

Webinar on

3 Webinar Courses Gives The Basic Knowledge Of Enterprise Risk Management And Set Of Rules And Regulations For Your Firms

Webinar Description

This bundled webinar gives a detailed knowledge of Preparing a Financial Industry Compliance Manual and Overall Annual Compliance Review, Rules, Regulations and Best Practices for Third Party Vendor Risk Assessment and Three Key Risk Assessments in Your ERM Program – ERM, IT, and Internal Controls

The webinar format is 1-1.5 hours audio-visual presentation, including a brief Q&A session.

This webinar bundle includes below 3 recorded webinars:

Preparing a Financial Industry Compliance Manual and Code of Ethics and the Overall Annual Compliance Review

Third Party Vendor Risk Assessment for Financial Firms - Rules, Regulations and Best Practices

Three Key Risk Assessments in Your ERM Program – ERM, IT, and Internal Controls



Preparing a Financial Industry Compliance Manual and Code of Ethics and the Overall Annual Compliance Review

Presented by Lisa M. Marsden, IACCP[®]

Building or Strengthening your firm's Compliance Program? Attend our virtual seminar on the best practices of preparing the manual, code of ethics and conducting the required annual review. You will receive tools to help build or strengthening your compliance program. The Compliance program shall be designed to prevent, detect, and correct violations of the Advisers Act. The overall compliance program must review those policies and procedures at least annually for their adequacy and the effectiveness of their implementation, and designate a chief compliance officer ("CCO") to be responsible for administering the firm's policies and procedures (under the "Compliance Rule" — Rule 206(4)-7). In order to have an effective Compliance Program Policies and Procedures must be created.



Third Party Vendor Risk Assessment for Financial Firms - Rules, Regulations and Best Practices

Presented by Lisa M. Marsden, IACCP®

Many cyber incidents have originated from a third party vendor. Has your firm conducted a review and risk assessment of the third-party vendors you rely on every day to provide services to your firm and your clients? Do you know what type of cyber risk these vendors may present? Do you know how to protect your firm's critical data? Conducting this risk assessment at least once a year is now a necessary component of running a successful compliance program and Business. Join us for this discussion and receive the necessary tools to start this process for your firm.



Three Key Risk Assessments in Your ERM Program – ERM, IT, and Internal Controls

Presented by Marci Malzahn

Financial Institutions provide great value to the American economy. But that value comes with risks. Strategic-minded institutions do not strive to eliminate risk or even to minimize it – they strive to manage risk at the enterprise-wide level. These institutions seek to manage risk exposure so that, at any given time, they incur just enough of the right kind of risk—no more, no less—to effectively pursue their strategic goals. This is referred to as “Optimal Risk-Taking.” This webinar will first take you through a step-by-step process to develop strong Risk Assessments to address key areas of your institution

This webinar is for participants who have a basic foundational knowledge of Enterprise Risk Management and are looking for specific examples on how to complete these three important Risk Assessments.



To register please visit:

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