



# 2010 NRS Education Calendar

Program	Date	Title	Location	Time
✦	January 12	Business Continuity Planning	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	January 26	Framework of the Act—Duty to Supervise; Who Must Register; Exemptions and Exemptions; State and Federal Responsibilities	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	January 28	Books and Records—Today's Requirements	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	February 2	Brochure Rule; Insider Trading; Codes of Ethics; Contracts	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	February 4	Anti-Fraud Rules—Fiduciary Duty, Principal and Agency Cross Transactions, Pooled Investment Vehicles, Advertising Rule	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	February 9	Anti-Fraud Rules—Custody, Solicitors, Financial and Disciplinary Disclosure, Proxy Voting	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	February 11	Compliance Programs Rules and Mastering the Annual Review	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	February 18	Form ADV Part I and Regulatory Reporting	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	February 23	Form ADV Part II and Identifying and Disclosing Conflicts of Interest	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	March 2	Investment Adviser Performance and Advertising	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	March 4	Understanding the New Amendments to the SEC Custody Rule	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	March 9	Investment Adviser Codes of Ethics—Requirements and Best Practices	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	March 11	Ethical Decision-Making and Lessons Learned from SEC Enforcement Cases	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	March 16	Preparing for an SEC Examination: Identifying Priorities for 2010	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	March 18	Safeguarding Information—Reg S-P and Other Privacy Mandates	Online	1:00 p.m. - 3:00 p.m. (ET)
April 19-22			NRS 25th Annual Spring Compliance Conference	Fort Lauderdale
✓	April 19	Mastering Critical Skills for High Performance Compliance Professionals	Fort Lauderdale and Online	4:30 p.m. - 6:30 p.m. (ET)
✓	April 19	Framework of the Act—Duty to Supervise; Who Must Register; Exemptions and Exemptions; State and Federal Responsibilities	Fort Lauderdale	8:45 a.m. - 10:45 a.m. (ET)
✓		Books and Records—Today's Requirements		11:00 a.m. - 1:00 p.m. (ET)
✓		Brochure Rule, Prevention of Insider Trading, Codes of Ethics Rule, Advisory Contracts		1:45 p.m. - 3:45 p.m. (ET)
✓	April 20	Anti-Fraud Rules—Fiduciary Duty, Principal and Agency Cross Transactions, Pooled Investment Vehicles, Advertising Rule	Fort Lauderdale	8:45 a.m. - 10:45 a.m. (ET)
✓		Anti-Fraud Rules—Custody, Solicitors, Financial and Disciplinary Disclosure, Proxy Voting		11:00 a.m. - 1:00 p.m. (ET)
✓		Compliance Programs Rules and Mastering the Annual Review		1:45 p.m. - 3:45 p.m. (ET)
	April 22	Professional Ethics (qualifies for IACCP CE ethics credit)	Fort Lauderdale and Online	8:30 a.m. - 11:00 a.m. (ET)
✦	May 11	Trading—Practices, Portfolio Compliance and Valuation	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	May 13	Social Networking Compliance Challenges for IAs and B-Ds	Online	1:00 p.m. - 3:00 p.m. (ET)

All courses qualify for IACCP CE general credits except for IACCP exam study sessions.

## NRS Education Key


✓ Investment Adviser Core Compliance Training Program  
10 Required Courses

✓ Investment Adviser Certified Compliance Professional (IACCP<sup>SM</sup>)  
Training Program  
12 Required Courses

✦ Investment Adviser Certified Compliance Professional (IACCP<sup>SM</sup>)  
Training Program  
8 Electives

 Testable on IACCP certifying exam

 Online Desktop Seminar  
Course can be taken as a stand-alone session

 On-Site Courses  
Course can be taken as a stand-alone session




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Program	Date	Title	Location	Time
✦	May 18	Trading—Best Execution, Soft Dollars and Directed Brokerage	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	May 20	Anti-Money Laundering Risk Management for IAs and B-Ds	Online	1:00 p.m. - 3:00 p.m. (ET)
	May 25	IACCP Exam Study Session	Online	1:00 p.m. - 4:00 p.m. (ET)
✓	June 8	Form ADV Part I and Regulatory Reporting	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	June 10	Form ADV Part II and Identifying and Disclosing Conflicts of Interest	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	June 15	Investment Adviser Regulatory Update	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	June 17	Investment Adviser Performance and Advertising	Online	1:00 p.m. - 3:00 p.m. (ET)
	July 20	Real World Compliance for the Small Adviser	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	July 22	Preparing for an SEC Examination: Identifying Priorities for 2010	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	August 3	Investment Adviser Codes of Ethics—Requirements and Best Practices	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	August 5	Ethical Decision-Making and Lessons Learned from SEC Enforcement Cases	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	September 14	Developing a Tailored IA Compliance Testing Program: Forensic Focus	Online	1:00 p.m. - 3:00 p.m. (ET)
October 4-7			Scottsdale, AZ	
✓	October 4	Investment Adviser Codes of Ethics—Requirements and Best Practices	Scottsdale	8:45 a.m. - 10:45 a.m. (PT)
✓		Ethical Decision-Making and Lessons Learned from SEC Enforcement Cases		11:00 a.m. - 1:00 p.m. (PT)
		Mastering Critical Skills for High Performance Compliance Professionals	Scottsdale and Online	TBD
✓	October 5	Form ADV Part I and Regulatory Reporting	Scottsdale	8:45 a.m. - 10:45 a.m. (PT)
		Form ADV Part II and Identifying and Disclosing Conflicts of Interest		11:00 a.m. - 1:00 p.m. (PT)
		Investment Adviser Performance and Advertising		1:45 p.m. - 3:45 p.m. (PT)
	October 7	Professional Ethics (qualifies for IACCP CE ethics credit)	Scottsdale and Online	10:00 a.m. - 12:00 p.m. (PT)
✦	October 26	RIA Year-End Compliance Check-Up	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	November 2	Framework of the Act—Duty to Supervise; Who Must Register; Exclusions and Exemptions; State and Federal Responsibilities	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	November 4	Books and Records—Today's Requirements	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	November 9	Brochure Rule; Insider Trading; Codes of Ethics; Contracts	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	November 16	Anti-Fraud Rules—Fiduciary Duty, Principal and Agency Cross Transactions, Pooled Investment Vehicles, Advertising Rule	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	November 18	Anti-Fraud Rules—Custody, Solicitors, Financial and Disciplinary Disclosure, Proxy Voting	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	November 30	Compliance Programs Rules and Mastering the Annual Review	Online	1:00 p.m. - 3:00 p.m. (ET)
	December 2	IACCP Exam Study Session	Online	1:00 p.m. - 4:00 p.m. (ET)
✦	December 7	Investment Adviser Regulatory Update	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	December 14	The Architecture of a Sustainable IA Compliance Program	Online	1:00 p.m. - 3:00 p.m. (ET)

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-  Testable on IACCP certifying exam
-  Online Desktop Seminar  
Course can be taken as a stand-alone session
-  On-Site Course  
Course can be taken as a stand-alone session

To learn more call  
**1.860.435.0200** or visit  
[www.nrs-education.com](http://www.nrs-education.com)

