

# IAR CE COURSE LIBRARY

Featuring over 20+ courses, we offer a diverse range of ready-to-go training topics and categories that can be added to your investment adviser training program today! Choose from a Pre-Built Package or select Individual Courses to fit your needs.

## 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.**

- Enhanced AML Protocols and Investment Advisor Responsibilities (IAR CE)
- Ethical Obligations in Cybersecurity: A Course for Investment Advisors (IAR CE)
- Ethically Serving Senior & Vulnerable Investors (IAR CE)
- Ethics for Advisors: Compliance with Fiduciary Standards (IAR CE)
- Investment Advisor Integrity: Exploring the Code of Ethics (IAR CE)
- Reg BI Essentials: A Comprehensive Guide for Investment Advisors (IAR CE)
- Regulation Surrounding Digital Assets and Cryptocurrency (IAR CE)
- Sustainability and Beyond: A Guide to the ABCs of ESG Investing (IAR CE)
- The Risks Associated with Off-Channel Communications (IAR CE)
- Trading Practices for Investment Advisors (IAR CE)
- Understanding and Implementing the New Marketing Rule (IAR CE)
- Understanding Client Suitability Principles (IAR CE)

## 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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- Reg BI Essentials: A Comprehensive Guide for Investment Advisors (IAR CE)
- Regulation Surrounding Digital Assets and Cryptocurrency (IAR CE)
- Sustainability and Beyond: A Guide to the ABCs of ESG Investing (IAR CE)
- The Risks Associated with Off-Channel Communications (IAR CE)
- Trading Practices for Investment Advisors (IAR CE)
- Understanding and Implementing the New Marketing Rule (IAR CE)

## IAR CE – Ethics Package (6-Credits)

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

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

- Enhanced AML Protocols and Investment Advisor Responsibilities (IAR CE)
- Ethical Obligations in Cybersecurity: A Course for Investment Advisors (IAR CE)
- Ethically Serving Senior & Vulnerable Investors (IAR CE)
- Ethics for Advisors: Compliance with Fiduciary Standards (IAR CE)
- Investment Advisor Integrity: Exploring the Code of Ethics (IAR CE)
- Understanding Client Suitability Principles (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 May 2024 and are subject to change. *Italicized course titles are new in 2024 and rows in blue are Ethics Credit Type and rows in yellow are Products & Practices.*

Training Course	IAR CE ID	CFP Dual Credit ID	IAR CE Full Package (12-Credits)	CE Ethics Package (6-Credits)
A Review of the Custody Rule	19219	19227		
An In-Depth Look at IAR Ethics	19220	19232		
An Overview of the SEC's Marketing Rule	19221	19231		
Annual AML Update 2023	19222	19230		
Compliance for the New Investment Advisor	19223	19226		
<i>Creating Respectful Workplaces: Prevention of Sexual Harassment</i>	21505	<i>No Dual Credit</i>		
Cybersecurity 2023	19224	19228		
<i>Enhanced AML Protocols and Investment Advisor Responsibilities</i>	21502	21486	<b>X</b>	<b>X</b>
Ethical Concerns for the Financial Services Industry	19225	19229		
<i>Ethical Obligations in Cybersecurity: A Course for Investment Advisors</i>	21509	21492	<b>X</b>	<b>X</b>
<i>Ethically Serving Senior &amp; Vulnerable Investors</i>	21510	21494	<b>X</b>	<b>X</b>
<i>Ethics for Advisors: Compliance with Fiduciary Standards</i>	21499	21484	<b>X</b>	<b>X</b>
Ethics for the Financial Services Professional - Vol. 1	19318	19325		
Ethics for the Financial Services Professional - Vol. 2	19319	19326		
Ethics for the Financial Services Professional - Vol. 3	19320	19330		
Ethics for the Financial Services Professional - Vol. 4	19321	19329		
Ethics for the Financial Services Professional - Vol. 5	19322	19328		
<i>Investment Advisor Integrity: Exploring the Code of Ethics</i>	21500	21482	<b>X</b>	<b>X</b>
<i>Reg BI Essentials: A Comprehensive Guide for Investment Advisors</i>	21506	21487	<b>X</b>	
<i>Regulation Surrounding Digital Assets and Cryptocurrency</i>	21504	21489	<b>X</b>	
<i>Sustainability and Beyond: A Guide to the ABCs of ESG Investing</i>	21501	21511	<b>X</b>	
<i>The Future of AI and Concerns Over Conflicts of Interest</i>	21508	21491		
<i>The Risks Associated with Off-Channel Communications</i>	21498	21485	<b>X</b>	
The SEC's Marketing Rule	19331	19332		
<i>Trading Practices for Investment Advisors</i>	21503	21488	<b>X</b>	
<i>Understanding and Implementing the New Marketing Rule</i>	21497	21483	<b>X</b>	
<i>Understanding Client Suitability Principles</i>	21507	21490	<b>X</b>	<b>X</b>
Working with Millennial Investors	19324	19327		



## Individual Courses

### **A Review of the Custody Rule (Dual Credit)**

IAR CE Course ID - 19219 | CFP Dual Credit Course ID - 19227 | Credit Type - Products & Practices

This course will review the custody rule, the amendments to it over the years, the different triggers for custody, and who is a qualified custodian. By the end of the course, students will have a better understanding of what it means to take custody, the impact of this, and the regulations surrounding being a custodian.

