



Investment Adviser Online Training Courses

Course Catalog



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Advanced Look at Insider Trading

Course No. 11196

This course is intended for registered representatives, investment advisers, institutional representatives, traders, analysts, and supervisors who have a well-rounded background in the issuance, distribution, and risk-analysis of conventional securities. Those taking this course should already have an intermediate understanding of the securities markets and economic analysis. Insider trading is a term that is usually associated with illegal conduct. In reality, the term includes both legal and illegal conduct. The legal version is when corporate insiders, officers, directors, and employees buy and sell stock in their own companies. When corporate insiders trade in their own securities, they must report their trades to the SEC. Illegal insider trading refers generally to buying or selling a security in breach of a fiduciary duty or other relationship of trust and confidence while in possession of material, nonpublic information about the security. This course covers the definition of insider trading, why insider trading is important, and insider trading rules. Individuals taking this course will also learn how to identify key terms related to insider trading, rules and regulations governing insider trading, and consequences of insider trading.

Estimated Completion Time: 20 minutes

Alternative Investment Compliance Issues for RIAs – **NEW**

Course No. 17830

This course is intended for investment adviser representatives, traders and supervisors who have a well-rounded background in the issuance, distribution, and risk analysis of conventional securities. Those taking this course should have an intermediate understanding of the securities markets and the wide variety of securities products that are offered to investors. This course will cover the more common alternative investment options such as futures, options, ETFs, hedge funds, REITs, and gold.

Estimated Completion Time: 30 minutes

AML Regulations and Red Flag Requirements for U.S. Investment Advisers

Course No. 11043

Anti-money laundering (AML) is a phrase used to describe the body of regulations to which financial institutions must adhere to detect and report money laundering activities. Although many AML regulations do not directly apply to investment advisers who are not also registered as a covered financial institution (broker-dealer, bank, credit union, etc.), many advisers find themselves at the front lines of AML responsibilities because of the relationships they have with their custodians, who are often required to comply with the entire body of AML regulations. This course will cover AML regulations and Red Flags of which investment advisers should be aware in their practice. Investment advisers are the custodian's eyes and ears on the ground in combating the nearly 1.5 trillion dollars that is estimated to be laundered annually.

Estimated Completion Time: 30 minutes

CCO Intro Course – **NEW**

Course No. 17832

This course is designed to help CCOs and those who support them understand the challenges faced by CCOs in an ever-evolving regulatory environment. Regulatory challenges go hand-in-hand with accepting the CCO position. CCOs must be extremely knowledgeable about their firm and its business model. This course covers a myriad of investment adviser rules and regulations and provides practical advice for complying with Advisers Act requirements.

Estimated Completion Time: 60 minutes

Conflicts of Interest and Investment Advisers**Course No. 11273**

This course discusses the most likely ways that conflicts arise for investment advisers and how to effectively manage and disclose them. Additionally, the course focuses on adhering to your firm's Code of Ethics and identifying any conflicts of interest pursuant to Rule 206(4)-7.

Estimated Completion Time: 20 minutes

Custody & Safeguarding of Client Assets**Course No. 17828**

The Custody Rule affects investment advisers who have custody – and many do not realize that they have custody until they understand what services can impute custody on a firm, such as deducting advisory fees from client accounts, acting as trustee, and other common services provided by advisers. The Rule requires advisers who have custody of client funds or securities to maintain them with banks, broker-dealers, or other custodians. Some advisers must also obtain an annual surprise examination of client assets over which they are deemed to have custody. This course reviews the Custody Rule and a related SEC no-action letter, covering the various scenarios that can trigger custody and how to comply with the rule's requirements.

Estimated Completion Time: 30 minutes

Customer Data Protection**Course No. 11193**

This course is intended for retail representatives, institutional representatives, investment advisers, supervisors or any financial service industry professional interested in learning how industry rules apply to the use and supervision of customer data. Under SEC Rule 30 of Regulation S-P, member firms and other financial institutions are required to adopt written policies and procedures that address safeguards for the protection and disposal of customer records and information. Financial professionals need to know and follow firm policies and procedures for customer data protection. Failing to protect nonpublic personal information (NPI) subjects' customers to identify theft. This course discusses ways in which client data can be compromised should you fail to recognize and implement security measures in your practice. Making certain to implement firm requirements with an ability to recognize and avert potential vulnerabilities will help ensure proprietary and customer data is not compromised.

