



Center for Compliance ProfessionalsSM

2009 Course Schedule



ONE Source: *many solutions.*

The NRS Center for Compliance Professionals (CCP) is dedicated to supporting compliance professionals in their efforts to meet the challenges presented by an increasingly demanding and fluid regulatory and compliance environment and meeting the growing industry demand for advanced compliance education and nationally-recognized professional standards. A combination of online and on-site courses is offered in order to accommodate individuals' budgets, travel schedules and learning environment preferences. All courses presented below can be taken "à la carte" or as part of the requirements for Investment Adviser Certified Compliance ProfessionalSM (IACCPSM) certification.

On-Site Courses

Date	Course Title	Location	Time
March 10, 2009	Disclosure: Form ADV, Performance & Advertising	Washington, DC	8:30 AM – 5:00 PM (ET)
March 11, 2009	Ethics	Washington, DC	8:30 AM – 5:00 PM (ET)
May 12, 2009	Mastering the Investment Advisers Act of 1940: Sections 201-205	Chicago, IL	8:30 AM – 5:00 PM (CT)
May 13, 2009	Mastering the Investment Advisers Act of 1940: Sections 206-222	Chicago, IL	8:30 AM – 5:00 PM (CT)
July 21, 2009	Disclosure: Form ADV, Performance & Advertising	Chicago, IL	8:30 AM – 5:00 PM (CT)
July 22, 2009	Ethics	Chicago, IL	8:30 AM – 5:00 PM (CT)
September 15, 2009	Mastering the Investment Advisers Act of 1940: Sections 201-205	Washington, DC	8:30 AM – 5:00 PM (ET)
September 16, 2009	Mastering the Investment Advisers Act of 1940: Sections 206-222	Washington, DC	8:30 AM – 5:00 PM (ET)
November 3, 2009	Ethics	Las Vegas	8:30 AM – 5:00 PM (PT)
November 4, 2009	Disclosure: Form ADV, Performance & Advertising	Las Vegas	8:30 AM – 5:00 PM (PT)

For more information visit www.nrs-inc.com or call +1 860 435 0200.

All courses are offered through the NRS Center for Compliance Professionals and Co-sponsored by the Investment Adviser Association (IAA).

Schedule is subject to modifications and additions as required by new or amended rules.

Rev. 0309



Center for Compliance ProfessionalsSM

2009 Course Schedule



ONE Source: *many solutions.*

Online Courses

Date	Course Title	Time (all times are shown in ET)
April 21, 2009	Thinking Like an SEC Examiner	1:00 PM – 4:00 PM
May 19, 2009	IACCP Exam Study Session	1:00 PM – 4:00 PM
June 9, 2009	IACCP CE – Investment Adviser Update*	1:00 PM – 3:00 PM
June 23, 2009	Securities Regulation	1:00 PM – 4:00 PM
July 14, 2009	Trading: Best Practices & Lessons Learned	11:00 AM – 2:00 PM & 3:00 – 5:30 PM
August 11, 2009	Compliance Mandates Beyond the Advisers Act: ERISA Compliance, AML Compliance, and Privacy and Safeguarding Client Information	11:00 AM – 2:00 PM & 3:00 – 5:30 PM
August 25, 2009	Thinking Like an SEC Examiner	1:00 PM – 4:00 PM
October 20, 2009	Trading: Best Practices & Lessons Learned	11:00 AM – 2:00 PM & 3:00 – 5:30 PM
November 10, 2009	Mastering the Investment Advisers Act of 1940: Sections 201-205	11:00 AM – 2:00 PM & 3:00 – 5:30 PM
November 17, 2009	Mastering the Investment Advisers Act of 1940: Sections 206-222	11:00 AM – 2:00 PM & 3:00 – 5:30 PM
December 2, 2009	Thinking Like an SEC Examiner	1:00 PM – 4:00 PM
December 8, 2009	IACCP Exam Study Session	1:00 PM – 4:00 PM
December 10, 2009	IACCP CE – Investment Adviser Update*	11:00 AM – 1:00 PM

**This course is eligible for IACCP Continuing Education credits. For additional IACCP Continuing Education credit opportunities, please review the courses offered through the NRS Desktop Seminar series. A calendar and course descriptions are available on the Web site.*

For more information visit www.nrs-inc.com or call +1 860 435 0200.

All courses are offered through the NRS Center for Compliance Professionals and Co-sponsored by the Investment Adviser Association (IAA).