

2010 NRS Education Calendar

Program	Date	Title	Location	Time
✦	January 12	Business Continuity Planning	Online	1:00 p.m. - 3:00 p.m. (ET)
✓✓	January 26	Advisers Act: Framework of the Act—Duty to Supervise; Who Must Register; Exclusions and Exemptions; State and Federal Responsibilities	Online	1:00 p.m. - 3:00 p.m. (ET)
✓✓	January 28	Advisers Act: Books and Records—Today's Requirements	Online	1:00 p.m. - 3:00 p.m. (ET)
✓✓	February 2	Advisers Act: Brochure Rule; Insider Trading; Codes of Ethics; Contracts	Online	1:00 p.m. - 3:00 p.m. (ET)
✓✓	February 4	Advisers Act: Anti-Fraud Rules Part 1—Fiduciary Duty, Principal and Agency Cross Transactions, Pooled Investment Vehicles, Advertising Rule	Online	1:00 p.m. - 3:00 p.m. (ET)
✓✓	February 9	Advisers Act: Anti-Fraud Rules Part 2—Custody, Solicitors, Financial and Disciplinary Disclosure, Proxy Voting	Online	1:00 p.m. - 3:00 p.m. (ET)
✓✓	February 11	Advisers Act: Anti-Fraud Rules Part 3—Compliance Programs Rules and Mastering the Annual Review	Online	1:00 p.m. - 3:00 p.m. (ET)
✓✓	February 18	Disclosure: Form ADV Part I and Regulatory Reporting	Online	1:00 p.m. - 3:00 p.m. (ET)
✓✓	February 23	Disclosure: Form ADV Part II and Identifying and Disclosing Conflicts of Interest	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	March 2	Disclosure: Investment Adviser Performance and Advertising	Online	1:00 p.m. - 3:00 p.m. (ET)
✓✓	March 9	Ethics: Investment Adviser Codes of Ethics—Requirements and Best Practices	Online	1:00 p.m. - 3:00 p.m. (ET)
✓✓	March 11	Ethics: Ethical Decision-Making and Lessons Learned from SEC Enforcement Cases	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	March 16	Preparing for an SEC Examination: Identifying Priorities for 2010	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	March 18	Safeguarding Information—Regulation S-P and Other Privacy Mandates	Online	1:00 p.m. - 3:00 p.m. (ET)
April 19-22 NRS 25th Annual Spring Compliance Conference			Fort Lauderdale	
✓	April 19	Ethics: Mastering Critical Skills for High Performance Compliance Professionals	Fort Lauderdale and Online	4:30 p.m. - 6:30 p.m. (ET)
✓✓	April 19	Advisers Act: Framework of the Act—Duty to Supervise; Who Must Register; Exclusions and Exemptions; State and Federal Responsibilities	Fort Lauderdale	8:30 a.m. - 4:00 p.m. (ET)
✓✓		Advisers Act: Books and Records—Today's Requirements		
✓✓		Advisers Act: Brochure Rule, Prevention of Insider Trading, Codes of Ethics Rule, Advisory Contracts		
✓✓	April 20	Advisers Act: Anti-Fraud Rules Part 1—Fiduciary Duty, Principal and Agency Cross Transactions, Pooled Investment Vehicles, Advertising Rule	Fort Lauderdale	8:30 a.m. - 5:00 p.m. (ET)
✓✓		Advisers Act: Anti-Fraud Rules Part 2—Custody, Solicitors, Financial and Disciplinary Disclosure, Proxy Voting		
✓✓		Advisers Act: Anti-Fraud Rules Part 3—Compliance Programs Rules and Mastering the Annual Review		
	April 22	Professional Ethics (CE)	Fort Lauderdale and Online	10:00 a.m. - 12:00 p.m. (ET)
✦	May 11	Trading— Practices, Portfolio Compliance and Valuation	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	May 18	Trading—Best Execution, Soft Dollars and Directed Brokerage	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	May 20	Anti-Money Laundering Risk Management	Online	1:00 p.m. - 3:00 p.m. (ET)

