IAR Continuing Education Course Application

**Questions marked with an asterisk are required, all others are optional.*

General Information

1. Course Title: *
2. URL to access course:
3. Course Description: *
4. Course Content Area: *
    - Ethics & Professional Responsibility
    - Products and Practice

5. Subject Matter Topics: * (*Select all that apply*)
    - Advertising/Marketing Rule
    - Alternative Products
    - AML
    - Annuities
    - Audits
    - Best Interest/Form CRS
    - Bonds/Debt Securities
    - Business Continuity Plans/Succession Plans
    - Client Relationships
    - Conflicts of Interest
    - Continuing Education
    - Custody
    - Cybersecurity
    - Digital Assets
    - Disclosures
    - Discretion/Trading Authorization
    - Equities
    - Ethics
    - Fee/Compensation Models
    - Fiduciary Duty

- Financial Crime
- Financial Planning
- Forms (ADV/CRS/U4)
- General Advisory
- Generational Planning
- Insurance
- Investment Advisory Services
- Investment Planning
- Neurodivergent Clients
- Portfolio Management
- Professional Conduct
- Regulations
- Retirement Planning
- Securities Products
- Seniors, Elders, or Vulnerable Adults
- Suitability
- Tax
- Third-Party Platforms
- Other

6. Level of Complexity: *
    - Overview/Beginner
    - Intermediate
    - Advanced

7. Number of Credits Applying for: *
    - 0.5-6, in increments of 0.5

Course Format

1. How often will the course be offered? *
    - On Demand
    - Scheduled Date
        i. Enter course date(s), if known. *(Provider may leave the specific dates blank if unknown)*

2. Self-Study or Instructor-Led? *(select all that apply)* *
    - Self-Study (Material is not guided by live instruction)
    - Instructor-Led (Material is guided in real time by a live instructor)

3. Self-study format:
    - Video/recorded webinar
    - eLearning module (self-paced format with audio or interactive components)
    - Podcast
    - Text-Only (no audio or interactive components)

4. Instructor-led format:
    - In-person seminar/event
    - Live webinar/online presentation
        - Certify: A live instructor will be present for the entirety of the course *
    - This course is part of a multi-day course live conference event that will take place on one day or consecutive days. A course application will be submitted for each individual course. Each course will be assigned a unique Course ID and participants can attend one or several sessions for Credit.
        - Select Conference *(Please contact NASAA to add a new conference option)*
    - Instructor Name
    - Instructor Title and Employer

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Other Information

1. Verification of Identification: Please describe the policies and procedures the provider intends to implement to verify the identification of IARs who attend the course: *

2. List Course Objectives: *

3. Course outline: * **(document upload)**
4. Assessment:
   - Instructor-Led
     i. List elements of engagement (1 per credit) *

   - Self-Study
     i. Please upload the self-study assessment document **(document upload)** *
     ii. Certify: The Provider agrees to adhere to the assessment requirements which require an IAR to score at least 70% within three attempts to be considered a passing score*

5. Is this course approved for any of the following professional designations? *(Select all that apply)* *
    - CFP
    - CFA
    - ChFC
    - PFS
    - CIMA
    - Insurance *(select all jurisdictions that apply)*
    - None

6. Course access type: *
    - General public (anyone can pay the course fee and take the course)
    - General public, no fee (course is free for anyone to attend)
    - Subscription fee (only IARs who subscribe to our education services package can take this course)
    - Members only (only members of our firm/organization can take this course)

7. Should this course be listed in the public course catalog? * *(Yes/No)*

8. If this application intends to substantially alter an existing course (more than 25% of the content is being updated) or is to renew a course beyond the initial 5 years, please provide the existing course ID below. A new course ID will be issued upon application approval. *(Select existing Course ID/Name from a dropdown)*

9. Do you agree to add the following disclaimer to this course, and all 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." *

Certification

Certification Statement

This application is accurate and true to the best of my knowledge. *