



IAR CE Application Management System

Frequently Asked Questions

Applications

How will I receive updates about the status of my application?

Providers will receive an email notification from web@iarce.nasaa.org when there is a change in the status of an application, when NASAA sends a message regarding an application, or if an upcoming renewal deadline is approaching.

How do I make changes or corrections to a course?

Providers can submit an amendment to make minor changes to a course or update how the course is displayed in the course catalog. To open an amendment, select the *Courses* tab and then click on the course that needs updating. Then, scroll to the bottom of the course page and select *Open Amendment* in the *Details* section. Check the *Open Amendment* box and hit *Submit*. From here, Providers can make updates to the course application, including the course's name. Continue through the application, preview your responses, sign off on the changes, and click *Submit*. NASAA will review the changes, and approved updates will take effect after NASAA approves the amendment.

What information is needed on the Course Outline?

At a minimum, course outlines must provide a breakdown of the course topics with either the time that will be spent on each topic or the word count for each topic for text-based courses. NASAA has posted [sample outlines](#) for reference, though Providers are welcome to choose their own format.

Do instructors need to be approved?

There is no separate application or approval process for instructors. For instructor-led courses, Providers must indicate the name, title, and organization of the course instructor on the course application. Additionally, Providers must keep a CV on file for any instructor in case NASAA requests instructor qualifications during a course audit.

What is the turnaround time for application review?

While reviews are often completed much sooner, Providers should allow 30 calendar days for NASAA to complete the review process.

Conferences

Can conferences qualify for IAR CE?

Yes, conference sessions can qualify for IAR CE approval. The organization hosting the conference would first need to become an Approved Provider by submitting a Provider Application in the AMS. Please email iarce.providers@nasaa.org for additional guidance on conferences. Note that courses submitted as part of a conference are not renewable and will automatically retire after one year.

How much is the application fee for a conference?

Conference application fees are capped at \$1,000. Providers must first reach out to NASAA at iarce.providers@nasaa.org to discuss conference details and to establish the conference in the AMS. Once the conference is established in the AMS, the Provider will submit course applications as usual with the added step of indicating the conference on the Course Application's drop-down menu. The Provider will be charged the standard \$250 for the first four applications. The fifth and subsequent applications associated with the conference will have a \$0 charge. Note that courses submitted as part of a conference are not renewable and will automatically retire after one year.

Is there a limit to the number of course applications that can be submitted as a part of a conference?

Yes, conference events may offer up to eight IAR CE credits per day, with a maximum of 32 credits over five consecutive days. Note that once that limit is reached, the system may still allow Providers to submit course applications attributed to the conference, but they would not be processed for approval.

Payments

Is it possible to pay for more than one course renewal at a time?

No, courses must be renewed individually. Renewal payments may be made up to 90 days before the renewal date, at which point users can scroll to the right side of the *Course Dashboard*, and select the renewal option from the drop-down menu of the *Actions* column.

Can I save my payment information in the AMS?

No, payment information is not stored in the AMS and cannot be shared across user accounts, even within the same organization.

Is it possible to get a refund of my course application fee?

All AMS fees are non-refundable. This includes courses that are denied or submitted in error or duplicate. However, NASAA will work closely with Providers to ensure any application deficiencies are communicated and allow Providers the opportunity to submit application updates before denial.

Accessing the AMS and Account Management

How many user accounts can my organization have?

Each Provider can have up to two Admin Accounts. All Admin Accounts must be set up by the NASAA IAR CE team. Once the Admin Account is created, the Provider Admin will be able to create and deactivate Standard User Accounts. There is no limit to the number of Standard Accounts a Provider can create.

How do I create additional user accounts for my organization?

Standard User Accounts can be added through the *Account Management* dashboard. In *Account Management*, Admin users can select *Create User Account* and fill in the new user's name and email address, select *Provider Standard* from the *Role* drop-down box, and then click *Submit*. This will trigger a system invitation to be sent to the new user's email address with instructions on how to complete the setup process.

Which system notification emails will each user account receive?

Generally speaking, users designated as Provider Admins will receive **all** email notifications (status changes, application approvals, payment confirmations, renewal reminders, etc.). Standard User Accounts will receive the same email notifications but only for the courses they individually submitted. Audit emails are the exception; audit emails only go to the Provider Admins.

Disclaimers and Advertising

I have submitted a Course Application in the AMS, but it is still under review by the NASAA IAR CE team. Can I offer the course for IAR CE credit before it has been approved?

Providers can offer a course before receiving IAR CE approval, however, the Provider must clearly inform attendees that the course has not been approved for IAR CE and IAR CE credit cannot be guaranteed.

Reporting Course Completions to FINRA

How do I submit course completion rosters?

FINRA is NASAA's vendor for processing course completion records and applying IAR CE credits to an IAR's transcript. NASAA notifies FINRA of each new IAR CE Provider. FINRA will then reach out to new Providers to assist them with onboarding to FINRA Gateway, the platform used to upload course completion rosters.

Providers should contact FINRA directly at iarcesupport@finra.org for assistance with onboarding to FINRA Gateway or with IAR CE reporting issues.