



Investment adviser requirements



Quality content and courses



On-demand course selection

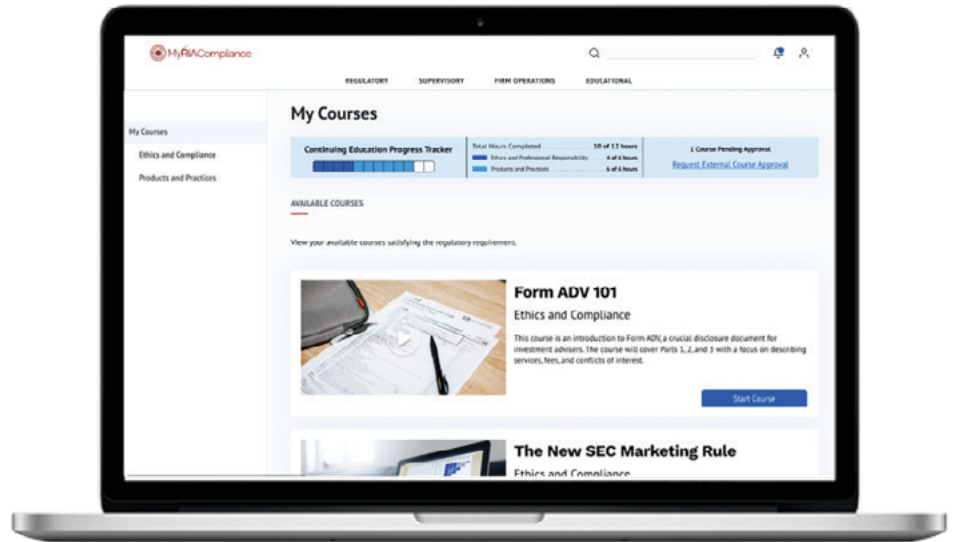


RIA in a Box Platform integration



IAR Continuing Education Program

COMPLY™ is an approved continuing education provider, with resources and training materials available on the RIA in a Box® Platform.



Create a culture of compliance one course at a time.

Every investment adviser representative (IAR) registered under section 404 of the 2002 Act (or 201 of the 1956 Act) must complete the following IAR continuing education requirements:

- Six credits annually in Ethics and Professional Responsibility (at least three of the six hours must cover Ethics)
- Six credits annually in Products and Practices
- Courses must be completed within the calendar year to remain registered and compliant in the IAR's state
- COMPLY will report the course completion to the Financial Industry Regulatory Authority (FINRA), the North American Securities Administrators Association's (NASAA) vendor for program tracking
- COMPLY is an approved course provider, and courses are NASAA-approved

Talk to an expert today!

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COMPLY™