

NRS education solutions for investment advisers

Cultivate compliance confidence through leading educational offerings

NRS[™]
by COMPLY

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NRS EDUCATION SOLUTIONS FOR INVESTMENT ADVISERS

NRS meets the needs of busy investment advisers and dually registered firms with compliance education and professional development programs delivered in-person at conferences and symposia forums, live online or via recorded on-demand webinars.

Investment adviser chief compliance officers (CCO) and others performing compliance functions rely on NRS education solutions for a full range of professional development options, from understanding regulatory compliance fundamentals to applying practical application of compliance to your business practices. Our solutions provide:

- Clarity in preparing for regulatory changes and examinations.
- Support for strong, effective and efficient compliance programs.
- Knowledge of the latest rules and regulations, best practices and new trends.
- Certification through our professional designation program.
- Fulfillment of annual compliance training requirements.

NRS Investment Adviser Core Compliance (IA Core) Program provides essential training on the Investment Advisers Act of 1940 and is a stepping stone to the IACCP designation, providing a foundation of professional competence necessary to help support and strengthen an investment advisory firm's compliance program administration.

NRS Investment Adviser Certified Compliance Professional Program (IACCP®), co-sponsored by the Investment Adviser Association (IAA), is designed for compliance professionals wanting to certify their knowledge of investment advisory regulatory obligations, and offers additional competency in trading, regulatory mandates and other current regulatory priorities.

NRS live webinars are designed for professionals seeking convenient, dynamic, expert compliance education. The webinars cover important regulatory topics and best practices and are presented by NRS compliance experts and other industry-leading subject matter experts. Instructor-led, online courses are delivered in real time and provide live Q&A.

NRS compliance conferences and investment adviser compliance symposia provide a comprehensive view of the current regulatory landscape, discuss the latest regulatory changes and allow compliance professionals to develop and refine their knowledge to maintain workable and effective compliance programs.

NRS custom training provides compliance education which balances the complexity of regulatory requirements with the reality of running a business. Custom training programs are developed and conducted by NRS compliance experts with decades of experience working in the private sector and for regulatory bodies. The programs are delivered in person or online.



Investment Adviser Core Compliance (IA Core) Program

Value: Delivers a core level of compliance professional competence.

Timeline: 12 months to complete the program.

Requirements: 10 required courses plus submission of an ethics assessment.

What you earn: Certificate of Achievement.

Education next step: Transfer courses to the IACCP Program within 12 months of completing the IA Core Program.

Investment Adviser Certified Compliance Professional (IACCP®) Program

Value: A recognized industry compliance designation.

Timeline: 18 months to complete the program.

Requirements: 17 required and three elective courses, submission of an ethics assessment and an ethics statement, passing the IACCP certifying examination and two years work experience in investment adviser compliance.

What you earn: IACCP designation.

Education next step: Maintain the IACCP designation through annual continuing education (CE) requirements.

The program requirements:

All program courses are two hours in length and provide continuing education credit to existing IACCP Designees. Courses may be taken in any order. A complete list of courses, dates and times can be found on the NRS website.

- 10 Compliance Education Courses for both the IA Core and IACCP Programs that cover the Investment Advisers Act (six courses), ethics (two courses) and disclosures (two courses).
- 10 Compliance Education Courses for the IACCP Program that include disclosures (one additional course), trading (three courses), mandates (two courses), critical skills for high-performance compliance professionals (one course) and three electives on topics such as SEC examination and enforcement updates, cybersecurity, CCO liability, private fund compliance considerations, GIPS for investment advisers and more.

NRS for technology, consulting and education

Whether your organization is large and seeking to streamline compliance workflow or small and needing to reduce time spent on compliance, NRS has solutions for the entire breadth of investment adviser compliance challenges.

NRS delivers robust proprietary software, deeply experienced consultant compliance professionals and education, from engaging conferences to skill building, exam-prep

and CE – each continually updated – for compliance confidence. We balance regulatory requirements with real-world business demands for custom solutions designed to keep you in compliance and align with your business needs.

Reduce costs, increase efficiencies, stay informed and stay in compliance. Our offerings are flexible, comprehensive and backed by extraordinary customer care.

ABOUT NRS

National Regulatory Services (NRS), a COMPLY company, is an advanced provider of compliance and registration products and services for investment advisers, broker-dealers, hedge funds, investment companies and insurance institutions. NRS is the consulting and education partner for your compliance program. Combining industry-leading experts and real-world insight to help you stay up to date with the ever-changing regulatory landscape and minimize risk. NRS is part of the COMPLY portfolio of firms, which includes ComplySci, RIA in a Box, NRS and illumis.

Visit nrs-inc.com to learn more.

ABOUT COMPLY

At COMPLY, we pride ourselves on being the champion for compliance professionals. Merging technology, consulting and education, we help clients navigate the ever-changing regulatory environment. Our portfolio of solutions includes ComplySci, RIA in a Box, National Regulatory Service (NRS) and illumis, whose more than 7,000 clients include some of the world's largest financial institutions. Clients throughout our portfolio of firms enjoy access to our full suite of industry-leading governance, risk and compliance (GRC) consulting, technology, managed services, analytics and outsourcing solutions.

Learn more at COMPLY.com.

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