

# 2025 IACCP® Calendar of Events

COMPLY™



Register through the IACCP Resource Center [portal](#).

*Note: All sessions are at 1 – 3 p.m. Eastern (unless otherwise noted).*

C IA Core    I IACCP  
E Elective    T Testable Content

DATE / TIME (ET)	COURSES	CODE	REQUIRED	LOCATION
Jan. 9	Investment Adviser Marketing Rule	DIS03	<span style="background-color: #c8e6c9; padding: 2px;">I</span> <span style="background-color: #e0e0e0; padding: 2px;">T</span>	Online
Jan. 14 1 – 4 p.m.	IACCP Exam Study Session		Optional	Online
Jan. 16	Trading Practices, Portfolio Compliance and Related Enforcement Cases	TRA01	<span style="background-color: #c8e6c9; padding: 2px;">I</span> <span style="background-color: #e0e0e0; padding: 2px;">T</span>	Online
Jan. 21	Managing Technology for Traditional and Off-Channel Communication	ELC	<span style="background-color: #c8e6c9; padding: 2px;">I</span> <span style="background-color: #e0e0e0; padding: 2px;">E</span>	Online
Jan. 23	Critical Skills for High-Performance Compliance Professionals	SKL01	<span style="background-color: #c8e6c9; padding: 2px;">I</span>	Online
<b>February 4 – 7</b>	<b>Virtual Investment Adviser Core Compliance (IA Core) Symposium</b>			
Feb. 4 10 a.m. – 12 p.m.	Introduction to the Advisers Act: Framework, Registration, Exclusions and More	AA01	<span style="background-color: #c8e6c9; padding: 2px;">C</span> <span style="background-color: #c8e6c9; padding: 2px;">I</span> <span style="background-color: #e0e0e0; padding: 2px;">T</span>	Online
Feb. 4 1 – 3 p.m.	Form ADV Part 1: Annual Updating Amendment and More	DIS01	<span style="background-color: #c8e6c9; padding: 2px;">C</span> <span style="background-color: #c8e6c9; padding: 2px;">I</span> <span style="background-color: #e0e0e0; padding: 2px;">T</span>	Online
Feb. 5 10 a.m. – 12 p.m.	Books and Records Requirements for Investment Advisers	AA02	<span style="background-color: #c8e6c9; padding: 2px;">C</span> <span style="background-color: #c8e6c9; padding: 2px;">I</span> <span style="background-color: #e0e0e0; padding: 2px;">T</span>	Online
Feb. 5 1 – 3 p.m.	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers <i>*Does not qualify for IACCP Ethics CE credits.</i>	ETH01	<span style="background-color: #c8e6c9; padding: 2px;">C</span> <span style="background-color: #c8e6c9; padding: 2px;">I</span> <span style="background-color: #e0e0e0; padding: 2px;">T</span>	Online
Feb. 5 3:15 – 5:15 p.m.	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	<span style="background-color: #c8e6c9; padding: 2px;">C</span> <span style="background-color: #c8e6c9; padding: 2px;">I</span> <span style="background-color: #e0e0e0; padding: 2px;">T</span>	Online
Feb. 6 10 a.m. – 12 p.m.	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	<span style="background-color: #c8e6c9; padding: 2px;">C</span> <span style="background-color: #c8e6c9; padding: 2px;">I</span> <span style="background-color: #e0e0e0; padding: 2px;">T</span>	Online
Feb. 6 1 – 3 p.m.	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02	<span style="background-color: #c8e6c9; padding: 2px;">C</span> <span style="background-color: #c8e6c9; padding: 2px;">I</span> <span style="background-color: #e0e0e0; padding: 2px;">T</span>	Online
Feb. 6 3:15 – 5:15 p.m.	Advisers Act Anti-Fraud Rules: Custody, Political Contributions and Proxy Voting Requirements	AA05	<span style="background-color: #c8e6c9; padding: 2px;">C</span> <span style="background-color: #c8e6c9; padding: 2px;">I</span> <span style="background-color: #e0e0e0; padding: 2px;">T</span>	Online
Feb. 7 10 a.m. – 12 p.m.	Professional Ethics: Ethical Decision-Making for Compliance Professionals <i>*Qualifies for IACCP Ethics CE credits.</i>	ETH02	<span style="background-color: #c8e6c9; padding: 2px;">C</span> <span style="background-color: #c8e6c9; padding: 2px;">I</span> <span style="background-color: #e0e0e0; padding: 2px;">T</span>	Online
Feb. 7 1 – 3 p.m.	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06	<span style="background-color: #c8e6c9; padding: 2px;">C</span> <span style="background-color: #c8e6c9; padding: 2px;">I</span> <span style="background-color: #e0e0e0; padding: 2px;">T</span>	Online

Note: All sessions are at 1 – 3 p.m. Eastern (unless otherwise noted).

