

2024 IACCP® Calendar of Events

COMPLY™



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

C IA Core **I** IACCP

E Elective **T** Testable Content

*All IACCP courses qualify for 2 IACCP CE credits.

DATE / TIME (ET)	COURSES	CODE	REQUIRED	LOCATION
Jan. 9 1 - 3 p.m.	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02	C I T	Online
Jan. 11 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. 18 1 - 3 p.m.	Introduction to the Advisers Act: Framework, Registration, Exclusions, and More	AA01	C I T	Online
Jan. 23 1 - 4 p.m.	IACCP Exam Study Session		Optional	Online
Jan. 30 1 - 3 p.m.	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft, and Cybersecurity	MAN02	I T	Online
Feb. 6 1 - 3 p.m.	Books and Records Requirements for Investment Advisers	AA02	C I T	Online
Feb. 8 1 - 3 p.m.	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	C I T	Online
Feb. 13 1 - 3 p.m.	Trading Practices, Portfolio Compliance, and Related Enforcement Cases	TRA01	I T	Online
Feb. 21 1 - 2 p.m.	Modern COMPLIance Women Roundtable <i>*This free event does not count toward the IACCP program.</i>		Optional	Online
Feb. 22 1 - 3 p.m.	Trading Compliance: Best Execution, Soft Dollars, and Directed Brokerage	TRA02	I T	Online
Feb. 27 1 - 3 p.m.	Professional Ethics: Ethical Decision-Making for Compliance Professionals <i>*This course qualifies for the IACCP® Ethics CE requirement.</i>	ETH02	C I T	Online
Feb. 28 2 - 3 p.m.	IACCP Designee Roundtable <i>*This event is for IACCP Designees in good standing.</i>		Optional	Online
Mar. 5 1 - 3 p.m.	State Registered Investment Advisers: A Compliance Tutorial for Working with State Regulators	ELC	I E	Online
Mar. 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
Mar. 14 1 - 3 p.m.	Investment Adviser Marketing Rule	DIS03	I T	Online

DATE / TIME (ET)	COURSES	CODE	REQUIRED	LOCATION
Mar. 19 1 - 3 p.m.	Two Trading Compliance Challenges: Valuation and Trade Errors	TRA03	I T	Online
Mar. 27 1 - 2 p.m.	Modern COMPLyance Women Roundtable <i>*This free event does not count toward the IACCP program.</i>		Optional	Online
Apr. 9 1 - 4 p.m.	IACCP Exam Study Session		Optional	Online
Apr. 16-19	Virtual Investment Adviser Core Compliance (IA Core) Program Symposium			
Apr. 16 10 a.m.- 12 p.m.	Introduction to the Advisers Act: Framework, Registration, Exclusions, and More	AA01	C I T	Online
Apr. 16 1-3 p.m.	Books and Records Requirements for Investment Advisers	AA02	C I T	Online
Apr. 17 10 a.m. - 12 p.m.	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	C I T	Online
Apr. 17 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. 17 3:15 - 5:15 p.m.	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, and Proxy Voting Requirements	AA05	C I T	Online
Apr. 18 10 a.m. - 12 p.m.	Form ADV Part 1: Annual Updating Amendment and More	DIS01	C I T	Online
Apr. 18 1 - 3 p.m.	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02	C I T	Online
Apr. 18 3:15 - 5:15 p.m.	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers <i>*This course qualifies for the IACCP® General CE requirement.</i>	ETH01	C I T	Online
Apr. 19 10 a.m. - 12 p.m.	Professional Ethics: Ethical Decision-Making for Compliance Professionals <i>*This course qualifies for the IACCP® Ethics CE requirement.</i>	ETH02	C I T	Online
Apr. 19 1 - 3 p.m.	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06	C I T	Online
Apr. 24 2 - 3 p.m.	IACCP Designee Roundtable <i>*This event is for IACCP Designees in good standing.</i>		Optional	Online
May 14-17	Virtual IACCP® Program Symposium			
May 14 10 a.m. - 12 p.m.	Mandates Beyond the Advisers Act: AML, ERISA, & '34 Act Reporting	MAN01	I T	Online
May 14 1 - 3 p.m.	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft, and Cybersecurity	MAN02	I T	Online
May 15 10 a.m. - 12 p.m.	Trading Practices, Portfolio Compliance, and Related Enforcement Cases	TRA01	I T	Online
May 15 1 - 3 p.m.	Trading Compliance: Best Execution, Soft Dollars, and Directed Brokerage	TRA02	I T	Online

