

## 2023 CALENDAR OF EVENTS

Q4 UPDATES

REV: JUL. 12, 2023

Register through the IACCP® Resource Center [portal](#).

Date & Time (ET)	Courses	Type	Required	Location
Jan. 10 1-3 p.m.	Introduction to the Advisers Act: Framework, Registration, Exclusions and Exemptions; Exempt Reporting Advisers; Private Fund Advisers & More	AA01	C I T	Online
Jan. 12 1-3 p.m.	Mandates Beyond the Advisers Act: Anti-Money Laundering, ERISA and '34 Act Section 13 Reporting for Investment Advisers	MAN01	I T	Online
Jan. 19 1-3 p.m.	Books and Records Requirements for Investment Advisers	AA02	C I T	Online
Jan. 24 1-4 p.m.	IACCP® Exam Study Session		I	Online
Jan. 26 1-3 p.m.	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft and Cybersecurity	MAN02	I T	Online
Feb. 7 1-3 p.m.	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	C I T	Online
Feb. 9 1-3 p.m.	Trading Practices, Portfolio Compliance and Related Enforcement Cases	TRA01	I T	Online
Feb. 14 1-3 p.m.	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	C I T	Online
Feb. 16 1-3 p.m.	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage	TRA02	I T	Online
Feb. 23 1-3 p.m.	Investment Adviser Performance and Advertising (Old Rule/Testable and New Rule)	DIS03	I T	Online
Mar. 2 1-4 p.m.	IACCP® Exam Study Session		I	Online
Mar. 9 1-3 p.m.	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors and Proxy Voting Requirements	AA05	C I T	Online
Mar. 14 1-3 p.m.	Two Trading Compliance Challenges: Valuation and Trade Errors	TRA03	I T	Online
Mar. 21 1-3 p.m.	Are You Prepared: Business Continuity, Disaster Recovery, Succession Planning and More	ELC05	I E	Online
<b>Mar. 31</b>	<b>Last day to take the current IACCP® Exam until Jun. 1, 2023</b>			

**C** IA Core **I** IACCP® **E** Elective **T** Testable Content

Legend for enrollees in the NRS IACCP® or IA Core Compliance programs

Date & Time (ET)	Courses	Type	Required	Location
<b>Apr. 11-14</b>	<b>Virtual Investment Adviser Core Compliance Program Symposium</b>			
Apr. 11 10 a.m.- 12 p.m.	Introduction to the Advisers Act: Framework, Registration, Exclusions and More	AA01	C I T	Online
Apr. 11 1-3 p.m.	Books and Records Requirements for Investment Advisers	AA02	C I T	Online
Apr. 12 10 a.m.-12 p.m.	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	C I T	Online
Apr. 12 1-3 p.m.	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	C I T	Online
Apr. 12 3:15-5:15 p.m.	Advisers Act Anti-Fraud Rules: Custody, Political Contributions and Proxy Voting Requirements	AA05	C I T	Online
Apr. 13 10 a.m.-12 p.m.	Form ADV Part 1: Annual Updating Amendment and More	DIS01	C I T	Online
Apr. 13 1-3 p.m.	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02	C I T	Online
Apr. 13 3:15-5:15 p.m.	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers <i>*This course counts toward the IACCP® General CE requirement.</i>	ETH01	C I T	Online
Apr. 14 10 a.m.-12 p.m.	Professional Ethics: Ethical Decision-Making for Compliance Professionals <i>*This course counts toward the IACCP® Ethics CE requirement.</i>	ETH02	C I T	Online
Apr. 14 1-3 p.m.	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06	C I T	Online
<b>May 16-19</b>	<b>Virtual IACCP® Program Symposium</b>			
May 16 10 a.m.-12 p.m.	Mandates Beyond the Advisers Act: AML, ERISA, & '34 Act Reporting	MAN01	I T	Online
May 16 1-3 p.m.	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft and Cybersecurity	MAN02	I T	Online
May 17 10 a.m.-12 p.m.	Trading Practices, Portfolio Compliance and Related Enforcement Cases	TRA01	I T	Online
May 17 1-3 p.m.	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage	TRA02	I T	Online
May 17 3:15-5:15 p.m.	SEC Examination and Enforcement Updates for Investment Advisers	ELC	I E	Online
May 18 10 a.m.-12 p.m.	Two Trading Compliance Challenges: Valuation and Trade Errors	TRA03	I T	Online
May 18 1-3 p.m.	Investment Adviser Marketing Rule	DIS03	I T	Online