NRS Education Key

-  Investment Adviser Core Compliance Training Program
10 Required Courses
-  Investment Adviser Certified Compliance Professional (IACCPSM) Training Program
12 Required Courses
-  Investment Adviser Certified Compliance Professional (IACCPSM) Training Program
8 Electives
-  Testable on IACCP Certifying Exam
-  Online Desktop Seminar
Course can be taken as a stand-alone session



2010 NRS Education Schedule

Program	Date	Title	Location	Time
	May 25	IACCP Exam Study Session	Online	1:00 p.m. - 4:00 p.m. (ET)
✓	June 8	Disclosure: Form ADV Part I and Regulatory Reporting	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	June 10	Disclosure: Form ADV Part II and Identifying and Disclosing Conflicts of Interest	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	June 15	Investment Adviser Regulatory Update	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	June 17	Disclosure: Investment Adviser Performance and Advertising	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	July 20	Real World Compliance for the Small Adviser	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	July 22	Preparing for an SEC Examination: Identifying Priorities for 2010	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	August 3	Ethics: Investment Adviser Codes of Ethics—Requirements and Best Practices	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	August 5	Ethics: Ethical Decision-Making and Lessons Learned from SEC Enforcement Cases	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	September 14	Developing a Tailored Compliance Testing Program: Forensic Focus	Online	1:00 p.m. - 3:00 p.m. (ET)
October 4-7 NRS 25th Annual Fall Compliance Conference			Scottsdale, AZ	
✓	October 4	Ethics: Investment Adviser Codes of Ethics—Requirements and Best Practices	Scottsdale	8:30 a.m. - 2:00 p.m. (PT)
✓		Ethics: Ethical Decision-Making and Lessons Learned from SEC Enforcement Cases		
✓		Ethics: Mastering Critical Skills for High Performance Compliance Professionals	Scottsdale and Online	2:30 p.m. - 4:30 p.m. (PT)
✓	October 5	Disclosure: Form ADV Part I and Regulatory Reporting	Scottsdale	8:30 a.m. - 5:00 p.m. (PT)
✓		Disclosure: Form ADV Part II and Identifying and Disclosing Conflicts of Interest		
✓		Disclosure: Investment Adviser Performance and Advertising		
	October 7	Professional Ethics (CE)	Scottsdale and Online	10:00 a.m. - 12:00 p.m. (PT)
✦	October 26	RIA Year-End Compliance Check-Up	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	November 2	Advisers Act: Framework of the Act—Duty to Supervise; Who Must Register; Exclusions and Exemptions; State and Federal Responsibilities	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	November 4	Advisers Act: Books and Records—Today's Requirements	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	November 9	Advisers Act: Brochure Rule; Insider Trading; Codes of Ethics; Contracts	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	November 16	Advisers Act: Anti-Fraud Rules Part 1—Fiduciary Duty, Principal and Agency Cross Transactions, Pooled Investment Vehicles, Advertising Rule	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	November 18	Advisers Act: Anti-Fraud Rules Part 2—Custody, Solicitors, Financial and Disciplinary Disclosure, Proxy Voting	Online	1:00 p.m. - 3:00 p.m. (ET)
✓	November 30	Advisers Act: Anti-Fraud Rules Part 3—Compliance Programs Rules and Mastering the Annual Review	Online	1:00 p.m. - 3:00 p.m. (ET)
	December 2	IACCP Exam Study Session	Online	1:00 p.m. - 4:00 p.m. (ET)
✦	December 7	Investment Adviser Regulatory Update	Online	1:00 p.m. - 3:00 p.m. (ET)
✦	December 14	The Architecture of a Sustainable Compliance Program	Online	1:00 p.m. - 3:00 p.m. (ET)

Professional Development Course Key

-  Investment Adviser Core Compliance Training Program
10 Required Courses
-  Investment Adviser Certified Compliance Professional (IACCPSM) Training Program
12 Required Courses
-  Investment Adviser Certified Compliance Professional (IACCPSM) Training Program
8 Electives
-  Testable on IACCP Certifying Exam
-  Online Desktop Seminar
Course can be taken as a stand-alone session

To learn more call
1.860.435.0200