



# 2012 Education Calendar

Date	Title	Location	Time
January 19	SEC Examinations for Investment Advisers	Online	1:00 p.m. - 3:00 p.m. (ET)
January 24	Form ADV Part 1: Annual Updating Amendment and More	Online	1:00 p.m. - 3:00 p.m. (ET)
January 26	New Dodd-Frank Investment Adviser Rules: How Will They Impact Your Firm?	Online	1:00 p.m. - 3:00 p.m. (ET)
January 31	Form ADV Part 2: Identifying and Disclosing Conflicts	Online	1:00 p.m. - 3:00 p.m. (ET)
February 7	Investment Adviser Performance and Advertising	Online	1:00 p.m. - 3:00 p.m. (ET)
February 9	The Survival Imperative: How to Conduct an Internal Investigation	Online	1:00 p.m. - 3:00 p.m. (ET)
February 16	Investment Adviser Codes of Ethics – The Rule Plus Pay to Play, Gifts and Whistleblowers	Online	1:00 p.m. - 3:00 p.m. (ET)
February 23	A New Look at the Advisers Act: Registration, Exclusions and Exemptions; Mid-Sized Advisers and Exempt Reporting Advisers; Private Fund Advisers and More	Online	1:00 p.m. - 3:00 p.m. (ET)
February 28	Hedge Funds in Transition, SEC Examination Priorities and Strategies for Building an Advisers Act Compliance Program	Online	1:00 p.m. - 3:00 p.m. (ET)
March 6	Broker-Dealer Regulatory Update	Online	1:00 p.m. - 3:00 p.m. (ET)
March 13	Books and Records Requirements for Investment Advisers	Online	1:00 p.m. - 3:00 p.m. (ET)
March 20	Insider Trading, Contracts and New ADV Delivery Requirements for Investment Advisers	Online	1:00 p.m. - 3:00 p.m. (ET)
March 22	Understanding Fiduciary Duties and the Sweep of the Anti-Fraud Provisions of the Advisers Act	Online	1:00 p.m. - 3:00 p.m. (ET)
April 3	Advisers Act: Focus on Custody and Pay-to-Play Rules Plus Solicitors and Proxy Voting Requirements	Online	1:00 p.m. - 3:00 p.m. (ET)
April 10	Investment Company Regulatory Update	Online	1:00 p.m. - 3:00 p.m. (ET)
April 17	Compliance Program Rules and Strategies for Managing Your Annual Review	Online	1:00 p.m. - 3:00 p.m. (ET)
April 24	Broker-Dealer Topic TBD	Online	1:00 p.m. - 3:00 p.m. (ET)
May 1	Dealing with Data Breaches: Understanding Your Firm's Liability and State and Federal Mandates	Online	1:00 p.m. - 3:00 p.m. (ET)
May 16-18	<b>NRS 27<sup>th</sup> Annual Spring Compliance Conference</b>	<b>Williamsburg</b>	
May 16	Critical Skills for High-Performance Compliance Professionals	Online and Williamsburg	TBD
May 16	Professional Ethics: Ethical Decision-Making for Compliance Professionals	Online and Williamsburg	TBD
May 31	Investment Adviser Regulatory Update	Online	1:00 p.m. - 3:00 p.m. (ET)
June 5	IACCP Exam Study Session	Online	1:00 p.m. - 4:00 p.m. (ET)
June 12	A New Look at the Advisers Act: Registration, Exclusions and Exemptions; Mid-Sized Advisers and Exempt Reporting Advisers; Private Fund Advisers and More	Boston	TBD
June 12	Books and Records Requirements for Investment Advisers	Boston	TBD
June 12	Insider Trading, Contracts and New ADV Delivery Requirements	Boston	TBD
June 13	Understanding Fiduciary Duties and the Sweep of the Anti-Fraud Provisions of the Advisers Act	Boston	TBD
June 13	Custody and Pay-to-Play Rules Plus Solicitors and Proxy Voting Requirements for Investment Advisers	Boston	TBD
June 13	Compliance Program Rules and Strategies for Managing Your Annual Review	Boston	TBD
June 19	Anti-Money Laundering Risk Management and Monitoring	Online	1:00 p.m. - 3:00 p.m. (ET)
June 26	Safely Embracing the Power of Social Media	Online	1:00 p.m. - 3:00 p.m. (ET)

*Calendar is current as of the time of printing. All dates and times are subject to change.*

