your Annual Review  | AA06                           | <b>C I T</b> | Onsite   | 8:30 a.m. - 10:30 a.m. (ET)  |
|              | Form ADV Part 1: Annual Updating Amendment & More   | DIS01                          | <b>C I T</b> |          | 10:45 a.m. - 12:45 p.m. (ET) |
|              | Form ADV Part 2 & 3: Identifying & Disclosing Conflicts   | DIS02                          | <b>C I T</b> |          | 2:00 p.m. - 4:00 p.m. (ET)   |
|              | IA Core Compliance Program – Wrap-up  |                                | <b>C</b>     |          | 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                          | <b>I T</b>   | Online   | 1:00 p.m. - 3:00 p.m. (ET)   |

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| 2020          | Course  | Type                                    | Required     | Location        | Time                       |
|---------------|---|---|--------------|-----------------|----------------------------|
| August 20     | Data Protection: Privacy, Identity Theft & Cybersecurity  | MAN02                                   | <b>I T</b>   | 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                                    | <b>C I T</b> | Online          | 1:00 p.m. - 3:00 p.m. (ET) |
| September 15  | Form ADV Part 1: Annual Updating Amendment & More   | DIS01                                   | <b>C I T</b> | Online          | 1:00 p.m. - 3:00 p.m. (ET) |
| September 17  | Form ADV Part 2 & 3: Identifying & Disclosing Conflicts   | DIS02                                   | <b>C I T</b> | Online          | 1:00 p.m. - 3:00 p.m. (ET) |
| September 22  | Investment Adviser Performance & Advertising  | DIS03                                   | <b>I T</b>   | Online          | 1:00 p.m. - 3:00 p.m. (ET) |
| September 24  | Books & Records Requirements for Investment Advisers  | AA02                                    | <b>C I T</b> | 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                                   | <b>C I T</b> | Online          | 1:00 p.m. - 3:00 p.m. (ET) |
| October 1     | Two Persistent Compliance Challenges: Insider Trading & Advisory Contracts  | AA03                                    | <b>C I T</b> | 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                                    | <b>C I T</b> | 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                                    | <b>C I T</b> | Online          | 1:00 p.m. - 3:00 p.m. (ET) |
| October 13    | Compliance Programs Rules & Strategies for Managing Your Annual Review  | AA06                                    | <b>C I T</b> | Online          | 1:00 p.m. - 3:00 p.m. (ET) |
| October 26-29 | NRS Fall 2020 Compliance Conference   | Manchester Grant Hyatt<br>San Diego, CA |              |                 |                            |
| October 27    | Unpacking Changes to the Advertising and Solicitors Rules for Investment Advisers   | ELC                                     | <b>I E</b>   | Online & Onsite | TBD                        |
| October 28    | Professional Ethics: Ethical Decision-Making for Compliance Professionals*  | ETH02                                   | <b>C I T</b> | Online & Onsite | TBD                        |
| October 29    | Critical Skills for High-Performance Compliance Professionals   | SKL01                                   | <b>I</b>     | Online & Onsite | TBD                        |
| November 12   | Trading Practices, Portfolio Compliance & Related Enforcement Cases   | TRA01                                   | <b>I T</b>   | Online          | 1:00 p.m. - 3:00 p.m. (ET) |
| November 17   | Trading Compliance: Best Execution, Soft Dollars & Directed Brokerage   | TRA02                                   | <b>I T</b>   | Online          | 1:00 p.m. - 3:00 p.m. (ET) |
| November 19   | RIA Year-End Compliance Check-up  | ELC07                                   | <b>I E</b>   | Online          | 1:00 p.m. - 3:00 p.m. (ET) |
| December 1    | Two Trading Compliance Challenges: Valuation & Trade Errors   | TRA03                                   | <b>I T</b>   | Online          | 1:00 p.m. - 3:00 p.m. (ET) |
| December 3    | IACCP Exam Study Session  | N/A                                     | <b>I</b>     | Online          | 1:00 p.m. - 4:00 p.m. (ET) |
| December 8    | Compliance Professional Summit  | ELC08                                   | <b>I E</b>   | 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](https://nrs-inc.com/events-calendar) to register & view the latest Education course listings.

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