



# NASAA

NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION

## Continuing Education (CE) Course Provider Application

### **General Provider Requirements**

Have you or has anyone participating in this CE program ever been sanctioned?

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?

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

Do you currently offer a course evaluation survey or collect satisfaction data for the course(s) you offer?

Will you be able to offer course evaluation or satisfaction surveys for the courses you offer under this program?

Do you currently offer a test or an assessment of knowledge, skill, or competency for the course(s) you offer?

Will you be able to offer a test or an assessment of knowledge, skill, or competency for the courses you offer under this program?

Do you foresee any issue using the course naming conventions prescribed by NASAA and NASAA's industry partners?

Do you agree to refrain from using words such as "certified" or "accredited" and from offering certificates or accreditations?

Do you agree to add the following disclaimer to all courses, promotions, and marketing that you offer?

**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.

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.

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:

## **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 fact-to-face instructor led training (ILT) courses?

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?

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

Do you currently have a company website and/or website portal for continuing education?

If so, please list those relevant website addresses in the space provided below. Please include your company main site and any additional websites or online portals specific to education.



Do you plan to offer eLearning or web-based content as a self-study course?

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 Provide and indicate the tools and technologies available to aid you in presenting content ad 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?

How do you plan to collect registration 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?

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