# 2012 Education Calendar

Date	Title	Location	Time
July 12	Defensible Due Diligence for Investment Advisers and Hedge Funds	Online	1:00 p.m. - 3:00 p.m. (ET)
July 17	A Workable Compliance Program for Small Advisers	Online	1:00 p.m. - 3:00 p.m. (ET)
July 24	Form ADV Part 1: Annual Updating Amendment and More	Chicago	TBD
July 24	Form ADV Part 2: Identifying and Disclosing Conflicts	Chicago	TBD
July 24	Investment Adviser Performance and Advertising	Chicago	TBD
July 25	Trading Practices, Portfolio Compliance and Related Enforcement Cases	Chicago	TBD
July 25	Trading Trinity - Best Execution, Soft Dollars and Directed Brokerage	Chicago	TBD
July 25	Two Trading Compliance Challenges: Valuation and Trade Errors	Chicago	TBD
August 2	Investment Company Compliance Program and Annual Review	Online	1:00 p.m. - 3:00 p.m. (ET)
August 9	Risk Management Topic TBD	Online	1:00 p.m. - 3:00 p.m. (ET)
August 14	A Tailored Compliance Testing Program for Investment Advisers	Online	1:00 p.m. - 3:00 p.m. (ET)
August 21	SEC Examinations for Investment Advisers	Online	1:00 p.m. - 3:00 p.m. (ET)
August 23	Investment Adviser Codes of Ethics: The Rule Plus Pay to Play, Gifts and Whistleblowers	Online	1:00 p.m. - 3:00 p.m. (ET)
August 28	Broker-Dealer Topic TBD	Online	1:00 p.m. - 3:00 p.m. (ET)
September 6	Form ADV Part 1: Annual Updating Amendment and More	Online	1:00 p.m. - 3:00 p.m. (ET)
September 11	Form ADV Part 2: Identifying and Disclosing Conflicts	Online	1:00 p.m. - 3:00 p.m. (ET)
September 13	Investment Adviser Performance and Advertising	Online	1:00 p.m. - 3:00 p.m. (ET)
September 20	Trading Practices, Portfolio Compliance and Related Enforcement Cases	Online	1:00 p.m. - 3:00 p.m. (ET)
September 27	A New Look at the Advisers Act: Registration, Exclusions and Exemptions; Mid-Sized Advisers and Exempt Reporting Advisers; Private Fund Advisers and More	Online	1:00 p.m. - 3:00 p.m. (ET)
October 2	Books and Records Requirements for Investment Advisers	Online	1:00 p.m. - 3:00 p.m. (ET)
October 10-12	<b>NRS 27<sup>th</sup> Annual Fall Compliance Conference</b>	<b>San Diego</b>	
October 10	Critical Skills for High-Performance Compliance Professionals	Online and San Diego	TBD
October 10	Professional Ethics: Ethical Decision-Making for Compliance Professionals	Online and San Diego	TBD
October 18	The Trading Trinity – Best Execution, Soft Dollars and Directed Brokerage	Online	1:00 p.m. - 3:00 p.m. (ET)
October 23	Insider Trading, Contracts and New ADV Delivery Requirements	Online	1:00 p.m. - 3:00 p.m. (ET)
October 30	Two Trading Compliance Challenges: Valuation and Trade Errors	Online	1:00 p.m. - 3:00 p.m. (ET)
November 6	RIA Year-End Compliance Check-up	Online	1:00 p.m. - 3:00 p.m. (ET)
November 8	Understanding Fiduciary Duties and the Sweep of the Anti-Fraud Provisions of the Advisers Act	Online	1:00 p.m. - 3:00 p.m. (ET)
November 13	Custody and Pay-to-Play Rules Plus Solicitors and Proxy Voting Requirements	Online	1:00 p.m. - 3:00 p.m. (ET)
November 15	Compliance Program Rules and Strategies for Managing Your Annual Reviews	Online	1:00 p.m. - 3:00 p.m. (ET)
November 29	Broker-Dealer Regulatory Update	Online	1:00 p.m. - 3:00 p.m. (ET)
December 4	IACCP Examinations Study Session	Online	1:00 p.m. - 4:00 p.m. (ET)
December 6	Investment Adviser Regulatory Update	Online	1:00 p.m. - 3:00 p.m. (ET)
December 11	Compliance Professional Summit	Online	1:00 p.m. - 3:00 p.m. (ET)

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