

2022 Course Calendar

Updated May 2022

C IA Core **I** IACCP® **E** Elective **T** Testable Content
 Legend for enrollees in the NRS IACCP® or IA Core Compliance programs

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

Date	Course	Type	Required	Location	Time
January 6	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More	AA01	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
January 11	Form ADV Part 1: Annual Updating Amendment and More	DIS01	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
January 13	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
January 20	Books and Records Requirements for Investment Advisers	AA02	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
January 25	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
February 3	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers**	ETH01	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
February 8	SEC Examination and Enforcement Update for Investment Advisers	ELC01	I E	Online	1:00 p.m. - 3:00 p.m. (ET)
February 10	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 15	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements	AA05	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
February 17	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
February 24	Professional Ethics: Ethical Decision-Making for Compliance Professionals*	ETH02	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
March 8	Investment Adviser Performance and Advertising	DIS03	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
March 10	Transitioning to the New Advertising Rule	ELC10	I E	Online	1:00 p.m. - 3:00 p.m. (ET)
March 15	Trading Practices, Portfolio Compliance and Related Enforcement Cases	TRA01	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
March 17	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage	TRA02	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
March 22	Two Trading Compliance Challenges: Valuation and 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 and '34 Act Section 13 Reporting for Investment Advisers	MAN01	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
April 12	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft and Cybersecurity	MAN02	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
April 14	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)
April 19	GIPS for Investment Advisers	ELC02	I E	Online	1:00 p.m. - 3:00 p.m. (ET)
April 21	Private Fund Compliance Considerations	ELC04	I E	Online	1:00 p.m. - 3:00 p.m. (ET)
April 26	Compliance Considerations: Elder Investors and Financial Exploitation	ELC06	I E	Online	1:00 p.m. - 3:00 p.m. (ET)



a ComplySci Company

1-860-435-0200
 info@nrs-inc.com
 www.nrs-inc.com



1-202-293-4222

iaaservices@investmentadviser.org
 www.investmentadviser.org

* approved for IACCP® Ethics credit
 ** Not approved for IACCP® Ethics credit

2022 Course Calendar

C IA Core **I** IACCP® **E** Elective **T** Testable Content
 Legend for enrollees in the NRS IACCP® or IA Core Compliance programs

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

Date	Course	Type	Required	Location	Time
May 16-19	NRS Spring 2022 Compliance Conference "Facing the Future, Embracing the Fundamentals"			Loews Portofino Bay Hotel at Universal Orlando Orlando, FL	
May 17	Countdown to the New IA Marketing Rules	ELC11	I E	Online Onsite	10:45 a.m. - 12:45 p.m. (ET)
May 18	Professional Ethics: Ethical Decision-Making for Compliance Professionals*	ETH02	C I T	Online Onsite	11:00 a.m. - 1:00 p.m. (ET)
May 19	Critical Skills for High-Performance Compliance Professionals	SKL01	I	Online Onsite	11:30 a.m. - 1:30 p.m. (ET)
June 2	IACCP Study Session	N/A	I	Online	1:00 p.m. - 3:00 p.m. (ET)
June 14-17	Virtual Investment Adviser Core Compliance Program Symposium			Online	
June 14	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More	AA01	C I T	Online	10:00 a.m. - 12:00 p.m. (ET)
	Books and Records Requirements for Investment Advisers	AA02	C I T		1:00 p.m. - 3:00 p.m. (ET)
June 15	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	C I T	Online	10:00 a.m. - 12:00 p.m. (ET)
	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	C I T		1:00 p.m. - 3:00 p.m. (ET)
	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements	AA05	C I T		3:15 p.m. - 5:15 p.m. (ET)
June 16	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers (Not approved for IACCP Ethics credit)	ETH01	C I T	Online	10:00 a.m. - 12:00 p.m. (ET)
	Professional Ethics: Ethical Decision-Making for Compliance Professionals**	ETH02	C I T		1:00 p.m. - 3:00 p.m. (ET)
	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06	C I T		3:15 p.m. - 5:15 p.m. (ET)
June 17	Form ADV Part 1: Annual Updating Amendment and More	DIS01	C I T	Online	10:00 a.m. - 12:00 p.m. (ET)
	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02	C I T		1:00 p.m. - 3:00 p.m. (ET)
July 19-22	Investment Adviser Certified Compliance Professional Symposium			U of Chicago Gleacher Ctr, Chicago, IL	
July 19	Mandates Beyond the Advisers Act: Anti-Money Laundering, ERISA and '34 Act Section 13 Reporting for Investment Advisers	MAN01	I T	Onsite	12:45 p.m. - 2:45 p.m. (CT)
	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft and Cybersecurity	MAN02	I T		3:00 p.m. - 5:00 p.m. (CT)
July 20	Trading Practices, Portfolio Compliance and Related Enforcement Cases	TRA01	I T	Onsite	8:15 a.m. - 10:15 a.m. (CT)
	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage	TRA02	I T		10:30 a.m. - 12:30 p.m. (CT)
	Two Trading Compliance Challenges: Trade Errors and Valuation	TRA03	I T		2:00 p.m. - 4:00 p.m. (CT)



a ComplySci Company

1-860-435-0200
 info@nrs-inc.com
 www.nrs-inc.com



1-202-293-4222

iaaservices@investmentadviser.org
 www.investmentadviser.org

* approved for IACCP® Ethics credit
 ** Not approved for IACCP® Ethics credit

2022 Course Calendar

C IA Core **I** IACCP® **E** Elective **T** Testable Content
 Legend for enrollees in the NRS IACCP® or IA Core Compliance programs

