

Continuing Education (CE) Course Instructor Application

General Instructor Requirements

Are you currently in good standing and free of sanctions, either past or present?

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

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

Which of the following requirements do you meet?

Note: You must meet at least one; select all that apply.

Three years' experience within the past five years in the course subject matter.

A college degree in the subject being taught, which qualifies you as an instructor.

A license or a recognized professional designation related to the subject matter being taught.

I am qualified in some other way. (Please expand on this on the lines below, indicating why you are a qualified instructor. You may be asked for additional information if you select this option)

Conflict of Interest and Promotions Disclosure

A potential or actual conflict of interest (COI) exists when your commitments and obligations as a Course Instructor 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 Instructor 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 Instructor 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.

If you answered “Yes” above, please specify or disclose the conflict of interest(s) and explain how you will mitigate the conflict.

Notes:

Do you certify that the information you have provided regarding conflicts of interest is true and accurate to the best of your knowledge?

Signature:

Date:

Course Provider Requirements for Instructors

The following Course Provider requirements also apply to Course Instructors:

- Course Instructors must offer at least one competency-based assessment per course.
- Course Instructors must offer a satisfaction survey that includes evaluation of both the course content and the course instructor.
- Course Instructors will work with the Course Provider to ensure that the appropriate environment or infrastructure is available to deliver education.
- Course Instructors will refrain from using words such as “certified” or “accredited” and will refrain from offering NASAA certificates or accreditations because of an IAR taking the course.
- Course Instructors will add the following disclaimer to all courses, promotions, and marketing that they offer.”

“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.”

Do you agree to abide both the general and provider requirements outlined in the *NASAA CE Program* handbook and on the website?

Signature:

Date: