

IAR CE COURSE LIBRARY

Quest CE is an authorized provider of IAR CE. Every course in our library also counts toward CFP® certification credit, offering advisers dual credit for their time. Choose from our pre-built course packages or pick individual trainings that fit your needs. We update our catalogs with new content annually to prevent course duplication, which isn't allowed under IAR CE requirements.

Available Pre-Built Packages

IAR CE – Requirements Package (12-Credits)

This package meets the requirement of 6 Ethics credits and 6 Products & Practices credits needed for IAR Continuing Education.

NOTE: IAR CE courses cannot be repeated for credit. Duplicate completion credit(s) will not be accepted.

- Advanced Ethical Decision Making (IAR CE)
- Annual AML Update 2025 (IAR CE)
- Cybersecurity Essentials for Investment Advisers (IAR CE)
- Engaging Millennial Investors: Strategies for Modern Wealth Management (IAR CE)
- Ethical Business Practices and the Modernized SEC IA Marketing Rule (IAR CE)
- Ethical Challenges in AI and FinTech (IAR CE)
- Ethical Considerations for Client Communications (IAR CE)
- Ethics in Crisis Management (IAR CE)
- Innovative Investment Strategies (IAR CE)
- Insider Trading & Market Manipulation (IAR CE)
- Regulation Best Interest: Practical Applications (IAR CE)
- Understanding Alternative Investments (IAR CE)

Available Pre-Built Packages

IAR CE – Products & Practices Package (6-Credits)

Package meets the requirement of 6 Products & Practices credits needed for IAR Continuing Education.

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- Annual AML Update 2025 (IAR CE)
- Cybersecurity Essentials for Investment Advisers (IAR CE)
- Engaging Millennial Investors: Strategies for Modern Wealth Management (IAR CE)
- Innovative Investment Strategies (IAR CE)
- Regulation Best Interest: Practical Applications (IAR CE)
- Understanding Alternative Investments (IAR CE)

IAR CE – Ethics Package (6-Credits)

Package meets the requirements of 6 Ethics credits needed for IAR Continuing Education.

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- Advanced Ethical Decision Making (IAR CE)
- Ethical Business Practices and the Modernized SEC IA Marketing Rule (IAR CE)
- Ethical Challenges in AI and FinTech (IAR CE)
- Ethical Considerations for Client Communications (IAR CE)
- Ethics in Crisis Management (IAR CE)
- Insider Trading & Market Manipulation (IAR CE)

Courses Quick Glance

Note: COURSE IDs are for importing course assignments within the Renaissance LMS. These are not to be confused with course codes which are used for credit reporting purposes. All course details valid as of January 2025 and are subject to change. Rows in blue are Ethics Credit Type and rows in yellow are Products & Practices.

Training Course	New in 2025	IAR CE ID	CFP Dual Credit ID	IAR CE Full Package (12-Credits)	CE Ethics Package (6-Credits)
Advanced Ethical Decision Making (2025)	X	23750	23757	X	X
Ethical Business Practice & The SEC Marketing Rule (2025)	X	23751	23761	X	X
Ethical Challenges in AI and FinTech (2025)	X	23752	23762	X	X
Ethical Considerations for Client Communications (2025)	X	23753	23763	X	X
Ethics in Crisis Management (2025)	X	23754	23764	X	X
Insider Trading and Market Manipulation (2025)	X	23748	23766		
Promoting DEI in Financial Advisory (2025)	X	23755	23768	X	X
Annual AML Update 2025 (2025)	X	23744	23758	X	
Cybersecurity Essentials for Investment Advisors (2025)	X	23745	23759	X	
Engaging Millennial Investors: Strategies for Modern Wealth Management (2025)	X	23746	23760	X	
Innovative Investment Strategies (2025)	X	23747	23765	X	
Regulation Best Interest: Practical Applications (2025)	X	23756	23769	X	
Understanding Alternative Investments (2025)	X	23749	23770	X	
Creating Respectful Workplaces (2024)		21505	----		
Enhanced AML Protocols and Investment Advisor Responsibilities (2024)		21502	21486		
Ethical Obligations in Cybersecurity: A Course for Investment Advisors (2024)		21509	21492		
Ethically Serving Senior & Vulnerable Investors (2024)		21510	21494		
Ethics for Advisors: Compliance with Fiduciary Standards (2024)		21499	21484		
Investment Advisor Integrity: Exploring the Code of Ethics (2024)		21500	21482		
Understanding Client Suitability Principles (2024)		21507	21490		
Navigating Digital Assets and Cryptocurrency (2024)		23743	23767		

Courses Quick Glance

Training Course	New in 2025	IAR CE ID	CFP Dual Credit ID	IAR CE Full Package (12-Credits)	CE Ethics Package (6-Credits)
Sustainability and Beyond: A Guide to the ABCs of ESG Investing (2024)		21501	21511		
The Future of AI and Concerns Over Conflicts of Interest (2024)		21508	21491		
The Risks Associated with Off-Channel Communications (2024)		21498	21485		
Trading Practices for Investment Advisors (2024)		21503	21488		
Understanding and Implementing the New Marketing Rule (2024)		21497	21483		

Individual Courses

NEW! Advanced Ethical Decision Making (2025) (Dual Credit)

IAR CE Course ID - 23750 | CFP Dual Credit Course ID - 23757 | Credit Type - Ethics

This course equips advisors with the knowledge, tools, and frameworks needed to navigate the intricate ethical dilemmas that arise in the profession. Designed to promote ethical excellence, this course explores the principles of fiduciary duty, advanced reasoning techniques, and the nuances of maintaining trust in client relationships. Participants will be presented with real-world scenarios, case studies, and emerging challenges, such as navigating gray areas in regulatory guidance, managing conflicts of interest, and balancing personalized financial planning with fiduciary responsibilities. The course also emphasizes the importance of ethical leadership, organizational culture, and continuous professional growth, providing actionable strategies for fostering a client-first approach and addressing unconscious bias.

NOTE: IAR CE courses cannot be repeated for credit. Duplicate completion credit(s) will not be accepted.

NEW! Annual AML Update 2025 (2025) (Dual Credit)

IAR CE Course ID - 23744 | CFP Dual Credit Course ID - 23758 | Credit Type - Products & Practices

This course will review recent Anti-Money Laundering developments including regulatory guidance from the securities and banking industries, FATF cryptocurrency guidance, enforcement actions, and several case studies. 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.

NOTE: IAR CE courses cannot be repeated for credit. Duplicate completion credit(s) will not be accepted.

NEW! Cybersecurity Essentials for Investment Advisors (2025) (Dual Credit)

IAR CE Course ID - 23745 | CFP Dual Credit Course ID - 23759 | Credit Type - Products & Practices

This course is designed to provide investment advisers with a comprehensive understanding of cybersecurity threats, best practices for safeguarding client data, and compliance requirements within the financial services industry. Through this course, participants will gain insights into the latest cybersecurity trends, regulatory expectations, and real-world scenarios to enhance their ability to protect sensitive information effectively.

NOTE: IAR CE courses cannot be repeated for credit. Duplicate completion credit(s) will not be accepted.

Individual Courses

NEW! Engaging Millennial Investors: Strategies for Modern Wealth Management (2025) (Dual Credit)

IAR CE Course ID - 23746 | CFP Dual Credit Course ID - 23760 | Credit Type - Products & Practices

This course is intended for any financial advisors who already work with, or have plans to attract more business from, the youngest of the U.S. working population - millennials. They are a new breed of investors that require new methods of investing their money, different than the strategies used with their parents. Learning to understand millennials helps to understand their financial goals. This course prepares financial advisors to recognize and work with millennial clients the way they want to be worked with. It also discusses regulations surrounding social media and other off-channel communication platforms that millennials tend to navigate towards. Finally, the course walks through two important components that tend to come up frequently among millennial investors: cryptocurrency and ESG investing.

