



NRS Education Calendar

2017 (subject to change)

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

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

Date 2017	Course	Location	Time
January 12	Cybersecurity 2017 E	Online	1:00 p.m. - 3:00 p.m. (ET)
January 19	Form ADV Part 1: Annual Updating Amendment and More C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
January 24	Form ADV Part 2: Identifying and Disclosing Conflicts C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
January 26	DOL New Fiduciary Rule - Part 1 E	Online	1:00 p.m. - 3:00 p.m. (ET)
January 31	Investment Adviser Performance and Advertising I T	Online	1:00 p.m. - 3:00 p.m. (ET)
February 2	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
February 7	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
February 9	Trading Practices, Portfolio Compliance and Related Enforcement Cases I T	Online	1:00 p.m. - 3:00 p.m. (ET)
February 14	State-Registered Investment Advisers: A Compliance Tutorial for Working with State Regulators E	Online	1:00 p.m. - 3:00 p.m. (ET)
February 23	Books and Records Requirements for Investment Advisers C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
February 28	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
March 2	IACCP Exam Study Session (optional)	Online	1:00 p.m. - 4:00 p.m. (ET)
March 7	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage I T	Online	1:00 p.m. - 3:00 p.m. (ET)
March 9	SEC Examination and Enforcement Update for Investment Advisers E	Online	1:00 p.m. - 3:00 p.m. (ET)
March 14	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
March 16	FINRA Priorities 2017 E	Online	1:00 p.m. - 3:00 p.m. (ET)
March 21	DOL New Fiduciary Rule - Part 2 E	Online	1:00 p.m. - 3:00 p.m. (ET)
April 4	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
April 6	Two Trading Compliance Challenges: Valuation and Trade Errors I T	Online	1:00 p.m. - 3:00 p.m. (ET)
April 13	Compliance Programs Rules and Strategies for Managing Your Annual Review C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
April 18	Mandates Beyond the Advisers Act: Anti-Money Laundering, ERISA and '34 Act Section 13 Reporting for Investment Advisers I E T	Online	1:00 p.m. - 3:00 p.m. (ET)
April 30 Sunday	Spring 2017 Pre-Conference Workshop: Managing Your Resources in Unsettled Times	Gaylord Opryland Nashville, TN	2:00 p.m. - 4:00 p.m. (ET)
May 1-3 Mon - Wed	NRS Spring 2017 Compliance Conference	Gaylord Opryland Nashville, TN	
May 2	Professional Ethics: Ethical Decision-Making for Compliance Professionals (approved for IACCP CE Ethics credit) C I	Online and Nashville, TN	1:30 p.m. - 3:30 p.m. (ET)
May 3	Critical Skills for High-Performance Compliance Professionals: Redefining Compliance in Uncertain Times- Testing, Compliance Training and Procedural Development I	Online and Nashville, TN	11:30 a.m. - 1:30 p.m. (ET)



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Date 2017	Course	Location	Time
May 16	Data Protection: Privacy, Identity Theft and Cybersecurity I E T	Online	1:00 p.m. - 3:00 p.m. (ET)
May 23	Investment Adviser Regulatory Update E	Online	1:00 p.m. - 3:00 p.m. (ET)
June 6-8 Tue-Thu Investment Adviser Compliance Symposium		San Francisco, CA	
June 6	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More C I T	San Francisco	8:30 a.m. - 10:30 a.m. (PT)
June 6	Books and Records Requirements for Investment Advisers C I T	San Francisco	10:45 a.m. - 12:45 p.m. (PT)
June 6	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts C I T	San Francisco	2:00 p.m. - 4:00 p.m. (PT)
June 7	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act C I T	San Francisco	8:30 a.m. - 10:30 a.m. (PT)
June 7	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements C I T	San Francisco	10:45 a.m. - 12:45 p.m. (PT)
June 7	Compliance Programs Rules and Strategies for Managing Your Annual Review C I T	San Francisco	2:00 p.m. - 4:00 p.m. (PT)
June 8	Professional Ethics: Ethical Decision-Making for Compliance Professionals C I	San Francisco	8:30 a.m. - 10:30 a.m. (PT)
June 8	Critical Skills for High-Performance Compliance Professionals I	San Francisco	10:45 a.m. - 12:45 p.m. (PT)
June 8	SEC Examination and Enforcement Update for IAs E	San Francisco	2:00 p.m. - 4:00 p.m. (PT)
June 20	A Tailored Compliance Testing Program for Investment Advisers E	Online	1:00 p.m. - 3:00 p.m. (ET)
June 22	Safely Embracing the Power of Social Media E	Online	1:00 p.m. - 3:00 p.m. (ET)
June 27	IACCP Exam Study Session (optional) I	Online	1:00 p.m. - 4:00 p.m. (ET)
July 11	Broker-Dealer - Topic TBD E	Online	1:00 p.m. - 3:00 p.m. (ET)
July 13	Defensible Due Diligence for Investment Advisers /Third Party Vendor Management E	Online	1:00 p.m. - 3:00 p.m. (ET)
July 18	A Workable Compliance Program for Small Advisers E	Online	1:00 p.m. - 3:00 p.m. (ET)
July 25-27 Tue-Thu Investment Adviser Compliance Symposium		Chicago, IL	
July 25	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More C I T	Chicago	8:30 a.m. - 10:30 a.m. (CT)
July 25	Books and Records Requirements for Investment Advisers C I T	Chicago	10:45 a.m. - 12:45 p.m. (CT)
July 25	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts C I T	Chicago	2:00 p.m. - 4:00 p.m. (CT)
July 26	Form ADV Part 1: Annual Updating Amendment and More C I T	Chicago	8:30 a.m. - 10:30 a.m. (CT)
July 26	Form ADV Part 2: Identifying and Disclosing Conflicts C I T	Chicago	10:45 a.m. - 12:45 p.m. (CT)
July 26	Investment Adviser Performance and Advertising I T	Chicago	2:00 p.m. - 4:00 p.m. (CT)
July 27	Professional Ethics: Ethical Decision-Making for Compliance Professionals C I	Chicago	8:30 a.m. - 10:30 a.m. (CT)
July 27	Critical Skills for High-Performance Compliance Professionals I	Chicago	10:45 a.m. - 12:45 p.m. (CT)
July 27	SEC Examination and Enforcement Update for IAs E	Chicago	2:00 p.m. - 4:00 p.m. (CT)
August 3	Business Continuity Planning, Disaster Recovery, Succession Planning and More E	Online	1:00 p.m. - 3:00 p.m. (ET)



