



# NRS Education Calendar

2017 (subject to change)

**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 cosponsors with the Investment Adviser Association (IAA).

Date 2017	Course	Location	Time
January 12	Cybersecurity 2017 <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
January 19	Form ADV Part 1: Annual Updating Amendment and More <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
January 24	Form ADV Part 2: Identifying and Disclosing Conflicts <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
January 26	DOL New Fiduciary Rule - Part 1 <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
January 31	Investment Adviser Performance and Advertising <b>I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
February 2	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
February 7	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
February 9	Trading Practices, Portfolio Compliance and Related Enforcement Cases <b>I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
February 14	State-Registered Investment Advisers: A Compliance Tutorial for Working with State Regulators <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
February 23	Books and Records Requirements for Investment Advisers <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
February 28	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
March 2	IACCP Exam Study Session (optional)	Online	1:00 p.m. - 4:00 p.m. (ET)
March 7	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage <b>I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
March 9	SEC Examination and Enforcement Update for Investment Advisers <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
March 14	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
March 16	FINRA Priorities 2017 <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
March 21	DOL New Fiduciary Rule - Part 2 <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
April 4	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
April 6	Two Trading Compliance Challenges: Valuation and Trade Errors <b>I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
April 13	Compliance Programs Rules and Strategies for Managing Your Annual Review <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
April 18	Mandates Beyond the Advisers Act: Anti-Money Laundering, ERISA and '34 Act Section 13 Reporting for Investment Advisers <b>I E T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
April 30 Sunday	Spring 2017 Pre-Conference Workshop: Managing Your Resources in Unsettled Times	Gaylord Opryland Nashville, TN	2:00 p.m. - 4:00 p.m. (ET)
May 1-3 Mon - Wed	NRS Spring 2017 Compliance Conference	Gaylord Opryland Nashville, TN	
May 2	Professional Ethics: Ethical Decision-Making for Compliance Professionals (approved for IACCP CE Ethics credit) <b>C I</b>	Online and Nashville, TN	1:30 p.m. - 3:30 p.m. (ET)
May 3	Critical Skills for High-Performance Compliance Professionals: Redefining Compliance in Uncertain Times- Testing, Compliance Training and Procedural Development <b>I</b>	Online and Nashville, TN	11:30 a.m. - 1:30 p.m. (ET)



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Date 2017	Course	Location	Time
May 16	Data Protection: Privacy, Identity Theft and Cybersecurity <b>I E T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
May 23	Investment Adviser Regulatory Update <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
<b>June 6-8 Tue-Thu</b>	<b>Investment Adviser Compliance Symposium</b>	<b>San Francisco, CA</b>	
June 6	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More <b>C I T</b>	San Francisco	8:30 a.m. - 10:30 a.m. (PT)
June 6	Books and Records Requirements for Investment Advisers <b>C I T</b>	San Francisco	10:45 a.m. - 12:45 p.m. (PT)
June 6	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts <b>C I T</b>	San Francisco	2:00 p.m. - 4:00 p.m. (PT)
June 7	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act <b>C I T</b>	San Francisco	8:30 a.m. - 10:30 a.m. (PT)
June 7	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements <b>C I T</b>	San Francisco	10:45 a.m. - 12:45 p.m. (PT)
June 7	Compliance Programs Rules and Strategies for Managing Your Annual Review <b>C I T</b>	San Francisco	2:00 p.m. - 4:00 p.m. (PT)
June 8	Professional Ethics: Ethical Decision-Making for Compliance Professionals <b>C I</b>	San Francisco	8:30 a.m. - 10:30 a.m. (PT)
June 8	Critical Skills for High-Performance Compliance Professionals <b>I</b>	San Francisco	10:45 a.m. - 12:45 p.m. (PT)
June 8	SEC Examination and Enforcement Update for IAs <b>E</b>	San Francisco	2:00 p.m. - 4:00 p.m. (PT)
June 20	A Tailored Compliance Testing Program for Investment Advisers <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
June 22	Safely Embracing the Power of Social Media <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
June 27	IACCP Exam Study Session (optional) <b>I</b>	Online	1:00 p.m. - 4:00 p.m. (ET)
July 11	Broker-Dealer - Topic TBD <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
July 13	Defensible Due Diligence for Investment Advisers /Third Party Vendor Management <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
July 18	A Workable Compliance Program for Small Advisers <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
<b>July 25-27 Tue-Thu</b>	<b>Investment Adviser Compliance Symposium</b>	<b>Chicago, IL</b>	
July 25	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More <b>C I T</b>	Chicago	8:30 a.m. - 10:30 a.m. (CT)
July 25	Books and Records Requirements for Investment Advisers <b>C I T</b>	Chicago	10:45 a.m. - 12:45 p.m. (CT)
July 25	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts <b>C I T</b>	Chicago	2:00 p.m. - 4:00 p.m. (CT)
July 26	Form ADV Part 1: Annual Updating Amendment and More <b>C I T</b>	Chicago	8:30 a.m. - 10:30 a.m. (CT)
July 26	Form ADV Part 2: Identifying and Disclosing Conflicts <b>C I T</b>	Chicago	10:45 a.m. - 12:45 p.m. (CT)
July 26	Investment Adviser Performance and Advertising <b>I T</b>	Chicago	2:00 p.m. - 4:00 p.m. (CT)
July 27	Professional Ethics: Ethical Decision-Making for Compliance Professionals <b>C I</b>	Chicago	8:30 a.m. - 10:30 a.m. (CT)
July 27	Critical Skills for High-Performance Compliance Professionals <b>I</b>	Chicago	10:45 a.m. - 12:45 p.m. (CT)
July 27	SEC Examination and Enforcement Update for IAs <b>E</b>	Chicago	2:00 p.m. - 4:00 p.m. (CT)
August 3	Business Continuity Planning, Disaster Recovery, Succession Planning and More <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)