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NEW! Ethical Business Practice & The SEC Marketing Rule (2025) (Dual Credit)

IAR CE Course ID - 23751 | CFP Dual Credit Course ID - 23761 | Credit Type - Ethics

This course is designed to equip investment advisors with the knowledge and tools necessary to align their marketing practices with the SEC's modernized IA Marketing Rule while fostering a strong commitment to ethics. Participants will explore the regulatory framework governing marketing communications, focusing on the rule's provisions for transparency, fairness, and accountability in advertising. The course delves into ethical considerations that underpin compliant marketing, such as balancing business goals with fiduciary responsibilities, mitigating conflicts of interest, and ensuring truthful representations of performance data. Advisers will learn to navigate complex challenges in marketing, including the use of testimonials, hypothetical performance, and AI-driven financial tools. The course also provides actionable strategies for developing robust compliance programs, leveraging technology to streamline processes, and responding effectively to SEC inquiries. Emphasis is placed on cultivating a culture of compliance and ethical leadership, empowering advisers to act with integrity while maintaining competitive marketing practices.

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NEW! Ethical Challenges in AI and FinTech (2025) (Dual Credit)

IAR CE Course ID - 23752 | CFP Dual Credit Course ID - 23762 | Credit Type - Ethics

This course is intended for financial advisors, compliance officers, and FinTech professionals seeking to stay ahead of emerging challenges in AI and FinTech and lead with ethics in mind. Participants will explore key ethical concerns such as data privacy, algorithmic bias, accountability, and transparency. The course emphasizes the importance of embedding ethical practices into AI and FinTech applications to ensure compliance with regulatory requirements and build client trust. The course also covers governance tools such as ethics committees and frameworks like AI Ethics Guidelines and the NIST AI Risk Management framework. These resources provide practical steps for implementing ethical oversight in financial services, helping firms align their technological innovations with ethical principles and regulatory standards. Participants will also gain insights into the consequences of unethical practices and the benefits of proactive governance.

NOTE: IAR CE courses cannot be repeated for credit. Duplicate completion credit(s) will not be accepted.

NEW! Ethical Considerations for Client Communications (2025) (Dual Credit)

IAR CE Course ID - 23753 | CFP Dual Credit Course ID - 23763 | Credit Type - Ethics

This course equips advisors with the principles, strategies, and tools needed to maintain the highest standards of integrity in every client interaction. Participants will explore the foundations of ethical communication, identify common challenges, and learn how to tailor messaging to individual client needs. The course covers topics such as cultural sensitivity, managing communication during market volatility, leveraging technology responsibly, and fostering a culture of transparency and accountability. This course offers essential guidance to help advisors excel in ethical client communication while enhancing professional credibility and client loyalty.

NOTE: IAR CE courses cannot be repeated for credit. Duplicate completion credit(s) will not be accepted.

NEW! Ethics in Crisis Management (2025) (Dual Credit)

IAR CE Course ID - 23754 | CFP Dual Credit Course ID - 23764 | Credit Type - Ethics

This course equips advisors with the knowledge and tools to navigate ethical challenges during times of financial crises and market volatility. Advisors will explore key ethical principles, such as transparency, accountability, and empathy, while learning how to manage client relationships under pressure. Through real-world case studies and actionable frameworks, participants will examine the complexities of balancing

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short-term decisions with long-term goals, addressing conflicts of interest, and using financial products responsibly. The course emphasizes best practices for ethical crisis management, including leveraging technology, understanding behavioral finance insights, and fostering a firm-wide culture of integrity. Advisors will also gain insights into emerging challenges, such as data privacy, sustainable investing, and the ethical use of artificial intelligence.

NOTE: IAR CE courses cannot be repeated for credit. Duplicate completion credit(s) will not be accepted.

NEW! Innovative Investment Strategies (2025) (Dual Credit)

IAR CE Course ID - 23747 | CFP Dual Credit Course ID - 23765 | Credit Type - Products & Practices

This course is designed to equip financial professionals with the knowledge and skills to navigate the changing investment landscape and capitalize on emerging opportunities. It delves into the most cutting-edge investment products and strategies reshaping the financial markets. Participants will explore the evolution and application of ETFs, Smart Beta strategies, and cryptocurrencies, alongside the growing importance of ESG investing. Alternative investments, such as private equity, real estate, and hedge funds, are also covered, highlighting their role in portfolio diversification. The course also examines the growing influence of robo-advisors and automated investment solutions, emphasizing their role in democratizing access to sophisticated financial tools. Risk management and compliance considerations are integral to the course material, offering insights into regulatory frameworks and strategies for mitigating risks.

