




Knowledge and training for compliance professionals



We've Raised the Bar on Achieving Compliance Success

In today's fast-changing regulatory environment, there's little room for error. Building a culture of compliance to protect your firm from regulatory risk requires ongoing, effective education from an industry leader.

NRS provides compliance education for investment advisers, broker-dealers, hedge funds, investment companies and insurance providers. With over 25 years of experience providing compliance education, consulting and technology solutions, NRS knows the critical challenges compliance professionals face.

 **NRS** Education provides the knowledge and insight necessary for Chief Compliance Officers and compliance staff to meet the challenges of a demanding and fluid regulatory environment. Our education courses and programs can help you and your firm:

- *Prepare* for and address regulatory changes and examinations
- *Establish* strong, effective and efficient compliance programs
- *Interact* with other compliance professionals to build your network of resources
- *Learn* best practices and procedures
- *Stay up to date* with the latest industry news, compliance challenges and more
- *Implement* a firm-wide culture of compliance



NRS Education

Our mission is to advance compliance as a profession and support compliance professionals in managing a successful compliance program by meeting the demands of an ever-changing regulatory landscape.

NRS understands that finding time to focus on education can be challenging for busy professionals. We offer a comprehensive suite of compliance education courses and tools to enable you to develop your skills and abilities at your own pace. Whether you prefer a structured program or seek individual courses, NRS Education offers the training you need for the ongoing success of your firm's compliance program.



Education On-Site and In-Person

Multiple opportunities throughout the year to receive in-depth training in a classroom setting.

- Annual Conferences
- Topical Conferences
- Investment Adviser Training



Dynamic Education Programs

Guided curriculums designed to foster compliance excellence.

- Investment Adviser Core Program
- Investment Adviser Certified Compliance Professional Program – IACCPSM
- Specialist Certificate Programs – Hedge Fund and Risk Management



Unlimited Flexibility for Learning Your Way

Convenient education options offer training where and when you need it.

- Desktop Seminars
- Desktops on Demand
- Custom Training

A Clear Path Forward for Compliance Professionals

For compliance professionals looking to take a direct route to compliance excellence, NRS offers two structured compliance learning tracks to help develop knowledgeable, competent compliance leaders who can achieve both career success and compliance excellence for their firms.

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

Scope: Ten 2-hour courses to be completed within 12 months

Requirements: 10 required compliance courses plus an education assessment

What You Earn: A Certificate of Achievement for completing the program

NRS Education Next Step: Consider the IACCP designation

Core Program Requirements

Required Compliance Education 10 Courses

- Advisers Act (6 Courses)
- Ethics (2 Courses)
- Disclosure (2 Courses)

Submission of Written Assessment

Receive
Investment Adviser Core Compliance
Certificate of Achievement



Investment Adviser Certified Compliance Professional (IACCPSM) Program

This certificate program offers a comprehensive curriculum for those professionals seeking the benefits and prestige of one of the compliance industry's most recognized professional designations, the Investment Adviser Certified Compliance Professional.

Compliance professionals can earn recognition as a specialist in Hedge Fund Compliance and Operations or Risk Management in addition to their IACCP designation. Each 3-course area of concentration helps compliance professionals address issues specific to these specialized areas of compliance.

Value: A premium designation among your compliance professional peers

Scope: Twenty 2-hour courses to be completed within 18 months

Requirements: 12 required compliance courses, 8 electives, 2 years of work experience and passing the certifying examination

What You Earn: IACCP designation, Specialist Certificate (optional)

NRS Education Next Step: Continuing education requirement to maintain the IACCP designation

IACCP Program Requirements

✓ Required Compliance Education 10 Courses

- Advisers Act (6 Courses)
- Ethics (2 Courses)
- Disclosure (2 Courses)

– OR –

Investment Adviser Core Compliance Program Certificate of Achievement

✓ Additional Required Courses 2 Courses

- Skills (1 Course)
- Disclosure (1 Course)

✦ Electives 8 Courses

✦ Specialist Concentration Electives (optional)

- Hedge Fund Specialist (3 Courses)
- Risk Management Specialist (3 Courses)

Two Years of Work Experience

IACCP Certifying Examination

Receive
IACCPSM Designation
Specialist Certificate (optional)

For a complete listing of courses, dates and times, please see the NRS Education Calendar available online at www.nrs-inc.com.

Programs co-sponsored by NRS and

INVESTMENT ADVISER
ASSOCIATION



Flexible and Focused Training Options

As a compliance professional, you face competing demands on your time. To help you achieve your goals, NRS Education offers training when and where you need it.

Desktop Seminars

For professionals seeking a convenient and affordable opportunity to address specific compliance training needs, Desktop Seminars offer individual online sessions covering important regulatory topics and best practices presented by NRS Consultants and other industry experts.