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Date 2017	Course	Location	Time
August 8	Global Investment Performance Standards for Investment Advisers E	Online	1:00 p.m. - 3:00 p.m. (ET)
August 15-17 Tue-Thu	Investment Adviser Compliance Symposium	Boston, MA	
August 15	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More C I T	Boston	8:30 a.m. - 10:30 a.m. (ET)
August 15	Books and Records Requirements for Investment Advisers C I T	Boston	10:45 a.m. - 12:45 p.m. (ET)
August 15	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts C I T	Boston	2:00 p.m. - 4:00 p.m. (ET)
August 16	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act C I T	Boston	8:30 a.m. - 10:30 a.m. (ET)
August 16	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements C I T	Boston	10:45 a.m. - 12:45 p.m. (ET)
August 16	Compliance Programs Rules and Strategies for Managing Your Annual Review C I T	Boston	2:00 p.m. - 4:00 p.m. (ET)
August 17	Professional Ethics: Ethical Decision-Making for Compliance Professionals C I	Boston	8:30 a.m. - 10:30 a.m. (ET)
August 17	Two Trading Compliance Challenges: Valuation and Trade Errors I T	Boston	10:45 a.m. - 12:45 p.m. (ET)
August 17	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage I T	Boston	2:00 p.m. - 4:00 p.m. (ET)
August 22	Damage Control and Internal Investigations: What to do When Your Firm Breaks the Rules E	Online	1:00 p.m. - 3:00 p.m. (ET)
August 24	SEC Examination and Enforcement Update for Investment Advisers E	Online	1:00 p.m. - 3:00 p.m. (ET)
September 7	Form ADV Part 1: Annual Updating Amendment and More C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 12	Form ADV Part 2: Identifying and Disclosing Conflicts C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 14	Investment Adviser Performance and Advertising I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 19	Trading Practices, Portfolio Compliance and Related Enforcement Cases I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 26	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
September 28	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers and More C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
October 3	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage I T	Online	1:00 p.m. - 3:00 p.m. (ET)
October 5	Books and Records Requirements for Investment Advisers C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
October 12	Two Trading Compliance Challenges: Valuation and Trade Errors I T	Online	1:00 p.m. - 3:00 p.m. (ET)
October 17	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
October 24-26 Tue-Thu	NRS Fall 2017 Compliance Conference	Four Seasons Hotel Las Vegas, NV	
October TBD	Professional Ethics: Ethical Decision-Making for Compliance Professionals C I (approved for IACCP CE Ethics credit)	Online and Las Vegas	TBD
October TBD	Critical Skills for High-Performance Compliance Professionals I	Online and Las Vegas	TBD
November 7	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
November 9	RIA Year-End Compliance Check-up E	Online	1:00 p.m. - 3:00 p.m. (ET)



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Date 2017	Course	Location	Time
November 14	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
November 16	Compliance Programs Rules and Strategies for Managing Your Annual Review C I T	Online	1:00 p.m. - 3:00 p.m. (ET)
November 30	IACCP Exam Study Session (optional)	Online	1:00 p.m. - 4:00 p.m. (ET)
December 5	Investment Adviser Regulatory Update E	Online	1:00 p.m. - 3:00 p.m. (ET)
December 7	Broker-Dealer - Topic TBD E	Online	1:00 p.m. - 3:00 p.m. (ET)
December 12	Compliance Professional Summit E	Online	1:00 p.m. - 3:00 p.m. (ET)



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