

WORKBOOK

Kitces IAR Ethics CE Day

Thursday, August 24, 2023



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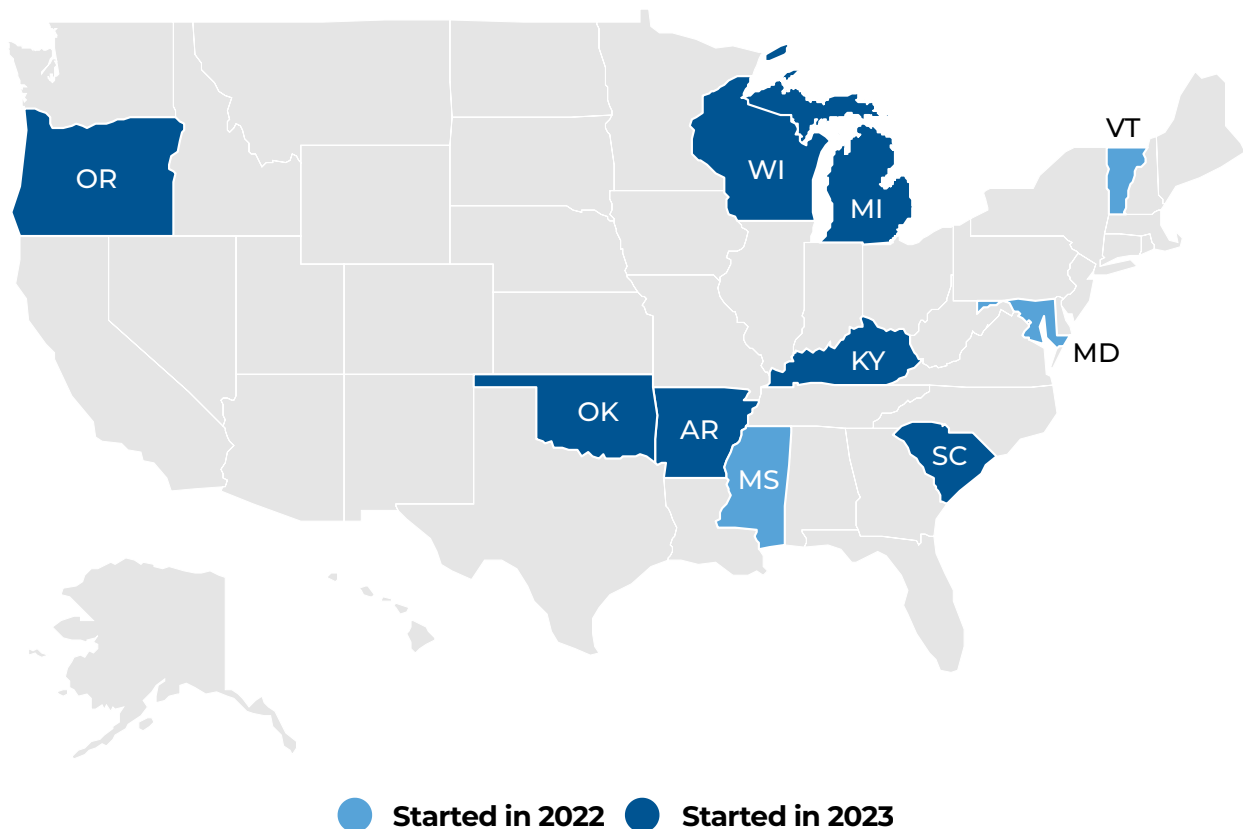
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Introduction

In 2022, a series of 7 states implemented the first-ever CE obligation for Investment Adviser Representatives (IARs), and in 2023 it was expanded to another 4 states. At its core, the new IAR CE obligation mandates that financial advisors earn 12 hours of continuing education credits each year – 6 hours on Products and Practice and 6 hours on their Ethics and Professional Responsibility. Any IAR who has more than the de minimis number of clients in any of the affected states is subject to the new rule.



CE Information

Kitces will report CE on your behalf to several organizations including the CFP Board, American College, IWI, and NASAA. There are 5 unique CE-approved sessions within the event.

