



Compliance University

12-MONTH SYLLABUS



[770-462-2118](tel:770-462-2118) | info@myrialawyer.com

Compliance University

MONTH 1:

INTRODUCTION TO RIA COMPLIANCE

- Video Tutorial: 1 hour 13 minutes
- PowerPoint Overview
- Resources:
 - Expectations of Compliance
 - Regulation of Investment Advisers by the SEC
- Homework:
 - Complete the Inventory Workbook (Template Provided)

MONTH 2:

FORM ADV & DISCLOSURE REQUIREMENTS

- Video Tutorial: 33 minutes
- PowerPoint Overview
- Resources:
 - ADV Instructions
- Homework:
 - Review your ADV Part 1 & 2A using provided instructions

MONTH 3:

CODE OF ETHICS & INSIDER TRADING

- Video Tutorial: 31 minutes
- PowerPoint Overview
- Resources:
 - Simple Code of Ethics Template
 - Code of Ethics Risk Alert
 - Code of Ethics Template (Version 2)
- Homework:
 - Draft your firm's Code of Ethics



770-462-2118



info@myrialawyer.com



myrialawyer.com

MONTH 4:

BOOKS & RECORDS REQUIREMENTS, CORRESPONDENCE & STORAGE

- Video Tutorial: 25 minutes
- PowerPoint Overview
- Resources:
 - Electronic Messaging (OCIE Risk Alert)
 - SEC Enforcement Actions
 - Books & Records Quarterly Compliance Testing
 - Books & Records Risk Assessment
 - SEC Audit Requests
- Homework:
 - Perform your own Books & Records Risk Assessment

MONTH 5:

POLICIES & PROCEDURES DEVELOPMENT

- Video: 53 Minutes
- PowerPoint Overview: 2 Presentations
- Resources:
 - SEC Compliance Manual Template
 - Marketing Rule FAQs
 - Questions Advisers Should Ask When Reviewing Compliance Programs
 - Mid-sized RIAs (SEC FAQs)
- Homework:
 - Work on your firm's Compliance Manual
 - Identify and document internal compliance flaws

MONTH 6:

ANTI-MONEY LAUNDERING (AML) PROGRAM

- Video Tutorial: 53 Minutes
- PowerPoint Overview
- Resources:
 - FinCEN SAR Filing Website
 - FinCEN Main Page
 - OFAC Search Tool
 - 314(a) Filing System
 - 314(b) Filing System
 - AML Rule Overview
- Homework:
 - Complete your AML Program using provided Template

MONTH 7:

CYBERSECURITY & PRIVACY

- Video Tutorial: 43 minutes
- PowerPoint Overview
- Resources:
 - FINRA Cybersecurity Report
 - SEC Cybersecurity Report
 - Cybersecurity Overview – SEC
 - Cybersecurity Overview – FINRA
- Homework:
 - Create or update your Cybersecurity Incident & Response Plan

MONTH 8:

CUSTODY RULE

- Video Tutorial: 21 minutes
- PowerPoint Overview
- Resources:
 - Custody Rule Compliance Checklist
- Homework:
 - Conduct a Custody Rule Checklist review for your firm

MONTH 9:

ADVERTISING & MARKETING RULE

- Video Tutorial: 31 minutes
- PowerPoint Overview
- Resources:
 - Website and Social Media Review Info
 - Template Excel Spreadsheet
- Homework:
 - Perform a Marketing Rule Compliance Review and document findings

MONTH 10:

SUITABILITY, FIDUCIARY DUTY, AND BEST INTERESTS

- PowerPoint Overview
- Resources:
 - Advisory Fee Expense Compliance
 - In the matter of One Oak Capital Management, LLC and Michael DeRosa Administrative Proceedings
 - Suitability File Review Spreadsheet
- Homework:
 - Perform Suitability Review for Your Company Utilizing the Tools and Resources Provided.

MONTH 11:

CONFLICTS OF INTEREST & GIFTS

- PowerPoint Overview
- Resources:
 - OCIE Risk Alert- Conflicts of Interest
 - In the matter of Guggenheim Partners Investment Management, LLC (Litigation Release)
- Homework: Quiz:
 - A variety of real-life scenarios to determine how your Firm handles the issues vs how they should be handled.

MONTH 12:

ANNUAL COMPLIANCE REVIEW REQUIREMENTS

- PowerPoint Overview
- Resources:
 - Guide on How to Complete an Annual Compliance Program Review
- Homework:
 - Annual Review Spreadsheet: How does your business stack up?
 - What do you need to start doing?
 - What do you need to stop doing?
 - What do you need to keep doing?