

# IA MICRO LEARNING

Quest CE's micro-learning course catalog offers short, video-based training modules designed specifically for RIA firms. Each course takes under 15 minutes to complete and combines instructional videos with interactive knowledge checks, case studies, and click-and-reveal exercises.

The catalog covers compliance requirements, ethical practices, and client protection topics through this bite-sized, multimedia format that helps ensure content retention and practical application.

Course Title	Course ID	# of Pages	Est. Time
Anti Money Laundering (AML) and Red Flags	24444	20	14 Mins
Confidentiality and Privacy	24436	13	12 Mins
Custody Rules and Client Asset Protection	24442	17	14 Mins
Duties and Obligations of Associates: Code of Ethics	24434	16	15 Mins
Duties of the Firm: Fiduciary Responsibility	24431	11	10 Mins
Gifts, Entertainment, and Expert Networks	24439	14	12 Mins
Handling Client and Investor Complaints	24445	19	13 Mins
Information Privacy and Cybersecurity	24443	20	15 Mins
Introduction to Compliance Training	24429	12	10 Mins
Outside Business Activities	24438	16	13 Mins
Personal Trading and Insider Trading	24435	15	12 Mins
Political Contributions and Pay-to-Play Rules	24437	14	12 Mins
Record-Keeping & Off-Channel Communications	24441	19	15 Mins
Regulatory Oversight and the Role of the SEC	24430	12	11 Mins
Reg S-P: Client Data Protection	25951	19	10 Mins
RIA Sanctions: Lessons from SEC Actions	26114	14	20 Mins
Solicitation and Marketing Activities	24440	20	15 Mins
Understanding and Managing Conflicts of Interest	24433	12	9 Mins
Understanding the Firm's Compliance Manual	24432	12	12 Mins