Date & Time (ET)	Courses	Type	Required	Location
May 18 3:15-5:15 p.m.	CCO Liability	ELC	I E	Online
May 19 10 a.m.-12 p.m.	Critical Skills for High-Performance Compliance Professionals	SKL01	I	Online
May 19 1-3 p.m.	Private Fund Compliance Considerations	ELC	I E	Online
<b>June 1</b>	<b>First day to take the updated IACCP® Exam</b>			
June 1 1-3 p.m.	Form ADV Part 1: Annual Updating Amendment and More	DIS01	C I T	Online
June 6 1-4 p.m.	IACCP® Exam Study Session		I	Online
June 8 1-3 p.m.	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02	C I T	Online
June 13 1-3 p.m.	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers <i>*This course counts toward the IACCP® General CE requirement.</i>	ETH01	C I T	Online
June 20 1-3 p.m.	Professional Ethics: Ethical Decision-Making for Compliance Professionals <i>*This course counts toward the IACCP® Ethics CE requirement.</i>	ETH02	C I T	Online
<b>July 11-14</b>	<b>Investment Adviser Core Compliance Program Symposium The University of Chicago Gleacher Center (with the IACCP® Program Symposium)</b>			
Jul. 11 12:45-2:45 p.m.	Introduction to the Advisers Act: Framework, Registration, Exclusions and More	AA01	C I T	In-person
Jul. 11 3-5 p.m.	Books and Records Requirements for Investment Advisers	AA02	C I T	In-person
Jul. 12 8:15-10:15 a.m.	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	C I T	In-person
Jul. 12 10:30 a.m.-12:30 p.m.	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	C I T	In-person
Jul. 12 2-4 p.m.	Advisers Act Anti-Fraud Rules: Custody, Political Contributions and Proxy Voting Requirements	AA05	C I T	In-person
Jul. 13 8:15-10:15 a.m.	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers <i>*This course counts toward the IACCP® General CE requirement.</i>	ETH01	C I T	In-person
Jul. 13 10:30 a.m. – 12:30 p.m.	Professional Ethics: Ethical Decision-Making for Compliance Professionals <i>*This course counts toward the IACCP® Ethics CE requirement.</i>	ETH02	C I T	In-person