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

Date	Course	Type	Required	Location	Time
July 21	Investment Adviser Performance and Advertising	DIS03	I T	Onsite	8:15 a.m. - 10:15 a.m. (CT)
	The SEC Proposed Cybersecurity Rule: Requirements You Must Understand Now	ELC02	I E		10:30 a.m. - 12:30 p.m. (CT)
	Are You Prepared: Business Continuity, Disaster Recovery, Succession Planning and More	ELC05	I E		2:00 p.m. - 4:00 p.m. (CT)
July 22	Critical Skills for High-Performance Compliance Professionals	SKL01	I	Onsite	8:15 a.m. - 10:15 a.m. (CT)
	SEC Examination and Enforcement Update for Investment Advisers	ELC01	I E		10:30 a.m. - 12:30 p.m. (CT)
August 15-18	Virtual Investment Adviser Core Compliance Program Symposium			Online	
August 15	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More	AA01	C I T	Online	10:00 a.m. - 12:00 p.m. (ET)
	Books and Records Requirements for Investment Advisers	AA02	C I T		1:00 p.m. - 3:00 p.m. (ET)
August 16	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	C I T	Online	10:00 a.m. - 12:00 p.m. (ET)
	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	C I T		1:00 p.m. - 3:00 p.m. (ET)
	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements	AA05	C I T		3:15 p.m. - 5:15 p.m. (ET)
August 17	Form ADV Part 1: Annual Updating Amendment and More	DIS01	C I T	Online	10:00 a.m. - 12:00 p.m. (ET)
	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02	C I T		1:00 p.m. - 3:00 p.m. (ET)
	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers**	ETH01	C I T		3:15 p.m. - 5:15 p.m. (ET)
August 18	Professional Ethics: Ethical Decision-Making for Compliance Professionals*	ETH02	C I T	Online	10:00 a.m. - 12:00 p.m. (ET)
	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06	C I T		1:00 p.m. - 3:00 p.m. (ET)
August 25	IACCP® Exam Study Session	N/A	I	Online	1:00 p.m. - 4:00 p.m. (ET)
September 8	Trading Practices, Portfolio Compliance and Related Enforcement Cases	TRA01	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 13	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage	TRA02	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 15	Two Trading Compliance Challenges: Valuation and Trade Errors	TRA03	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 20	Mandates Beyond the Advisers Act: Anti-Money Laundering, ERISA and '34 Act Section 13 Reporting for Investment Advisers	MAN01	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 22	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft and Cybersecurity	MAN02	I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 27	Investment Adviser Performance and Advertising	DIS03	I T	Online	1:00 p.m. - 3:00 p.m. (ET)



a ComplySci Company

1-860-435-0200
 info@nrs-inc.com
 www.nrs-inc.com



1-202-293-4222

iaaservices@investmentadviser.org
 www.investmentadviser.org

* approved for IACCP® Ethics credit
 ** Not approved for IACCP® Ethics credit

2022 Course Calendar

C IA Core **I** IACCP® **E** Elective **T** Testable Content
 Legend for enrollees in the NRS IACCP® or IA Core Compliance programs

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

Date	Course	Type	Required	Location	Time
October 6	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More	AA01	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
October 11	Books and Records Requirements for Investment Advisers	AA02	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
October 13	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
October 24-27	NRS Fall 2022 Compliance Conference			TBD	
October 25	TBD	ELC	I E	Online & Onsite	TBD
October 26	Professional Ethics: Ethical Decision-Making for Compliance Professionals*	ETH02	C I T	Online & Onsite	TBD
October 27	Critical Skills for High-Performance Compliance Professionals	SKL01	I	Online & Onsite	TBD
November 8	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)
November 10	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements	AA05	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
November 15	Form ADV Part 1: Annual Updating Amendment and More	DIS01	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
November 17	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers**	ETH01	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
November 22	RIA Year-End Compliance Check-up	ELC	I E	Online	1:00 p.m. - 3:00 p.m. (ET)
December 6	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
December 8	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06	C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
December 13	IACCP® Exam Study Session	N/A	I	Online	1:00 p.m. - 4:00 p.m. (ET)
December 15	Compliance Professional Summit	ELC	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.

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).



a ComplySci Company

1-860-435-0200
 info@nrs-inc.com
 www.nrs-inc.com



1-202-293-4222

iaaservices@investmentadviser.org
 www.investmentadviser.org

* approved for IACCP® Ethics credit
 ** Not approved for IACCP® Ethics credit