DATE / TIME (ET)	COURSES	CODE	REQUIRED	LOCATION
May 15 3:15 – 5:15 p.m.	Cryptocurrency	ELC	I E	Online
May 16 10 a.m. – 12 p.m.	Two Trading Compliance Challenges: Valuation and Trade Errors	TRA03	I T	Online
May 16 1 – 3 p.m.	Investment Adviser Marketing Rule	DIS03	I T	Online
May 16 3:15 – 5:15 p.m.	Are You Prepared: Business Continuity, Disaster Recovery, Succession Planning, and More	ELC	I E	Online
May 17 10 a.m. – 12 p.m.	Critical Skills for High-Performance Compliance Professionals	SKL01	I	Online
May 17 1 – 3 p.m.	Generative AI: Embracing Innovation while Mitigating Risk	ELC	I E	Online
May 29 1 – 2 p.m.	Modern COMPLyance Women Roundtable <i>*This free event does not count toward the IACCP program.</i>		Optional	Online
Jun. 4 1 – 3 p.m.	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, Solicitors, and Proxy Voting Requirements	AA05	C I T	Online
Jun. 6 1 – 4 p.m.	Form ADV Part I: Annual Updating Amendment and More	DIS01	C I T	Online
Jun. 11 1 – 3 p.m.	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers <i>*This course qualifies for the IACCP® General CE requirement.</i>	ETH01	C I T	Online
Jun. 18 1 – 3 p.m.	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06	C I T	Online
Jun. 26 2 – 3 p.m.	IACCP Designee Roundtable <i>*This event is for IACCP Designees in good standing.</i>		Optional	Online
Jun. 27 1 – 3 p.m.	Cybersecurity Breaches: Information Security Planning, Incident Response, and Breach Resolution	ELC	I E	Online
Jul. 16-19	IACCP® Program Symposium at the University of Chicago Gleacher Center			
Jul. 16 12:45 – 2:45 p.m. (CT)	Mandates Beyond the Advisers Act: AML, ERISA, & '34 Act Reporting	MAN01	I T	In-Person
Jul. 16 3 – 5 p.m. (CT)	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft, and Cybersecurity	MAN02	I T	In-Person
Jul. 17 8:15 – 10:15 a.m. (CT)	Trading Practices, Portfolio Compliance, and Related Enforcement Cases	TRA01	I T	In-Person
Jul. 17 10:30 a.m. – 12:30 p.m. (CT)	Trading Compliance: Best Execution, Soft Dollars, and Directed Brokerage	TRA02	I T	In-Person
Jul. 17 2 – 4 p.m. (CT)	SEC Examination Updates / Third-Party Due Diligence	ELC	I E	In-Person

DATE / TIME (ET)	COURSES	CODE	REQUIRED	LOCATION
Jul. 18 8:15 – 10:15 a.m. (CT)	Two Trading Compliance Challenges: Valuation and Trade Errors	TRA03	I T	In-Person
Jul. 18 10:30 a.m. – 12:30 p.m. (CT)	Investment Adviser Marketing Rule	DIS03	I T	In-Person
Jul. 18 2 – 4 p.m. (CT)	Understanding Custody: Practical Examples for Safeguarding Client	ELC	I E	In-Person
Jul. 19 8:15 – 10:15 a.m. (CT)	Critical Skills for High-Performance Compliance Professionals	SKL01	I	In-Person
Jul. 19 10:30 a.m. – 12:30 p.m. (CT)	Professional Ethics: Ethical Decision-Making for Compliance Professionals <i>*This course qualifies for the IACCP® Ethics CE requirement.</i>	ETH02	C I E	In-Person
Aug. 6–9	Virtual IA Core Program Symposium			
Aug. 6 10 a.m. – 12 p.m.	Introduction to the Advisers Act: Framework, Registration, Exclusions, and More	AA01	C I T	Online
Aug. 6 1 – 3 p.m.	Books and Records Requirements for Investment Advisers	AA02	C I T	Online
Aug. 7 10 a.m. – 12 p.m.	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	C I T	Online
Aug. 7 1 – 3 p.m.	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	C I T	Online
Aug. 7 3:15 – 5:15 p.m.	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, and Proxy Voting Requirements	AA05	C I T	Online
Aug. 8 10 a.m. – 12 p.m.	Form ADV Part 1: Annual Updating Amendment and More	DIS01	C I T	Online
Aug. 8 1 – 3 p.m.	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02	C I T	Online
Aug 8 3:15 – 5:15 p.m.	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers <i>*This course qualifies for the IACCP® General CE requirement.</i>	ETH01	C I T	Online
Aug. 9 10 a.m. – 12 p.m.	Professional Ethics: Ethical Decision-Making for Compliance Professionals <i>*This course qualifies for the IACCP® Ethics CE requirement.</i>	ETH02	C I T	Online
Aug. 9 1 – 3 p.m.	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06	C I T	Online
Aug. 20 1 – 4 p.m.	IACCP Exam Study Session		Optional	Online
Aug. 28 2 – 3 p.m.	IACCP Designee Roundtable <i>*This event is for IACCP Designees in good standing.</i>		Optional	Online

