

Education Program for Compliance Professionals

ACHIEVE COMPLIANCE WITH CONFIDENCE



Today's dynamic financial regulatory landscape has created new requirements, new challenges and new opportunities for CCOs and compliance professionals. The rapid pace of regulatory change compounded by the increased level of risk faced by hedge funds, private equity firms, broker-dealers, RIAs and other financial institutions, has made it even more critical for those managing their firm's compliance program to remain knowledgeable in the full breadth of compliance and regulatory activity.

The Investment Adviser Certified Compliance Professional® (IACCP) and the Investment Adviser Core Compliance (IA Core) programs, co-sponsored by COMPLY and the Investment Adviser Association (IAA), provide an in-depth review of the Investment Advisers Act of 1940 and related SEC, FINRA, and DOL rules and regulations.

IA CORE PROGRAM

Designed for professionals new to the industry and those wanting to solidify their foundational knowledge of Advisers Act of 1940 and related rules.

VALUE: Delivers a core level of compliance professional competence.

TIMELINE: 12 months to complete the program.

REQUIREMENTS: 10 required courses plus submission of an ethics assessment.

WHAT YOU EARN: Certificate of Achievement.

EDUCATION NEXT STEP: Transfer courses to the IACCP® Program within 12 months of completing the IA Core Program.



The IACCP program is recognized as a CE approved provider for CPE, CLE, and CFP credits.

The IACCP and IA Core programs also provide compliance professionals the acumen and credibility for career advancement and help ensure the ongoing success of their firm's compliance program. Our education solutions provide:

- » Clarity in preparing for regulatory changes and examinations.
- » Support for strong, effective and efficient compliance programs.
- » Knowledge of the latest rules and regulations, best practices and new trends.
- » Certification through our professional designation program.
- » Fulfillment of annual compliance training requirements.

The programs are available live-online and in-person with the flexibility to progress at your own pace.

IACCP PROGRAM

Designed for compliance professionals wanting to certify their knowledge of investment adviser regulatory obligations and gain additional competence in trading, regulatory mandates, disclosures and other current regulatory priorities.

VALUE: A recognized industry compliance designation.

TIMELINE: 18 months to complete the program.

REQUIREMENTS: 17 required and 3 elective courses, submission of an ethics assessment and an ethics statement, passing the IACCP® examination, and 2 years of work experience in investment adviser compliance.

WHAT YOU EARN: IACCP® designation.

EDUCATION NEXT STEP: Maintain the IACCP designation through an annual continuing education (CE) requirement.