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

Date 2017	Course	Location	Time
August 8	Global Investment Performance Standards for Investment Advisers <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
<b>August 15-17 Tue-Thu</b>	<b>Investment Adviser Compliance Symposium</b>	<b>Boston, MA</b>	
August 15	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More <b>C I T</b>	Boston	8:30 a.m. - 10:30 a.m. (ET)
August 15	Books and Records Requirements for Investment Advisers <b>C I T</b>	Boston	10:45 a.m. - 12:45 p.m. (ET)
August 15	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts <b>C I T</b>	Boston	2:00 p.m. - 4:00 p.m. (ET)
August 16	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act <b>C I T</b>	Boston	8:30 a.m. - 10:30 a.m. (ET)
August 16	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements <b>C I T</b>	Boston	10:45 a.m. - 12:45 p.m. (ET)
August 16	Compliance Programs Rules and Strategies for Managing Your Annual Review <b>C I T</b>	Boston	2:00 p.m. - 4:00 p.m. (ET)
August 17	Professional Ethics: Ethical Decision-Making for Compliance Professionals <b>C I</b>	Boston	8:30 a.m. - 10:30 a.m. (ET)
August 17	Two Trading Compliance Challenges: Valuation and Trade Errors <b>I T</b>	Boston	10:45 a.m. - 12:45 p.m. (ET)
August 17	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage <b>I T</b>	Boston	2:00 p.m. - 4:00 p.m. (ET)
August 22	Damage Control and Internal Investigations: What to do When Your Firm Breaks the Rules <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
August 24	SEC Examination and Enforcement Update for Investment Advisers <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
September 7	Form ADV Part 1: Annual Updating Amendment and More <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
September 12	Form ADV Part 2: Identifying and Disclosing Conflicts <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
September 14	Investment Adviser Performance and Advertising <b>I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
September 19	Trading Practices, Portfolio Compliance and Related Enforcement Cases <b>I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
September 26	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
September 28	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
October 3	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage <b>I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
October 5	Books and Records Requirements for Investment Advisers <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
October 12	Two Trading Compliance Challenges: Valuation and Trade Errors <b>I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
October 17	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
<b>October 24-26 Tue-Thu</b>	<b>NRS Fall 2017 Compliance Conference</b>	<b>Four Seasons Hotel Las Vegas, NV</b>	
October TBD	Professional Ethics: Ethical Decision-Making for Compliance Professionals <b>C I</b> (approved for IACCP CE Ethics credit)	Online and Las Vegas	TBD
October TBD	Critical Skills for High-Performance Compliance Professionals <b>I</b>	Online and Las Vegas	TBD
November 7	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act <b>C I T</b>	Online	1:00 p.m. - 3:00 p.m. (ET)
November 9	RIA Year-End Compliance Check-up <b>E</b>	Online	1:00 p.m. - 3:00 p.m. (ET)



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Date 2017	Course	Location	Time
November 14	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements <span style="background-color: #0070C0; color: white; padding: 2px;">C</span> <span style="background-color: #FFD700; color: black; padding: 2px;">I</span> <span style="background-color: #008000; color: white; padding: 2px;">T</span>	Online	1:00 p.m. - 3:00 p.m. (ET)
November 16	Compliance Programs Rules and Strategies for Managing Your Annual Review <span style="background-color: #0070C0; color: white; padding: 2px;">C</span> <span style="background-color: #FFD700; color: black; padding: 2px;">I</span> <span style="background-color: #008000; color: white; padding: 2px;">T</span>	Online	1:00 p.m. - 3:00 p.m. (ET)
November 30	IACCP Exam Study Session (optional)	Online	1:00 p.m. - 4:00 p.m. (ET)
December 5	Investment Adviser Regulatory Update <span style="background-color: #C00000; color: white; padding: 2px;">E</span>	Online	1:00 p.m. - 3:00 p.m. (ET)
December 7	Broker-Dealer - Topic TBD <span style="background-color: #C00000; color: white; padding: 2px;">E</span>	Online	1:00 p.m. - 3:00 p.m. (ET)
December 12	Compliance Professional Summit <span style="background-color: #C00000; color: white; padding: 2px;">E</span>	Online	1:00 p.m. - 3:00 p.m. (ET)



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