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NEW! Insider Trading and Market Manipulation (2025) (Dual Credit)

IAR CE Course ID - 23748 | CFP Dual Credit Course ID - 23766 | Credit Type - Ethics

This course is designed for investment advisors and financial professionals, and explores the ethical considerations, legal frameworks, and real-world implications of insider trading and market manipulation. It delves into the foundational principles of fairness, transparency, and integrity that underpin ethical market practices. Participants will gain a deep understanding of the regulatory landscape, including U.S. and international law, while examining case studies that highlight the consequences of unethical behavior. It emphasizes actionable strategies for fostering a culture of compliance, leveraging technology to detect and prevent violations, and addressing emerging challenges such as cryptocurrency markets and AI-driven trading.

NOTE: IAR CE courses cannot be repeated for credit. Duplicate completion credit(s) will not be accepted.

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NEW! Promoting DEI in Financial Advisory (2025) (Dual Credit)

IAR CE Course ID - 23755 | CFP Dual Credit Course ID - 23768 | Credit Type - Ethics

This course explores the transformative power of DEI within financial advisory firms, emphasizing its ethical implications and strategic advantages. Participants will gain a deeper understanding of how DEI principles foster innovation, enhance client relationships, and create equitable opportunities for employees. Through real-world case studies, actionable strategies, and regulatory insights, the course provides tools to integrate DEI into workplace cultures, client interactions, and long-term business strategies. This course empowers advisors, leaders, and compliance professionals to drive meaningful change, and position their firms as leaders in inclusivity and equity. By the end of the course, participants will be equipped with the knowledge and tools to create a more equitable financial ecosystem that benefits employees, clients, and the broader community.

NOTE: IAR CE courses cannot be repeated for credit. Duplicate completion credit(s) will not be accepted.

NEW! Regulation Best Interest: Practical Applications (2025) (Dual Credit)

IAR CE Course ID - 23756 | CFP Dual Credit Course ID - 23769 | Credit Type - Products & Practices

Regulation Best Interest (Reg BI) represents a significant shift in the regulatory landscape for investment advisors. This course is designed to provide investment advisors with a comprehensive understanding of Reg BI, its requirements, and how to effectively implement it in their practice. By mastering Reg BI, you'll not only ensure compliance but also enhance the quality of advice you provide to clients.

NOTE: IAR CE courses cannot be repeated for credit. Duplicate completion credit(s) will not be accepted.

NEW! Understanding Alternative Investments (2025) (Dual Credit)

IAR CE Course ID - 23749 | CFP Dual Credit Course ID - 23770 | Credit Type - Products & Practices

This course is designed for financial professionals, advisors, and investors and delves into key alternative investments, including hedge funds, private equity, venture capital, real estate, commodities, cryptocurrencies, and structured products. Participants will gain a clear understanding of their unique characteristics, risk-return profiles, and role in portfolio diversification. This course highlights real-world applications to provide practical insights into successful strategies and potential pitfalls. Participants will explore the evolving legal landscape governing alternative investments and emphasizes the importance of due diligence, risk management, and aligning investments with financial goals.

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Creating Respectful Workplaces: Prevention of Sexual Harassment (2024)

IAR CE Course ID - 21505 | CFP Dual Credit Course ID - *Not Approved* | Credit Type - Ethics

This course is centered on how to create and maintain a respectful workplace by preventing sexual harassment. It will cover the related facets of sexual harassment that can both inform and shape our broader understanding of the nature of sexual harassment and its consequences. It will also address some misunderstandings about sexual harassment, possible motivations, general categories, and specific examples, as well as the potential negative consequences for both individuals in the workplace and for business entities.