Estimated Completion Time: 30 minutes

Financial Exploitation of Specified Adults & Customer Account Information**Course No. 11285**

This course focuses on industry guidelines designed to avoid and mitigate financial exploitation of seniors and other vulnerable adults.

Estimated Completion Time: 20 minutes

FINRA and SEC Examination Priorities for 2021**Course No. 16006**

As a way to increase transparency between regulators and the registered firms and advisers they oversee, the SEC and FINRA release their annual examination priorities letters at the beginning of each year. These letters serve as a great resource for registered firms and members as they work to meet their annual compliance obligations. This course will provide a general overview of what was included on both the SEC and FINRA examination priorities letters while highlighting the specific areas which will receive the most attention in 2021, including Regulation Best Interest and Form CRS, cybersecurity, and anti-money laundering.

Estimated Completion Time: 20 minutes

Foreign Corrupt Practices Act**Course No. 11045**

This course is intended for advisers, their supervisors, compliance personnel and sales support staff that work with international securities or the trading of international securities. Congress enacted the Foreign Corrupt Practices Act (FCPA) to bring a halt to the bribery of foreign officials and to restore public confidence in the integrity of the American business system. This course will review the background that led to the introduction of the FCPA.

Estimated Completion Time: 25 minutes

Identity Theft Prevention and the Financial Services Industry**Course No. 11216**

This course is intended for anyone working in the financial services industry that may have contact with sensitive customer information. This course is beneficial for all firms, as training is required to comply with the Federal Trade Commission FACT Act Identity Theft Rules. This course examines the primary rules that protect customer information and the role that employees play in identifying identity theft red flags. Finally, the course uncovers the various methods used by hackers to steal customer identities.

Estimated Completion Time: 30 minutes

Information Security: Protecting You, Your Clients, and Your Firm**Course No. 10538**

Information Security plays an important role in our lives, both at home and at work. Its primary goal is preserving the confidentiality, integrity and availability of information and information systems. This course will cover the key principles to ensure employees do everything possible to maintain the integrity of confidential information at the firm.

Estimated Completion Time: 10 minutes

Insider Trading**Course No. 11276**

This course is intended for registered representatives, investment advisers, supervisors, sales associates, compliance administrators, new account managers and any financial service professional who is exposed to customers who may be corporate insiders or individuals who may possess material nonpublic information about their companies. This course reviews the background and scope of SEC anti-fraud standards prohibiting insider trading. Individuals will gain a thorough understanding of what is deemed illegal and legal insider trading. They will learn about the penalties imposed when violators are found guilty and who is harmed by illegal insider trading.

Estimated Completion Time: 20 minutes

Introduction to Investment Adviser Compliance – *NEW***Course No. 16842**

This course is designed to cover basic compliance requirements of investment advisers, as required by the Investment Advisers Act of 1940 ("Advisers Act") as well as other applicable regulatory requirements. This course serves as educational and informational for novice investment adviser representatives, including those just joining an RIA or starting a new firm. This course also services as a healthy refresher for experienced advisers.

Estimated Completion Time: 30 minutes

Investment Adviser Code of Ethics**Course No. 9973**

This course introduces the basics of the Investment Advisers Act and is intended for investment advisers, investment adviser representatives, and Certified Financial Planners. Also, of interest and beneficial to financial service industry professionals is how the standards may be changing as well as the latest developments in law(s). The objective of this course is to provide an overview of various definitions and regulations to define what is required of a financial services professional who falls under the Investment Advisers Act.