Date & Time (ET)	Courses	Type	Required	Location
Jul. 13 2-4 p.m.	Form ADV Part 1: Annual Updating Amendment and More	DIS01	C I T	In-person
Jul. 14 8:15-10:15 a.m.	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02	C I T	In-person
Jul. 14 10:30 a.m. – 12:30 p.m.	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06	C I T	In-person
<b>July 11-14 (Central Time)</b>	<b>IACCP® Program Symposium The University of Chicago Gleacher Center (with the IA Core Program Symposium)</b>			
Jul. 11 12:45-2:45 p.m.	Mandates Beyond the Advisers Act: AML, ERISA, & '34 Act Reporting	MAN01	I T	In-person
Jul. 11 3-5 p.m.	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft and Cybersecurity	MAN02	I T	In-person
Jul. 12 8:15-10:15 a.m.	Trading Practices, Portfolio Compliance and Related Enforcement Cases	TRA01	I T	In-person
Jul. 12 10:30 a.m. – 12:30 p.m.	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage	TRA02	I T	In-person
Jul. 12 2-4 p.m.	Two Trading Compliance Challenges: Valuation and Trade Errors	TRA03	I T	In-person
Jul. 13 8:15-10:15 a.m.	Investment Adviser Marketing Rule	DIS03	I T	In-person
Jul. 13 10:30 a.m. – 12:30 p.m.	SEC Examination and Enforcement Updates for Investment Advisers	ELC	I E	In-person
Jul. 13 2-4 p.m.	Game Plan for the New CCO/Interpersonal Skills	ELC	I E	In-person
Jul. 14 8:15-10:15 a.m.	Critical Skills for High-Performance Compliance Professionals	SKL01	I	In-person
Jul. 14 10:30 a.m. – 12:30 p.m.	CCO Liability	ELC	I E	In-person
Aug. 1 1-3 p.m.	Mandates Beyond the Advisers Act: Anti-Money Laundering, ERISA and '34 Act Section 13 Reporting for Investment Advisers	MAN01	I T	Online
Aug. 3 1-3 p.m.	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06	C I T	Online
Aug. 8 1-3 p.m.	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft and Cybersecurity	MAN02	I T	Online
Aug. 10 1-3 p.m.	Introduction to the Advisers Act: Framework, Registration, Exclusions and More	AA01	C I T	Online
Aug. 15 1-3 p.m.	Investment Adviser Marketing Rule	DIS03	I T	Online

Date & Time (ET)	Courses	Type	Required	Location
Sept. 7 1- 4 p.m.	IACCP® Exam Study Session		I	Online
Sept. 12 1-3 p.m.	Books and Records Requirements for Investment Advisers	AA02	C I T	Online
Sept. 14 1-3 p.m.	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	C I T	Online
Sept. 19 1-3 p.m.	Form ADV Part 1: Annual Updating Amendment and More	DIS01	C I T	Online
Sept. 21 1-3 p.m.	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers <b>*This course counts toward the IACCP® General CE requirement.</b>	ETH01	C I T	Online
Oct. 3 1-3 p.m.	Trading Practices, Portfolio Compliance and Related Enforcement Cases <b>**This was scheduled for Nov. 14.</b>	TRA01	I T	Online
Oct. 10 1-3 p.m.	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage <b>**This was scheduled for Nov. 16.</b>	TRA02	I T	Online
Oct. 12 1-3 p.m.	Private Fund Compliance Considerations <b>**This was scheduled as an IACCP Elective (TBD) for Oct. 24.</b>	ELC	I	Online
<b>Nov. 6-9</b>	<b>ComplyConnect Conference and Expo at the Hyatt Regency Huntington Beach Resort, CA</b>			
Nov. 8 4-6 p.m.(ET) / 1-3 p.m. (PT)	Professional Ethics: Ethical Decision-Making for Compliance Professionals <b>*This course counts toward the IACCP® Ethics CE requirement.</b> <b>**This was scheduled for Oct. 25.</b>	ETH02	C I T	In-person & Webinar
Nov. 9 2:15-4:30 p.m. (ET) / 11:15 a.m. – 1:30 p.m. (PT)	Critical Skills for High-Performance Compliance Professionals <b>**This was scheduled for Oct. 26.</b>	SKL01	I	In-person & Webinar
Nov. 21 1-3 p.m.	RIA Year-End Compliance Check-up	ELC	I	Online
Nov. 30 1- 3 p.m.	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	C I T	Online
Dec. 5 1-3 p.m.	Advisers Act Anti-Fraud Rules: Custody, Political Contributions and Proxy Voting Requirements	AA05	C I T	Online
Dec. 7 1-3 p.m.	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06	C I T	Online
Dec. 12 1-3 p.m.	Two Trading Compliance Challenges: Valuation and Trade Errors	TRA03	C I T	Online
Dec. 14 1-3 p.m.	GIPS for Investment Advisers	ELC	I	Online
Dec. 19 1-3 p.m.	Compliance Professional Summit	ELC	I	Online