

# Investment Adviser Core and Certified Compliance Professional (IACCP®) Programs

NRS Education is committed to advancing the profession of compliance within the markets that we serve. To that end, NRS is pleased to present two programs, co-sponsored with the Investment Adviser Association (IAA), which are designed to provide the education necessary to increase your acumen and credibility as a compliance professional and help ensure the ongoing success of your firm's compliance program.

## Investment Adviser Core Compliance Program

Designed for professionals new to the industry as well as those wanting to solidify their knowledge, the Investment Adviser Core Compliance Program offers the foundational level of professional competence necessary to help ensure both routine and newly-required procedures are consistently met.

**Value:** Delivers a core level of professional competence

**Timeline:** 12 months to complete the program

**Requirements:** 10 required compliance courses plus submission of an ethics commitment and assessment

**What You Earn:** A Certificate of Achievement

**NRS Education Next Step:** Consider earning the IACCP® designation

## Investment Adviser Certified Compliance Professional (IACCP®) Program®

This certificate program is a professional education program granting the designation, **Investment Adviser Certified Compliance Professional® (IACCP®)**, to individuals who complete an online and/or in-person instructor-led program of study, pass a certifying examination, and meet its work experience, ethics and continuing education requirements.

**Value:** A recognized designation among your compliance professional peers

**Timeline:** 18 months to complete the program

**Requirements:** 15 required compliance courses, 5 elective courses, 2 years of work experience, submission of ethics commitment and assessment, and passing the IACCP® certifying examination

**What You Earn:** IACCP® designation

**NRS Education Next Step:** Continuing education requirements to maintain the IACCP® designation

## Course Options

For compliance professionals with busy schedules, both programs offer a robust schedule and range of flexible options for attending required courses and completing the programs. Courses are taught by industry experts and the interactive format encourages exchanging ideas and asking questions. Each program candidate has access to the NRS Resource Center, an online portal for course registration, material retrieval and more.

### Online

Desktop Seminars deliver the education you need without travel expenses or spending time out of the office.

- Instructor-led seminars are conducted in real time
- Program candidates are encouraged to share comments and ask questions.
- Seven-day access to course recording for online courses you attend

### On-site

In-person events offer the opportunity for program candidates to focus on courses without office distractions and take time to experience a concentrated approach to investment adviser compliance education.

- Participate in courses that take place in a traditional classroom learning environment
- Complete multiple courses in one day
- Network with peers and course instructors
- Courses held in New York and Chicago in conjunction with the Investment Adviser Compliance Symposia, and in Fort Lauderdale, Florida and Las Vegas, Nevada in conjunction with the NRS Spring and Fall Compliance Conferences

# Program Requirements:

For a complete listing of courses, dates and times, please see the current NRS Education Calendar.

## Investment Adviser Core Compliance Program

### ✓ Required Compliance Education – 10 Courses

The following 10 (2-hour) courses:

- **Advisers Act (Six Required Courses)**
  - Introduction to the Advisers Act: Framework; Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers; and More
  - Books and Records Requirements for Investment Advisers
  - Insider Trading, Contracts and ADV Delivery Requirements for Investment Advisers
  - Understanding Fiduciary Duties and a Sweep of the Anti-Fraud Provisions of the Advisers Act
  - Selected Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements
  - Compliance Program Rules and Strategies for Managing the Annual Review
- **Ethics (Two Required Courses)**
  - *Investment Adviser Codes of Ethics—The Rule Plus Pay to Play, Gifts and Whistleblowers*
  - *Professional Ethics: Ethical Decision-Making for Compliance Professionals*
- **Disclosure (Two Required Courses)**
  - Form ADV Part 1: Annual Updating Amendment and More
  - Form ADV Part 2: Identifying and Disclosing Conflicts

Submission of Ethics commitment and assessment

Receive  
**Investment Adviser Core Compliance  
Certificate of Achievement**



To learn more call  
**1.860.435.0200** or visit  
**www.nrs-education.com**

IACCP and Core Programs are co-sponsored with



## Investment Adviser Certified Compliance Professional (IACCP®) Program

### ✓ Required Compliance Education – 10 Courses

The following 10 (2-hour) courses:

- **Advisers Act (Six Required Courses)**
  - Introduction to the Advisers Act: Framework; Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers; and More
  - Books and Records Requirements for Investment Advisers
  - Insider Trading, Contracts and ADV Delivery Requirements for Investment Advisers
  - Understanding Fiduciary Duties and a Sweep of the Anti-Fraud Provisions of the Advisers Act
  - Selected Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements
  - Compliance Program Rules and Strategies for Managing the Annual Review
- **Ethics (Two Required Courses)**
  - *Investment Adviser Codes of Ethics—The Rule Plus Pay to Play, Gifts and Whistleblowers*
  - *Professional Ethics: Ethical Decision-Making for Compliance Professionals*
- **Disclosure (Two Required Courses)**
  - Form ADV Part 1: Annual Updating Amendment and More
  - Form ADV Part 2: Identifying and Disclosing Conflicts

– OR –

**Investment Adviser Core Compliance Program  
Certificate of Achievement**

### Additional Required Courses – 5 Courses

- **Skills (One 2-hour Course)**
  - Mastering Critical Skills for High-Performance Compliance Professionals
- **Disclosure (One 2-hour Course)**
  - Investment Adviser Performance and Advertising
- **Trading (Three 2-hour Courses)**
  - Trading Practices, Portfolio Compliance and Related Enforcement Cases
  - Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage
  - Two Trading Compliance Challenges: Valuation and Trade Errors

### ✦ Elective Courses – 5 Courses

Complete your education requirement by selecting five additional 2-hour courses

Two years of work experience

Submission of Ethics commitment and assessment

Certifying IACCP Examination

Receive  
**IACCP Designation**