DATE / TIME (ET)	COURSES	CODE	REQUIRED	LOCATION
Feb. 26 2 – 3 p.m.	IACCP Designee Roundtable <i>*This free event is only open to IACCP Designees in good standing</i>			Online
Mar. 4	Mandates Beyond the Advisers Act: AML, ERISA, & '34 Act Reporting	MAN01	I T	Online
Mar. 6	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft and Cybersecurity	MAN02	I T	Online
Mar. 11	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage	TRA02	I T	Online
Mar. 13	Reg Best Interest, DOL Fiduciary Rule, and the Impact of SEC Risk Alerts	ELC	I E	Online
Mar. 20	Two Trading Compliance Challenges: Valuation and Trade Errors	TRA03	I T	Online
Mar. 25	Introduction to the Advisers Act: Framework, Registration, Exclusions and More	AA01	C I T	Online
Apr. 8	Form ADV Part 1: Annual Updating Amendment and More	DIS01	C I T	Online
Apr. 10	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02	C I T	Online
Apr. 15	Books and Records Requirements for Investment Advisers	AA02	C I T	Online
Apr. 17	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers <i>*Does not qualify for IACCP Ethics CE credits.</i>	ETH01	C I T	Online
Apr. 22	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	C I T	Online
Apr. 24 1 – 4 p.m.	IACCP Exam Study Session		Optional	Online
Apr. 30 2 – 3 p.m.	IACCP Designee Roundtable <i>*This free event is only open to IACCP Designees in good standing</i>			Online
<b>May 13 – 16</b>	<b>IACCP Program Symposium at the University of Chicago Gleacher Center</b>			
May 13 12:45 – 2:45 p.m.	Mandates Beyond the Advisers Act: AML, ERISA, & '34 Act Reporting	MAN01	I T	In-Person
May 13 3 – 5 p.m.	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft and Cybersecurity	MAN02	I T	In-Person
May 14 8:15 – 10:15 a.m.	Trading Practices, Portfolio Compliance and Related Enforcement Cases	TRA01	I T	In-Person
May 14 10:30 a.m. – 12:30 p.m.	Trading Compliance: Best Execution, Soft Dollars and Directed Brokerage	TRA02	I T	In-Person
May 14 2 – 4 p.m.	Regulation S-P and Information Security Updates: Evolving Regulatory Framework, Industry Expectations, and Accompanying Challenges 	ELC	I E	In-Person
May 15 8:15 – 10:15 a.m.	Two Trading Compliance Challenges: Valuation and Trade Errors	TRA03	I T	In-Person

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DATE / TIME (ET)	COURSES	CODE	REQUIRED	LOCATION
May 15 10:30 a.m. – 12:30 p.m.	Investment Adviser Marketing Rule	DIS03	I T	In-Person
May 15 2 – 4 p.m.	SEC Examination Updates / Performance Advertising: Hypothetical Performance and GIPS	ELC	I E	In-Person
May 16 8:15 – 10:15 a.m.	Critical Skills for High-Performance Compliance Professionals	SKL01	I	In-Person
May 16 10:30 a.m. – 12:30 p.m.	Professional Ethics: Ethical Decision-Making for Compliance Professionals <i>*Qualifies for IACCP Ethics CE credits.</i>	ETH02	C I T	In-Person
Jun. 3	Preparing for the New AML/CFT (and Possibly CIP)	ELC	I E	Online
Jun. 5	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	C I T	Online
Jun. 10	Advisers Act Anti-Fraud Rules: Custody, Political Contributions and Proxy Voting Requirements	AA05	C I T	Online
Jun. 12	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06	C I T	Online
Jun. 17	Professional Ethics: Ethical Decision-Making for Compliance Professionals <i>*Qualifies for IACCP Ethics CE credits.</i>	ETH02	C I T	Online
Jun. 24	Compliance Considerations: Elder Investors and Financial Exploitation	ELC	I E	Online
Jun. 25 2 – 3 p.m.	IACCP Designee Roundtable <i>*This free event is only open to IACCP Designees in good standing</i>			Online
<b>July 15 – 18</b>	<b>Virtual IACCP Program Symposium</b>			
Jul. 15 10 a.m. – 12 p.m.	Mandates Beyond the Advisers Act: AML, ERISA, & '34 Act Reporting	MAN01	I T	Online
Jul. 15 1 – 3 p.m.	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft and Cybersecurity	MAN02	I T	Online
Jul. 16 10 a.m. – 12 p.m.	Trading Practices, Portfolio Compliance and Related Enforcement Cases	TRA01	I T	Online
Jul. 16 1 – 3 p.m.	Trading Compliance: Best Execution, Soft Dollars Directed Brokerage	TRA02	I T	Online
Jul. 16 3:15 – 5:15 p.m.	Reg Best Interest, DOL Fiduciary Rule, and the Impact of SEC Risk Alerts	ELC	I E	Online
Jul. 17 10 a.m. – 12 p.m.	Two Trading Compliance Challenges: Valuation and Trade Errors	TRA03	I T	Online
Jul. 17 1 – 3 p.m.	Investment Adviser Marketing Rule	DIS03	I T	Online
Jul. 17 3:15 – 5:15 p.m.	Vendor Due Diligence with or without the Outsourcing Rule	ELC	I E	Online
Jul. 18 10 a.m. – 12 p.m.	Critical Skills for High-Performance Compliance Professionals	SKL01	I	Online

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DATE / TIME (ET)	COURSES	CODE	REQUIRED	LOCATION
Jul. 18 1 – 3 p.m.	Understanding Custody: Practical Examples for Safeguarding Client Assets	ELC		Online
Jul. 29 1 – 4 p.m.	IACCP Exam Study Session		Optional	Online
<b>August 12 – 15</b>	<b>Virtual Investment Adviser Core Compliance (IA Core) Symposium</b>			
Aug. 12 10 a.m. – 12 p.m.	Introduction to the Advisers Act: Framework, Registration, Exclusions and More	AA01		Online
Aug. 12 1 – 3 p.m.	Form ADV Part I: Annual Updating Amendment and More	DIS01		Online
Aug. 13 10 a.m. – 12 p.m.	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02		Online
Aug. 13 1 – 3 p.m.	Books and Records Requirements for Investment Advisers	AA02		Online
Aug. 13 3:15 – 5:15 p.m.	Investment Adviser Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers <i>*Does not qualify for IACCP Ethics CE credits.</i>	ETH01		Online
Aug. 14 10 a.m. – 12 p.m.	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03		Online
Aug. 14 1 – 3 p.m.	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04		Online
Aug. 14 3:15 – 5:15 p.m.	Advisers Act Anti-Fraud Rules: Custody, Political Contributions and Proxy Voting Requirements	AA05		Online
Aug. 15 10 a.m. – 12 p.m.	Compliance Programs Rules and Strategies for Managing Your Annual Review	AA06		Online
Aug. 15 1 – 3 p.m.	Professional Ethics: Ethical Decision-Making for Compliance Professionals <i>*Qualifies for IACCP Ethics CE credits.</i>	ETH02		Online
Aug. 27 2 – 3 p.m.	IACCP Designee Roundtable <i>*This free event is only open to IACCP Designees in good standing.</i>			Online
Sep. 4	Mandates Beyond the Advisers Act: AML, ERISA, & '34 Act Reporting	MAN01		Online
Sep. 9	Mandates Beyond the Advisers Act: Data Protection: Privacy, Identity Theft and Cybersecurity	MAN02		Online
Sep. 11	Regulation S-P and Information Security Updates: Evolving Regulatory Framework, Industry Expectations, and Accompanying Challenges	ELC		Online
Sep. 16	Introduction to the Advisers Act: Framework, Registration, Exclusions and More	AA01		Online
Sep. 18	Form ADV Part I: Annual Updating Amendment and More	DIS01		Online
Sept. 25	Managing Technology for Traditional and Off-Channel Communication	ELC		Online

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DATE / TIME (ET)	COURSES	CODE	REQUIRED	LOCATION
<b>Oct. 13 – 16, 2025</b>	<b>COMPLYConnect 2025 at the Eden Roc Miami Beach Resort</b>			
Oct. 15 1 – 3 p.m.	Professional Ethics: Ethical Decision-Making for Compliance Professionals <i>*Qualifies for IACCP Ethics CE credits.</i>	ETH02	C I T	In-Person and Online
Oct. 16 11:15 a.m. – 1:30 p.m.	Critical Skills for High-Performance Compliance Professionals	SKL01	I	In-Person and Online
Oct. 29	IACCP Designee Roundtable <i>*This free event is only open to IACCP Designees in good standing.</i>			Online
Oct. 30 1 – 4 p.m.	IACCP Exam Study Session		Optional	Online
Nov. 6	Form ADV Part 2 and 3: Identifying and Disclosing Conflicts	DIS02	C I T	Online
Nov. 11	Books and Records Requirements for Investment Advisers	AA02	C I T	Online
Nov. 13	Trading Practices, Portfolio Compliance, and Related Enforcement Cases	TRA01	I T	Online
Nov. 18	Trading Compliance: Best Execution, Soft Dollars, and Directed Brokerage	TRA02	I T	Online
Nov. 20	Investment Advisers Codes of Ethics: The Rule Plus Implications of Gifts and Whistleblowers <i>*Does not qualify for IACCP Ethics CE credits.</i>	ETH01	C I T	Online
Nov. 25	RIA Year-End Compliance Check-up	ELC	I E	Online
Dec. 2	Two Trading Compliance Challenges: Valuation and Trade Errors	TRA03	I T	Online
Dec. 4	Two Persistent Compliance Challenges: Insider Trading and Advisory Contracts	AA03	C I T	Online
Dec. 9	Understanding Fiduciary Duties and a Sweep of Certain Anti-Fraud Provisions of the Advisers Act	AA04	C I T	Online
Dec. 11	Investment Adviser Marketing Rule	DIS03	<del>C</del> I T	Online
Dec. 16	Advisers Act Anti-Fraud Rules: Custody, Political Contributions, and Proxy Voting Requirements	AA05	C I T	Online
Dec. 18	Compliance Professional Summit	ELC	I E	Online

Revised: ~~February 18, 2025~~

March 11