DATE / TIME (ET)	COURSES	CODE	REQUIRED	LOCATION
Sept. 5 1 – 3 p.m.	Mandates Beyond the Advisers Act: AML, ERISA, & '34 Act Reporting	MAN01	I T	Online
Sept. 10 1 – 3 p.m.	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft, and Cybersecurity	MAN02	I T	Online
Sept. 12 1 – 3 p.m.	Understanding Data Privacy and AI for Compliance	ELC	I T	Online
Sept. 17 1 – 3 p.m.	Trading Practices, Portfolio Compliance, and Related Enforcement Cases	TRA01	I T	Online
Sept. 19 1 – 3 p.m.	Investment Adviser Marketing Rule	DIS03	I T	Online
Sept. 24 1 – 3 p.m.	Trading Compliance: Best Execution, Soft Dollars, and Directed Brokerage	TRA02	I T	Online
Sept. 26 1 – 3 p.m.	Private Fund Reforms and Other Current Considerations	ELC	I E	Online
Oct. 21-24	COMPLYConnect Conference and Expo at the Omni Barton Creek Hotel in Austin, TX			
Oct. 23 2 – 4 p.m. (1 – 3 p.m. CT)	Professional Ethics: Ethical Decision-Making for Compliance Professionals (Live & Webinar) <i>*This course qualifies for the IACCP® Ethics CE requirement.</i>	ETH02	C I T	In-Person and Online
Oct. 24 12:15 – 12:30 p.m. (11:15 a.m. – 1:30 p.m. CT)	Critical Skills for High-Performance Compliance Professionals (Live & Webinar)	SKL01	I	In-Person and Online
Oct. 30 2 – 3 p.m.	IACCP Designee Roundtable <i>*This event is for IACCP Designees in good standing.</i>		Optional	Online
Nov. 5 1 – 3 p.m.	Introduction to the Advisers Act: Framework, Registration, Exclusions, and More	AA01	C I T	Online
Nov. 7 1 – 3 p.m.	IACCP Exam Study Session		Optional	Online
Nov. 12 1 – 3 p.m.	Books and Records Requirements for Investment Advisers	AA02	C I T	Online
Nov. 14 1 – 3 p.m.	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	C I T	Online
Nov. 19 1 – 3 p.m.	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	C I T	Online
Nov. 21 1 – 3 p.m.	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, and Proxy Voting Requirements	AA05	C I T	Online
Nov. 26 1 – 3 p.m.	RIA Year-End Compliance Check-up	ELC	I E	Online
Dec. 3 1 – 3 p.m.	Two Trading Compliance Challenges: Valuation and Trade Errors	TRA03	I T	Online

DATE / TIME (ET)	COURSES	CODE	REQUIRED	LOCATION
Dec. 5 1 – 3 p.m.	Form ADV Part 1: Annual Updating Amendment and More	DIS01	C I T	Online
Dec. 10 1 – 3 p.m.	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02	C I T	Online
Dec. 12 1 – 3 p.m.	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers <i>*This course qualifies for the IACCP® General CE requirement.</i>	ETH01	C I T	Online
Dec. 17 1 – 3 p.m.	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06	C I T	Online
Dec. 18 2 – 3 p.m.	IACCP Designee Roundtable <i>*This event is for IACCP Designees in good standing.</i>		Optional	Online
Dec. 19 1 – 3 p.m.	Compliance Professional Summit	ELC	I E	Online

Revised: Apr. 19, 2024