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### **An In-Depth Look at IAR Ethics (Dual Credit)**

IAR CE Course ID - 19220 | CFP Dual Credit Course ID - 19232 | Credit Type - Ethics

This course is intended for registered representatives, primarily investment advisors, including their compliance staff and supervisors. This IAR Ethics course provides an in-depth look at the history and characteristics of ethics as it applies to the financial industry and particularly investment advisers. It's also a look at ethics as a general business topic and how ethics, morality, and fraud intersect. Topics include the standards by which a professional should be judged, ethical regulations and rule of law, case studies, new continuing education platform, and what might be ahead for ethical standards.

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### **An Overview of the SEC's Marketing Rule (Dual Credit)**

IAR CE Course ID - 19221 | CFP Dual Credit Course ID - 19231 | Credit Type - Products & Practices

This course covers the SEC's Marketing Rule and its impact on advisors; including conditions surrounding investment performance advertising, testimonials and endorsements, and prohibited practices. The course will also review how communication should be handled on social media in light of the rule. By the end of the course, learners will be able to summarize the new marketing rule's key components effectively.

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### **Annual AML Update 2023 (Dual Credit)**

IAR CE Course ID - 19222 | CFP Dual Credit Course ID - 19230 | 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, a new FinCEN



## Individual Courses

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.

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### Compliance for the New Investment Advisor (Dual Credit)

IAR CE Course ID - 19223 | CFP Dual Credit Course ID - 19226 | Credit Type - Products & Practices

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 advisors.

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### **NEW!** Creating Respectful Workplaces: Prevention of Sexual Harassment

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.

### Cybersecurity 2023 (Dual Credit)

IAR CE Course ID - 19224 | CFP Dual Credit Course ID - 19228 | Credit Type - Products & Practices

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 advisors on steps to reduce risk, as well as the consequences to firms for failing to protect against cybersecurity threats.

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## Individual Courses

### **NEW! Enhanced AML Protocols and Investment Advisor Responsibilities (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 Concerns for the Financial Services Industry (Dual Credit)**

IAR CE Course ID - 19225 | CFP Dual Credit Course ID - 19229 | Credit Type - Ethics

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.

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### **NEW! 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.



## Individual Courses

### **NEW! Ethically Serving Senior & Vulnerable Investors (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.

### **NEW! Ethics for Advisors: Compliance with Fiduciary Standards (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.

### **Ethics for the Financial Services Professional - Vol. 1 (Dual Credit)**

IAR CE Course ID - 19318 | CFP Dual Credit Course ID - 19325 | Credit Type - Ethics

This course is intended for registered representatives, investment advisors, 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. Additionally, the course introduces the basics of the Investment Adviser’s Act and is intended for Investment Advisors, Investment Advisor Representatives, and





## Individual Courses

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 Adviser Act.

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### **Ethics for the Financial Services Professional - Vol. 2 (Dual Credit)**

IAR CE Course ID - 19319 | CFP Dual Credit Course ID - 19326 | Credit Type - Ethics

This course is intended for registered representatives, investment advisors, 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. Additionally, the course introduces the basics of the Investment Adviser's Act and is intended for Investment Advisor's, Investment Advisor 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 Adviser Act.

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### **Ethics for the Financial Services Professional - Vol. 3 (Dual Credit)**

IAR CE Course ID - 19320 | CFP Dual Credit Course ID - 19330 | Credit Type - Ethics

This course is intended for registered representatives, investment advisors, 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. 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 Adviser Act.

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## Individual Courses

### **Ethics for the Financial Services Professional - Vol. 4 (Dual Credit)**

IAR CE Course ID - 19321 | CFP Dual Credit Course ID - 19329 | Credit Type - Ethics

This course is intended for registered representatives, investment advisors, 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. 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 Adviser Act.

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### **Ethics for the Financial Services Professional - Vol. 5 (Dual Credit)**

IAR CE Course ID - 19322 | CFP Dual Credit Course ID - 19328 | Credit Type - Ethics

This course is intended for registered representatives, investment advisors, 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. 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 Adviser Act.

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### ***NEW!* Investment Advisor Integrity: Exploring the Code of Ethics (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.



## Individual Courses

### **NEW! Reg BI Essentials: A Comprehensive Guide for Investment Advisors (Dual Credit)**

IAR CE Course ID - 21506 | CFP Dual Credit Course ID - 21487 | 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.

### **NEW! Regulation Surrounding Digital Assets and Cryptocurrency (Dual Credit)**

IAR CE Course ID - 21504 | CFP Dual Credit Course ID - 21489 | 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.

### **NEW! Sustainability and Beyond: A Guide to the ABCs of ESG Investing (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.



## Individual Courses

### **NEW! The Future of AI and Concerns Over Conflicts of Interest (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.

### **NEW! The Risks Associated with Off-Channel Communications (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.

### **The SEC's Marketing Rule (Dual Credit)**

IAR CE Course ID - 19331 | CFP Dual Credit Course ID - 19332 | Credit Type - Products & Practices

This course covers the SEC's Marketing Rule and its impact on advisors; including conditions surrounding investment performance advertising, testimonials and endorsements, and prohibited practices. The updates made to the books and records/recordkeeping Rule 204(2) will also be covered in addition to important compliance dates. By the end of the course, learners will be able to summarize the new marketing rule's key components effectively.

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## Individual Courses

### **NEW! Trading Practices for Investment Advisors (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.

### **NEW! Understanding and Implementing the New Marketing Rule (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 about the implementation process from announcement to compliance.

### **NEW! Understanding Client Suitability Principles (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



## Individual Courses

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.

### **Working with Millennial Investors (Dual Credit)**

IAR CE Course ID - 19324 | CFP Dual Credit Course ID - 19327 | 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 US 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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