



Investment Adviser Representative Continuing Education (CE) Course Provider Application

General Provider Requirements

Have you or has anyone participating in this CE program ever been sanctioned? YES NO [] []

If you are currently under sanctions or if you have been sanctioned in the past, please provide some detail regarding that circumstance.

Four horizontal lines for providing details regarding sanctions.

How long have you been working in the securities industry or regulation of the securities industry?

One horizontal line for providing duration of work in the securities industry.

How long have you been delivering continuing education or compliance services in the securities industry?

One horizontal line for providing duration of delivering continuing education or compliance services.

Do you currently offer a course evaluation survey or collect satisfaction data for the course(s) you offer? YES NO N/A [] [] []

Will you be able to offer course evaluation or satisfaction surveys for the courses you offer under this program? YES NO [] []

Do you currently offer a test or an assessment of knowledge, skill, or competency for the course(s) you offer? YES NO N/A [] [] []

Will you be able to offer a test or an assessment of knowledge, skill, or competency for the courses you offer under this program? YES NO

Do you foresee any issue using the course naming conventions prescribed by NASAA and NASAA's industry partners? YES NO

Do you agree to refrain from using words such as "certified" or "accredited" and from offering certificates or accreditations? YES NO

Do you agree to add the following disclaimer to all courses, promotions, and marketing that you offer? YES NO

Disclaimer: *"NASAA does not endorse any particular provider of CE courses. The content of the course and any views expressed are my/our own and do not necessarily reflect the views of NASAA or any of its member jurisdictions."*

Professional Experience

In the space below, please provide a statement regarding your professional experience and why you are qualified to offer a program or courses in the area for which you have applied.

Note: If you are an individual, please attach your resume or vitae (CV) with your application. If this application is for an organization, please provide a corporate or an organizational overview.

Course Curriculum

Provide a list of your curriculum and the individual course(s) that you feel meet the requirements of the Investment Adviser Representative CE program.

For each course you list, please provide the title and a one- or two-sentence description of the course. If you need more space, feel free to submit an attachment or reference an addendum to complete this section.

More information will be collected about the course(s) when they are officially submitted and evaluated. Please wait until you are an approved Investment Adviser Representative CE Course Provider before submitting instructors and courses for approval.

Example:

Title: *Fiduciary Obligations and Ethical Practices*

Course Description: *This course will cover how to always act in clients' best interests irrespective of other financial services provided. This includes topics such as compensation, discretion and trading authorization, standards and suitability, anti-money laundering, custody conditions and obligations, conflicts of interest, deceptive practices, and business continuity.*

Products and Practice Courses

Title: _____

Course Description: _____

Title: _____

Course Description: _____

Ethics and Professional Responsibility Courses

Title: _____

Course Description: _____

Title: _____

Course Description: _____

Program Improvement

As an Investment Adviser Representative CE Provider, you will need to review your course content on a regular basis and revise that content as needed to keep up with industry knowledge, financial rules, regulations, and other information relevant to the course.

How do you plan to evaluate your course(s) for needed revision and improvement?

How often do you review your course material, and have you revised it?

Conflict of Interest and Promotions Disclosure

Note: A potential or actual conflict of interest (COI) exists when your commitments and obligations as a Course Provider are likely to be compromised by other material interests or relationships (especially economic), particularly if those interests or relationships are undisclosed.

This COI Form indicates whether the Course Provider has an economic interest in, or acts as an officer or a director of any outside entity whose financial interests would reasonably appear to be affected by the continuing education courses being provided. This includes and is not limited to promoting certain products or services above others—especially those products and services with which the Course Provider may be related, associated, or in a position to either personally or professionally gain from promoting.

Please describe below any relationships, transactions, positions (volunteer or otherwise), or circumstances that you believe could contribute to a conflict of interest:

I have a conflict of interest to report. YES NO

If you answered “Yes” above, please specify or disclose the conflict of interest(s) and provide a detailed explanation as to how you will mitigate the conflict.

1. _____
2. _____
3. _____

Do you certify that the information you have provided regarding conflicts of interest is true and accurate to the best of your knowledge? YES NO

Signature: _____

Date: _____

Environment and Infrastructure

It is important that each Course Provider provide information about the environment and infrastructure that you have available to support the course delivery as described (infrastructure, resources, facilities, and so on).

Do you plan to offer face-to-face instructor-led training (ILT) courses? YES NO

If so, please indicate the number of rooms you have, room capacity, and the tools and technologies available to aid you in presenting content and educating investment adviser representatives (IARs).

Do you plan to offer virtual instructor-led training (vILT) courses? YES NO

If so, please indicate the tools and technologies available to aid you in presenting content and educating IARs.

Do you plan to offer eLearning or web-based content as a self-study course? YES NO

If so, please indicate the tools and technologies available to aid you in presenting content and educating IARs.

Please indicate any other kind of course or delivery method that you have planned as a CE Course Provider and indicate the tools and technologies available to aid you in presenting content and educating IARs.

Learning Management: Registration and Attendance Policies

Please provide a plan for the management of IAR registration and the recording of attendance, including policies for each.

This includes a way to both verify attendance and document that attendance on course rosters, which would then be submitted for CE credits upon verification of course completion.

All policies must include a plan to keep all attendance and course completion records for a minimum of five years.

Policies will be submitted along with one example of a roster that demonstrates the tracking and reporting of both attendance and course completion.

Do you have a registration process and policy, and has it been provided as part of this application? YES NO

How do you plan to collect registrations for the courses you offer?

Do you have a way of documenting attendance, and has your attendance policy been provided as part of this application? YES NO

How do you plan to record attendance for the courses you offer?