Estimated Completion Time: 28 minutes

Investment Adviser Fiduciary Responsibilities**Course No. 10643**

As a fiduciary, an investment adviser maintains a special relationship of trust and confidence with clients. Understanding "fiduciary responsibility" is critical because it is at the core of being a good investment adviser. In a very practical sense, if an adviser and the adviser's employees understand the meaning of being a fiduciary and incorporate this understanding into daily business operations and decision-making, clients should be well served. This course will clarify the history, scope, and liability associated with the fiduciary responsibilities of an investment adviser.

Estimated Completion Time: 15 minutes

Marketing & Advertising: Review of the SEC's Marketing Rule – *NEW*
Course No: 15908

This course covers the SEC's Marketing Rule, which goes into effect November 2022. The course will review the rule's impact on investment advisers, including conditions surrounding investment performance advertising, testimonials, and endorsements, and prohibited practices. By the end of the course, learners will be able to effectively summarize the Marketing Rule's key components and understand who they impact the adviser's marketing and advertising activities.

Estimated Completion Time: 30 minutes

Online Identity Theft Scams
Course No. 11206

This course is intended for registered representatives, investment advisers, supervisors or any financial service industry professional interested in learning more about how to prevent online identity theft and what they need to do to ensure that they and their clients are not a victim of this crime. Identity thieves are stealing information from unsuspecting consumers in several ways. This course will show individuals how to spot online identity theft scams targeting financial sector customers and how to avoid them.

Estimated Completion Time: 20 minutes

Personal Securities Transactions for Investment Advisers
Course No. 11279

The SEC adopted certain rules under the Rule 204A-1 of the Advisers Act, which governs an investment adviser's adoption of its Code of Ethics. This course was developed to give an understanding of reportable transactions under the rules governing investment advisers.

Estimated Completion Time: 20 minutes

Phishing Awareness - The Human Factor of Security
Course No. 11280

This course defines the term, "phishing", describes the goals and impacts of a phishing attack, describes phishing techniques and characteristics, and provides examples of phishing. This course also educates individuals on how to prevent phishing attacks.

Estimated Completion Time: 20 minutes

Political Contributions and Pay-to-Play for Investment Advisers
Course No. 10934

To prevent and discourage fraudulent, deceptive, and manipulative practices, the SEC must continue to adapt regulation to changing market conditions. This course provides an overview of the statutes and amendments that have been made over the years to help discourage these types of practices. Additionally, the course provides definitions of related terms, clarifies exceptions to the rules and provides cases studies to help users to better understand the political contributions and pay-to-play rules.

Estimated Completion Time: 30 minutes

Preventing Personal Identity Theft

Course No. 11474

This course is intended for registered representatives, investment advisers, supervisors or any financial service industry professional interested in learning more about how to prevent personal identity theft and what they need to do to ensure that they and their clients are not a victim of this crime. Unfortunately, phishing is a growing way to steal someone's identity. And it's only one way. Identity thieves can take your personal information from your mailbox or your home. They can steal your wallet or purse or convince you to give out personal information. We all must be on our guard. This course teaches you how.

Estimated Completion Time: 30 minutes

Privacy and Confidentiality for Investment Advisers

Course No. 11026

Investment advisers should be up to date on the latest policies and procedures to keep client information private and confidential. This course provides an overview of the three portions of the Gramm-Leach-Bliley Act that apply to investment adviser privacy and confidentiality.

Estimated Completion Time: 30 minutes

Regulation Best Interest (Reg BI) and Associated Materials

Course No. 11708

On June 5, 2019, the SEC approved a package of new rules and interpretations designed to improve transparency for retail investors. Included in this package are Regulation Best Interest (Reg BI), New Form CRS Relationship Summary (Form CRS), the Investment Adviser Interpretation, and a Solely Incidental Interpretation. This course will cover each of these rules in depth along with potential scenarios that one could encounter.

Estimated Completion Time: 30 minutes

SECURE Act of 2019

Course No. 12670

This course is an in-depth exploration of the provisions of the SECURE Act of 2019; the first major change to the United States tax code regarding retirement plans in over a decade. The Setting Every Community Up for Retirement Savings Act of 2019 has broad implications for financial advisers, banks, credit unions, IRA custodians, tax advisers, estate planners, plan sponsors, plan fiduciaries, employers, and employees. All provisions of the Act are covered in this course.

