

## PROFESSIONAL DEVELOPMENT ENROLLMENT FORM

**Registration Information:** While there are no admission requirements, an enrollment form must be completed for the Investment Adviser Certified Compliance Professional (IACCP®) Program and the Investment Adviser Core Compliance (IA Core) Program.

|                         |                                   |
|-------------------------|-----------------------------------|
| <b>First Name:</b>      | <b>Last Name:</b>                 |
| <b>Title:</b>           | <b>Firm:</b>                      |
| <b>Address:</b>         |                                   |
| <b>City and State:</b>  | <b>Zip Code:</b>                  |
| <b>Phone:</b>           | <b>Email:</b>                     |
| <b>Years with Firm:</b> | <b>Years in Current Position:</b> |

### Designations:

COMPLY is an approved provider of continuing education credits for CFP®, CLE, and CPE.

| Designation                                    | Yes/No | State & ID # | State & ID # |
|--|--------|--------------|--------------|
| CFP®   |        |              |              |
| CLE  |        |              |              |
| CPE  |        |              |              |
| <b>Other Designations<br/>(Please specify)</b> |        |              |              |

*\*Confirmation of attendance and participation is required for all events where CFP®, CLE, and CPE credits are provided.*

### Application Acknowledgements

- I certify that I have completed \_\_\_ years and \_\_\_ months of investment adviser compliance work experience.
- I agree to the Enrollment Terms and Conditions ([click here](#)).
- I certify that all items on this application are answered correctly and completely. I understand that incomplete information, the withholding of information, or incorrect information may disqualify me from enrollment in the Professional Development Programs or may be the basis for my withdrawal or dismissal.

### Enrollment Declaration and Required Signatures (select one program below)

- Investment Adviser Core Compliance (IA Core) Program
  - I understand that completing all requirements of the IA Core program entitles me to a Certificate of Achievement.
- Investment Adviser Certified Compliance Professional® (IACCP®) Program
  - I understand that completing all requirements of the IACCP® program entitles me to the designation, Investment Adviser Certified Compliance Professional® (IACCP®).
- I agree to be bound by the IACCP® Code of Ethics and Professional Standards of Conduct (see attached).

Applicant's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Submit completed form via email to [nrstraining@comply.com](mailto:nrstraining@comply.com)

The IACCP® and IA Core Compliance programs are co-sponsored by COMPLY, and the Investment Adviser Association. The programs are administered by COMPLY Education.

## **INVESTMENT ADVISER CERTIFIED COMPLIANCE PROFESSIONAL® PROGRAM**

### **CODE OF ETHICS AND PROFESSIONAL STANDARDS OF CONDUCT**

Investment Adviser Certified Compliance Professional® (IACCP®) certificants and candidates for certification (hereinafter collectively referred to as “Designees”) hereby agree to adhere to the highest standards of ethical conduct prevailing within the investment adviser and broker-dealer compliance profession and should aspire to:

- Act with integrity, diligence and unwavering professionalism in carrying out the responsibilities that pertain to the activities of a compliance professional.
- Maintain and improve professional competence and knowledge of regulatory compliance requirements including but not limited to, all applicable laws, rules, and regulations of any governmental agency, regulatory body, or regulatory organization that oversees or regulates the Designee’s compliance activities.
- Promote and adhere to industry best practices in carrying out the responsibilities that pertain to the activities of a compliance professional.
- Not knowingly participate in or abet any violation of applicable laws, rules, and regulations.

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