Enhanced AML Protocols and Investment Advisor Responsibilities (2024) (Dual Credit)

IAR CE Course ID - 21502 | CFP Dual Credit Course ID - 21486 | Credit Type - Ethics

This course provides an in-depth look at anti-money laundering (AML) protocols and investment advisor responsibilities. It covers relevant legislation like the USA PATRIOT Act and Bank Secrecy Act, details of the proposed AML program rule for SEC-registered investment advisors, suspicious activity reporting and monitoring requirements, customer due diligence, information sharing procedures, independent testing, and more. The course examines AML case studies in the financial sector, analyzes major vulnerabilities, and summarizes the 2022 National Strategy for Combating Terrorist and Other Illicit Financing. Ideal for investment advisors and those in the financial services industry looking to enhance their AML compliance.

Ethical Obligations in Cybersecurity: A Course for Investment Advisors (Dual Credit)

IAR CE Course ID - 21509 | CFP Dual Credit Course ID - 21492 | Credit Type - Ethics

As the investment advisor and Registered Investment Advisor (RIA) industry faces growing cybersecurity threats, the Securities and Exchange Commission (SEC) has proposed pivotal amendments to regulatory frameworks. This course delves into the evolving landscape of cybersecurity regulations within the financial sector, with a focus on the SEC's proposed rules for advisors and RIA firms.

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Ethically Serving Senior & Vulnerable Investors (2024) (Dual Credit)

IAR CE Course ID - 21510 | CFP Dual Credit Course ID - 21494 | Credit Type - Ethics

As an investment professional, you have the ability to work with clients of all ages and from all walks of life. This includes clients that may be senior citizens or could be considered “vulnerable” due to many different circumstances. Senior and vulnerable investors have been in the regulatory spotlight over the last few years. In fact, additional regulation has recently been enacted to help protect the most vulnerable of clients. Historically, there was little guidance or information on how to ensure investment professionals are taking extra care to prevent harm for these clients. This course will cover regulation that is currently in place to help prevent financial exploitation. It will also explore in depth the relationship between the work you do and how you can ensure your clients’ assets are protected.

Ethics for Advisors: Compliance with Fiduciary Standards (2024) (Dual Credit)

IAR CE Course ID - 21499 | CFP Dual Credit Course ID - 21484 | Credit Type - Ethics

This course is intended for Investment Advisers and associated investment professionals. In December 2022, a new rule concerning advertising and marketing, which was announced 18 months prior by the Securities and Exchange Commission, went into effect. This course covers the reasons for the new Marketing Rule and its various components. Besides examining general changes in the definition and rules of advertising, this course also covers issues around endorsements and testimonials. With the new Marketing Rule, certain recordkeeping requirements and industry forms were modified as well. You’ll learn about those changes and read about regulatory actions already undertaken regarding the new Marketing Rule. What about social media? That’s covered too. In addition to describing the workings of the new Marketing Rule, you’ll also read about the implementation process from announcement to compliance.

Investment Advisor Integrity: Exploring the Code of Ethics (2024) (Dual Credit)

IAR CE Course ID - 21500 | CFP Dual Credit Course ID - 21482 | Credit Type - Ethics

This course is designed to provide Investment Advisers (IAs) an overview of general requirements and obligations contained in a Code of Ethics (CoE), the background behind the requirements of IAs related to ethics including fiduciary responsibilities, conflicts of interest, and insider trading as well as recognizing common justifications used by unethical actors.

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Navigating Digital Assets and Cryptocurrency (2024) (Dual Credit)

IAR CE Course ID - 23743 | CFP Dual Credit Course ID - 23767 | Credit Type - Products & Practices

This course presents the current status of U.S. regulation tied to crypto assets. It covers the types of products involved, the various regulators who claim jurisdiction, recent regulatory actions, and the risks and compliance issues associated with investments in these products. The course also covers anti-money laundering regulations that are specific to conducting business in crypto assets, including the concept of beneficial ownership and the requirements to collect, verify, and maintain customer identity records.

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Sustainability and Beyond: A Guide to the ABCs of ESG Investing (2024) (Dual Credit)

IAR CE Course ID - 21501 | CFP Dual Credit Course ID - 21511 | Credit Type - Products & Practices

This course is designed to provide the background behind environmental, social, and governance (ESG) investing including global standards set through the UN's Principles for Responsible Investment, Equator Principles, disclosure requirements, and applicable regulations. It will also equip advisors with the key knowledge needed to discuss ESG investing and incorporate it into client portfolios when suitable. With the right understanding of this rapidly evolving field, advisors can remain at the forefront of responsible and ethical investing.