Estimated Completion Time: 25 minutes

Security Best Practices for Remote Workers Amid COVID-19

Course No. 12752

This course discusses the importance of security when working remotely and highlights some simple techniques that employees can employ to protect themselves while working from home. Additionally, we'll discuss the recent influx of phishing emails that have flooded inboxes since the COVID-19 outbreak and tips to avoid falling victim to a heart attack.

Estimated Completion Time: 15 minutes

Senior Safe Act Training**Course No. 11514**

On May 24, 2018, the Senior Safe Act became federal law. This law was enacted to address the growing number of cases of financial exploitation affecting seniors in the financial services industry. This course will provide an in-depth explanation of the Senior Safe Act including signs of diminishing mental capacity and financial exploitation, reporting responsibilities, training obligations, and additional rulings.

Estimated Completion Time: 45 minutes

Suitability Considerations – NEW**Course No. 16843**

In this course, investment advisers discover how the investment recommendations they make to their clients directly impact their fiduciary obligations. Advisers will explore tools they can use to conduct suitability analyses, learn about the impact of recommending high risk investments, and understand what actions may cause a client's portfolio to be unsuitable.

Estimated Completion Time: 60 minutes

Trading Practices for Investment Advisers – NEW**Course No: 11033**

This course provides an overview of Rule 206(4)-7 of the Investment Advisers Act of 1940. This rule, known as “the Compliance Rule,” requires each investment adviser to adopt and implement written policies and procedures designed to prevent violations by the investment adviser and its supervised persons. Topics covered include soft dollars, directed brokerage, aggregation and allocation of trades, trade errors, best execution, and books and records requirements.

Estimated Completion Time: 30 minutes

Understanding the Office of Foreign Assets Control (OFAC)**Course No. 11296**

The Office of Foreign Assets Control (OFAC) is an agency of the United States Department of the Treasury under the authority of the Under Secretary of the Treasury for Terrorism and Financial Intelligence. OFAC administers and enforces economic and trade sanction programs based on U.S. foreign policy and national security goals. This course contains a review of regulatory information. Additionally, individuals will gain a better understanding of the purpose of OFAC, its sanction programs, the SDN list, IATs and penalties for OFAC violations.

Estimated Completion Time: 20 minutes

Whistleblower Rule Compliance**Course No. 11281**

This course provides background of the SEC's Whistleblower Incentive Program, highlights disciplinary and retaliation cases, and provides recommendations for preventing non-compliance with SEC Rule 21F-17.

Estimated Completion Time: 20 minutes

Wrap Fee Accounts – *NEW***Course No: 11248**

This course is an intermediate to advanced level course for investment adviser representatives and those who supervise them. It is appropriate for advisers involved in managing mutual fund accounts with a solid understanding of mutual fund basics. The objective of this course is to provide an overview of the various wrap accounts available today. It will discuss some of the advantages and disadvantages of these programs. Wrap accounts are described, including asset investment services and portfolio management. Mutual fund asset allocation programs are described, as well as risk factors associated with such accounts.

Estimated Completion Time: 30 minutes

IAR Continuing Education – Qualifying Courses:

Annual AML Update: Review of Regulatory Guidance and Enforcement (IAR CE)

Course No: 17388

This course will review recent Anti-Money Laundering developments including regulatory guidance from the securities and banking industries, FATF cryptocurrency guidance, enforcement actions, a new FinCEN department and several case studies including the Danske Bank AML case and the US' Mueller report. By the end of the course, students will have a better understanding of the front-end of the regulatory environment and how money laundering is detected and prosecuted in modern cases.

Number of credits: 1

Best Interest Standard Training Course (IAR CE)

Course No: 17389

This course reviews the SEC's Regulation Best Interest standard and its associated materials, including Form CRS, the Investment Adviser Interpretation, and the Solely Incidental Interpretation. The course additionally breaks down several key terms surrounding Reg BI as well as the obligations firms have under this new standard of conduct.

