

December 2022

QUARTERLY CLIENT NEWSLETTER



As 2022 comes to a close, we wish you Happy Holidays

and thank you for the opportunity to continue serving your firm. We hope it's a time filled with family, friends, rest, laughter, delicious food, and everything that brings you joy. As our client, you are incredibly important and we value your feedback. Please feel free to reach out if there are ways we can serve you better!

This year, we worked hard to expand our course catalog and offer a variety of **customized securities and swaps** courses. In addition, we **recently redesigned** our **Cybersecurity** course featuring video Q&A with the former CISO for the CIA, Bob Bigman. We also expanded our **AML** course that now addresses global standards and allows for optional content covering expectations for key jurisdictions.

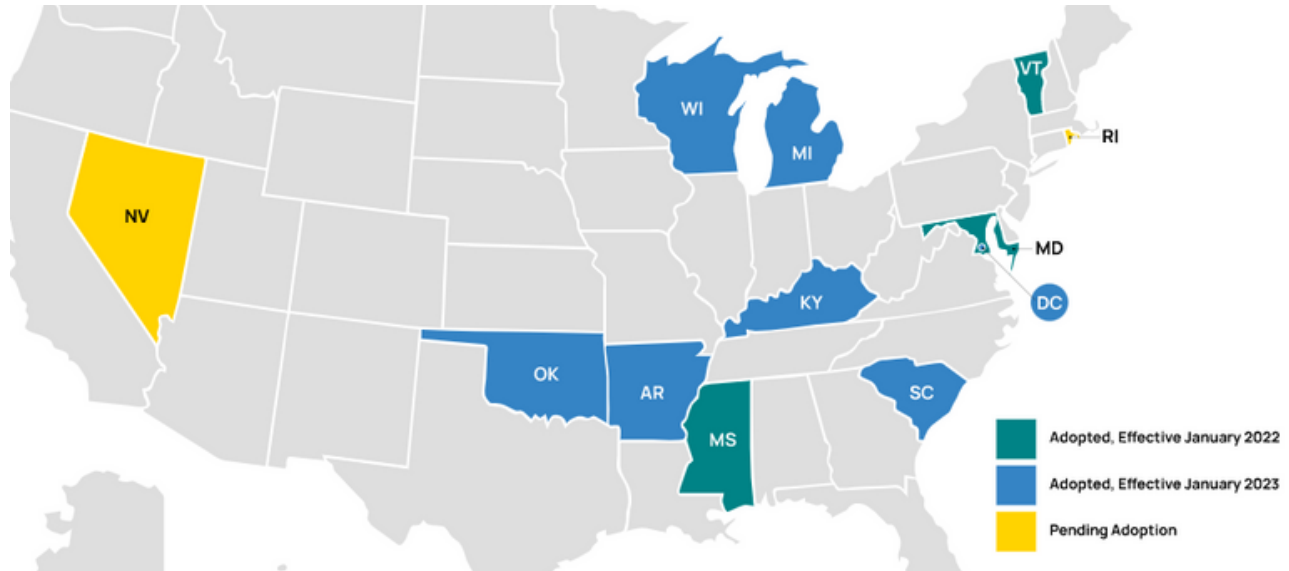
This fall, we **launched our ESG Policy** and look forward to continuing to develop it for many years. At Exchange Analytics, we consider ESG components in how we do business, including how we run our operations, provide service to our customers, support our employees and contribute to the community.

In 2023, some of our new offerings will include three **NASAA approved IAR CE courses**, and **brand new** training on **Sexual Harassment Prevention** and **Hostile Work Environment**. As we look to the coming year, we continue to invest in opportunities to provide you with even greater service, enhanced security features and regulatory compliance solutions.

Download Now!



NASAA IAR CE COURSES AVAILABLE IN JANUARY!



DID YOU KNOW WE ARE AN APPROVED PROVIDER OF IAR CE COURSES?

Exchange Analytics is now an approved provider of IAR CE courses for registered IARs of state-registered and federally covered investment advisers subject to the NASAA model rule. IARs are required to complete **12 CE credits annually** to maintain their IAR registration. The requirement includes SIX credits of Products and Practices content and SIX credits of Ethics and Professional Responsibility content. **Please let us know if you need assistance in obtaining IAR CE credit.**

WHICH COURSES DO WE OFFER?

Initial Futures Ethics

- 2 Credit-Hours

Periodic Futures Ethics (Institutional Version)

- 1 Credit-Hour

Swap Dealer Periodic

- 1 Credit-Hour

Why did NASAA create the model rule?

Approved by NASAA members in November 2020, the model rule was created to close a gap in required CE for IARs. Additionally, the rule was created to assist regulators in ensuring continued competency and to help IARs maintain and grow their knowledge base.

Who must comply with the IAR CE model rule?

Compliance starts with current and newly registered IARs in states that have adopted the model rule with an effective date of January 1, 2022. The rule applies to all registered IARs of both state-registered and federal covered investment advisers.