The Future of AI and Concerns Over Conflicts of Interest (2024) (Dual Credit)

IAR CE Course ID - 21508 | CFP Dual Credit Course ID - 21491 | Credit Type - Products & Practices

This comprehensive course explores the transformational impacts of artificial intelligence in the financial services industry, with a focus on opportunities and responsibilities for financial advisors. It covers AI applications in finance like robo-advising and algorithmic trading, benefits versus inherent risks, ethical and regulatory considerations, strategies for responsibly integrating AI to augment advisor skills rather than replace them, oversight best practices, and the advisor's essential role in steering AI to enhance client experiences. The course provides practical guidance to prepare financial advisors with the AI fluency, wisdom and leadership needed to successfully navigate the rise of artificial intelligence in a way that benefits society.

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The Risks Associated with Off-Channel Communications (2024) (Dual Credit)

IAR CE Course ID - 21498 | CFP Dual Credit Course ID - 21485 | Credit Type - Products & Practices

This course is designed to educate investment advisers about the compliance risks associated with off-channel communications. Despite the numerous regulatory actions taken against firms and their employees, and the ever-increasing level of monetary penalties assessed, unmonitored business-related off-channel communications continue to plague the industry, and regulators continue their ongoing crackdown on these practices. The course uses a situational scenario, as well as actual FINRA and SEC disciplinary actions, to illustrate behavior that may lead to regulatory violations and subsequent fines and sanctions.

Trading Practices for Investment Advisors (2024) (Dual Credit)

IAR CE Course ID - 21503 | CFP Dual Credit Course ID - 21488 | Credit Type - Products & Practices

This course provides a detailed look at one element of Rule 206(4)-7 of the Investment Advisers Act of 1940. The act requires each investment adviser to adopt and implement written policies and procedures designed to prevent violations of federal securities laws. Specifically, this course addresses Investment Adviser's trading practices. Topics covered include the use of soft dollars, aggregation and allocation of trades, and best execution policies. Additionally, the course discusses unauthorized trading policies, trade errors, and books and records requirements. Cases brought against violators and the relevance of Registration Form ADV are also included.

Understanding and Implementing the New Marketing Rule (2024) (Dual Credit)

IAR CE Course ID - 21497 | CFP Dual Credit Course ID - 21483 | Credit Type - Products & Practices

This course is intended for Investment Advisers and associated investment professionals. In December 2022, a new rule concerning advertising and marketing, which was announced 18 months prior by the Securities and Exchange Commission, went into effect. This course covers the reasons for the new Marketing Rule and its various components. Besides examining general changes in the definition and rules of advertising, this course also covers issues around endorsements and testimonials. With the new Marketing Rule, certain recordkeeping requirements and industry forms were modified as well. You'll learn about those changes and read about regulatory actions already undertaken regarding the new Marketing Rule. What about social media? That's covered too. In addition to describing the workings of the new Marketing Rule, you'll also read

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about the implementation process from announcement to compliance.

Understanding Client Suitability Principle (2024) (Dual Credit)

IAR CE Course ID - 21507 | CFP Dual Credit Course ID - 21490 | Credit Type - Ethics

This course provides a comprehensive overview of the suitability principles and regulations that investment advisors must follow when making recommendations to clients. It examines FINRA Rule 2111, which establishes three main suitability obligations: reasonable-basis, customer-specific, and quantitative suitability. The course covers how suitability interacts with the SEC's Regulation Best Interest (Reg BI), which sets a higher "best interest" standard for broker-dealers with retail customers. Determining a client's risk tolerance and capacity are critical for assessing suitability. The course discusses how investment firms use model portfolios aligned to different investor risk profiles to streamline the process of building suitable portfolios. It also explores emerging topics like artificial intelligence and its potential impact on suitability analysis. Proper policies, procedures, and supervision help ensure advisors make suitable recommendations and comply with regulations. Mastering suitability principles is key for advisors seeking to fulfill their ethical and regulatory duties when advising clients.