To receive CE credit, you must:

- ✔ Complete all polls presented in each session to earn CE for that session. If you do not complete all the polls for a session, you will not receive CE credit for that portion of IAR CE Day.
- ✔ Provide your certification numbers at the point of registration. If you did not provide your certification numbers when you registered, please do so via [this form](#).

Completion certificates will be emailed to attendees who satisfy the requirements above no later than August 31, 2023.

To confirm your CE has been reported, we advise you to check the dashboard for the organizations where you have a certification after August 31, 2023.

Additional notes:

- ➡ Kitces *does not* report CE to any state-level organizations.
- ➡ Access to a recording is included in your registration.
- ➡ Watching the recording *does not* earn you CE.

If you have any questions, please contact members@kitces.com.

Agenda

Each guest will share information around ethics and regulation that is applicable to the situations you encounter every day with clients and in your practice.



Professional Ethics Obligations Of Financial Planners (CFP Ethics-Eligible)

Darin Shebesta

Vice President, Jackson Roskelley Wealth Advisors



What's Happening In Washington: The Current Policy Landscape For Financial Advisers

Karen Barr

President & CEO, Investment Adviser Association



Complying With The RIA Marketing Rule While Leveraging Testimonials & Endorsements

Chris Stanley

Founding Principal, Beach Street Legal LLC



Going Deeper On Taxes Compliantly: Tax Planning Vs. Tax Advice

Ben Henry-Moreland

Senior Financial Planning Nerd, Kitces.com

Common Compliance Deficiencies To Avoid: Panel Of Experts



Michael Kitces

Founder & Chief Financial Planning Nerd
Kitces.com



Scott P. Gill

Founder & CEO
Synergy RIA Compliance Solutions



Max Schatzow

Founder & Partner
RIA Lawyers LLC



Leila Shaver

Founder
My RIA Lawyer



Darin Shebesta

Professional Ethics Obligations Of Financial
Planners (CFP Ethics-Eligible)

Polls From This Session

Part 1

CFP Ethics Opening Poll
CFP Ethics Poll 1
CFP Ethics Poll 2
CFP Ethics Poll 3
CFP Ethics Poll 4

CFP Ethics Poll 5
CFP Ethics Poll 6
CFP Ethics Poll 7
CFP Ethics Poll 8
CFP Ethics Poll 9

Part 2

CFP Ethics Poll 10
CFP Ethics Poll 11
CFP Ethics Poll 12
CFP Ethics Closing Poll

Session Notes



Darin Shebesta

Professional Ethics Obligations Of Financial
Planners (CFP Ethics-Eligible)

Key Takeaways From This Session



Karen Barr

What's Happening In Washington: The Current Policy Landscape For Financial Advisers

Polls From This Session

Session 2 Opening Poll
Session 2 Closing Poll

Session Notes



Karen Barr

What's Happening In Washington: The Current Policy Landscape For Financial Advisers

Key Takeaways From This Session



Chris Stanley

Complying With The RIA Marketing Rule While
Leveraging Testimonials & Endorsements

Polls From This Session

Session 3 Opening Poll
Session 3 Closing Poll

Session Notes



Chris Stanley

Complying With The RIA Marketing Rule While
Leveraging Testimonials & Endorsements

Key Takeaways From This Session



Ben Henry-Moreland

Going Deeper On Taxes Compliantly:
Tax Planning Vs. Tax Advice

Polls From This Session

Session 4 Opening Poll
Session 4 Closing Poll

Session Notes



Ben Henry-Moreland

Going Deeper On Taxes Compliantly:
Tax Planning Vs. Tax Advice

Key Takeaways From This Session



Panel Of Experts

Common Compliance Deficiencies To Avoid
*with Michael Kitces, Scott P. Gill, Max Schatzow,
and Leila Shaver*

Polls From This Session

Session 5 Opening Poll
Session 5 Closing Poll

Session Notes



Panel Of Experts

Common Compliance Deficiencies To Avoid
*with Michael Kitces, Scott P. Gill, Max Schatzow,
and Leila Shaver*

Key Takeaways From This Session



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