Number of credits: 1

CCO Comprehensive Intro Course (IAR CE)

Course No. 17939

This comprehensive course is a must for anyone acting as, or supporting, a firm's Chief Compliance Officer. This course is designed to help CCOs and those who support them understand the challenges faced by CCOs in an ever-evolving regulatory environment. Compliance challenges go hand-in-hand with accepting the CCO position. CCOs must be extremely knowledgeable about their firm and its business model. This course covers a myriad of investment adviser rules and regulations and provides practical advice for complying with Advisers Act requirements.

Number of credits: 1

Custody & Safeguarding of Client Assets (IAR CE)

Course No. 17938

The Custody Rule affects investment advisers who have custody – any many do not realize that they have custody until they understand what services can impute custody on a firm, such as deducting advisory fees from client accounts, acting as trustee, and other common services provided by advisers. The Rule requires advisers who have custody of client funds or securities to maintain them with banks, broker-dealers, or other custodians. Some advisers must also obtain an annual surprise examination of client assets over which they are deemed to have custody. This course reviews the Custody Rule and a related SEC no-action letter, covering the various scenarios that can trigger custody and how to comply with the rule's requirements.

Number of credits: 1

Cybersecurity (IAR CE)**Course No: 17390**

This course examines various targets and types of cyber-attacks, their threat to the financial industry, regulatory measures to prevent cyber-crimes and practical steps toward cybersecurity. The course also provides practical advice for investment advisers on steps to reduce risk, as well as the consequences to firms for failing to protect against cybersecurity threats.

Number of credits: 1

Ethical Issues Facing the Financial Services Industry (IAR CE)**Course No: 17391**

This course is appropriate for anyone working in the securities industry. It begins with a look at ethical issues facing the industry, and briefly defines ethical standards and why they are important. The course then gives an overview of the regulatory requirements from FINRA and the SEC that are designed to promote ethical standards and provides examples of recent charges. The course concludes with the understanding that rules and regulations alone are not enough to ensure ethical behavior.

Number of credits: 1

Ethics and Retirement Planning (IAR CE)**Course No: 17392**

This course is intended for registered representatives, investment advisers, compliance staff and supervisors that are responsible for working with clients. This course provides an overview of ethics, distinguishing between moral codes and ethical does, discussing conflicts of interest, and understanding ethics in the real world. Additionally, the course covers the components of an ethical system including ethical behavior, ethically protecting the family, professional ethics, personal ethics, ethical sales decisions, agent ethics, agent competency and the importance of ethics when working with customers.

Number of credits: 3

Ethics for the Financial Services Professional (IAR CE)**Course No: 17393**

This course is intended for registered representatives, investment advisers, compliance staff and supervisors that are responsible for working with clients. This course provides an overview of the characteristics of ethics and professionalism. Topics include the standards by which a professional should be judged, as well as a study of ethics on its philosophical and compliance levels.

Number of credits: 2

Introduction to Investment Adviser Compliance (IAR CE)**Course No: 17394**

This course is designed to cover basic compliance requirements of investment advisers, as required by the Investment Advisers Act of 1940 ("Advisers Act") as well as other applicable regulatory requirements. This course serves as educational and informational for novice investment adviser representatives, including those just joining an RIA or starting a new firm. This course also serves as a healthy refresher for experienced advisers.

Number of credits: 1

Marketing & Advertising: Review of the SEC's Marketing Rule (IAR CE)**Course No: 17396**

This course covers the SEC's Marketing Rule, which goes into effect November 2022. The course will review the rule's impact on investment advisers, including conditions surrounding investment performance advertising, testimonials, and endorsements, and prohibited practices. By the end of the course, learners will be able to effectively summarize the Marketing Rule's key components and understand who they impact the adviser's marketing and advertising activities.

Number of credits: 1

Suitability Considerations (IAR CE)**Course No: 17395**

In this course, investment advisers discover how the investment recommendations they make to their clients directly impact their fiduciary obligations. Advisers will explore tools they can use to conduct suitability analyses, learn about the impact of recommending high-risk investments, and understand what actions may cause a client's portfolio to be unsuitable.

Number of credits: 1