Desktop Seminars offer a wide range of convenient benefits:

- Comprehensive sessions taught by industry experts
- Interactive format encourages exchanging ideas and asking questions
- Extensive topic list matches your and your firm's needs
- Education you need without travel expenses or time away from the office
- Printable seminar materials

Desktops on Demand

Desktops on Demand allow you to gain valuable and insightful compliance information according to your own schedule.

With this education option, you can:

- Choose when you and your team schedule time for education
- Benefit from the latest topics, most current information and engaging discussions from our Desktop Seminars
- Access content wherever there is an Internet-connected PC
- Create your own personal compliance training library of materials

Custom Training Programs

Developed and conducted by NRS's team of compliance experts, Custom Training Programs are designed to specifically address your firm's unique needs—from general compliance and code of ethics training to hedge fund solutions and beyond.

This highly-flexible training is built to your requirements for compliance education. NRS education experts work with your compliance team to identify its educational goals, then create a tailored curriculum that will help you achieve them. Custom training programs can:

- Be delivered online or in person to meet your needs
- Create a training environment based on third-party objectivity
- Help demonstrate your firm's commitment to creating a firm-wide culture of compliance
- Meet shorter deadlines and focus on specific compliance deficiencies
- Fulfill Annual Compliance Meeting and AML training requirements



Intensive, Engaging On-Site Opportunities

Experience industry-leading compliance education and training delivered by experts, up close and personal.

Annual Conferences

For over a quarter of a century, the NRS Spring and Fall Annual Conferences have provided opportunities for investment adviser and broker-dealer compliance professionals to gather at exceptional resort venues to examine relevant issues, discuss shared concerns, learn about the latest regulatory developments and determine what these changes mean for firms and their compliance programs. These conferences help compliance professionals develop the critical skills needed to build effective compliance programs that protect their firms as well as enhance their professional competency.

Regarded by many as the industry's best regulatory compliance events for the quality of the speakers, the practical information conveyed and the ample networking opportunities, NRS Annual Conferences offer compliance professionals:

- Access to the NRS consultant team that stands ready to assist you
- Proximity to regulatory, legal and industry speakers who can assist in those times when you need professional advice
- Networking opportunities to build relationships with your peers to share and learn throughout the year what others are doing right
- Sessions most relevant to the challenges you face and which offer real solutions
- Opportunities to earn continuing education credits
- Valuable exposure to “partners in compliance” via select exhibitors highlighting the latest compliance products and services

Topical Conferences

When significant regulatory changes or hot-topic issues impact the compliance community, NRS often hosts one-day topical conferences. These training events will help compliance professionals make sense of the key developments and their implications. Participants will also learn to identify the appropriate response measures. Topical conferences deliver education in a timely manner to help compliance professionals quickly work through a changing regulatory environment or new compliance issues.

Investment Adviser Compliance Training

Investment adviser compliance training has been the backbone of NRS Education since its inception in 1986. These events offer compliance professionals the opportunity to develop and refine their knowledge of the Investment Advisers Act of 1940. Throughout the training, best practices are delivered to help build strong compliance programs that will stand up to SEC scrutiny in the toughest regulatory environment.

Live training in a face-to-face classroom setting is presented in a structured yet informal style that encourages discussion and questions. A combination of instructional delivery methods—lecture, case studies, small group discussion and other interactive elements—provides an engaging, multifaceted learning experience. You will receive practical advice and strategies to help your firm stay ahead of demanding regulatory challenges. This training provides content applicable to all types and sizes of investment advisory firms and hedge funds.

Attending these events fulfills a portion of the education requirements of the NRS Core and IACCP Programs.

NRS is an approved provider of professional continuing education. NRS Education events are designed to meet criteria for continuing education credits for CPAs/accountants, certified financial planners, attorneys and compliance professionals.



What Compliance Professionals Are Saying About NRS Education

“Coming from a smaller firm, it was extremely important to me to earn the IACCP designation for two reasons: to demonstrate that even though we might not be able to allocate vast resources to the compliance program, the firm had someone in place with a demonstrated deeper knowledge of the Adviser’s Act and associated best practices; and, on a personal level, to give me the confidence that I had the appropriate education and capabilities to manage the firm’s program. It comes down to credibility.”

Kris Lumsden

Chief Compliance Officer
Foothills Asset Management, Ltd.

“The Desktop Seminar I attended gave excellent guidelines and advice for several items I have found challenging. As always, you delivered as advertised.”

Amanda Wells

Investment Officer
Catawba Capital Management

“The networking component of the conference was incredibly helpful—it is a safety net that gets us through the other 51 weeks of the year.”

Anne Buckley

CCO and Chief Legal Officer
Detwiler Fenton Group Inc

About NRS

NRS has the practical expertise, proven capability and unparalleled reach to deliver integrated and effective compliance solutions to a wide range of users within the financial services industry. NRS delivers these solutions through three interrelated offerings—comprehensive education, best-in-class technology and expert consulting services—enabling our clients to meet their regulatory requirements and minimize risk.

To learn more visit
www.nrs-inc.com