

Webinar on

Third Party Vendor Risk Assessment For Financial Firms - Rules, Regulations And Best Practices

Learning Objectives

Why it is critical to prepare a Risk Assessment on the third parties

Types of questions to ask the third party vendors in order to create the risk assessment.

An overview of the potential risks a third party vendor may impose on your firm.

What those risks could mean for the end-clients, the investors.

Ways to work with the third party vendors to help mitigate the risks.

Who are the Third Party Vendors

This webinar, conducting this risk assessment at least once a year is now a necessary component of running a successful compliance program and Business.

PRESENTED BY:

Lisa M. Marsden, IACCP[®], is the President and Founder of Coulter Strategic Services. Coulter Strategic Services provides Financial Advisors and compliance consulting firms with compliance and project management services. Prior to that, Ms. Marsden was in the C-Suite as a CTO, COO and CCO for Registered investment advisors in Florida.

On-Demand Webinar

Duration : 60 Minutes

Price: \$200

Webinar Description

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.



Topics Covered

Best practices for monitoring the progress of the assessment

Determination of the third parties.

The questions to ask the third parties.

Rules, Regulations and best practices concerning third party risk assessment.

Suggestions on the documentation of the assessment?

Educating the current third party vendors on why this type of due diligence is being conducted.

Creating policy surrounding on boarding new third party vendors.

How to select a background firm and audit your current screening practices



Who Should Attend ?

Audit and Compliance Personnel / Risk Managers

Operations Managers, Chief Operating Officers

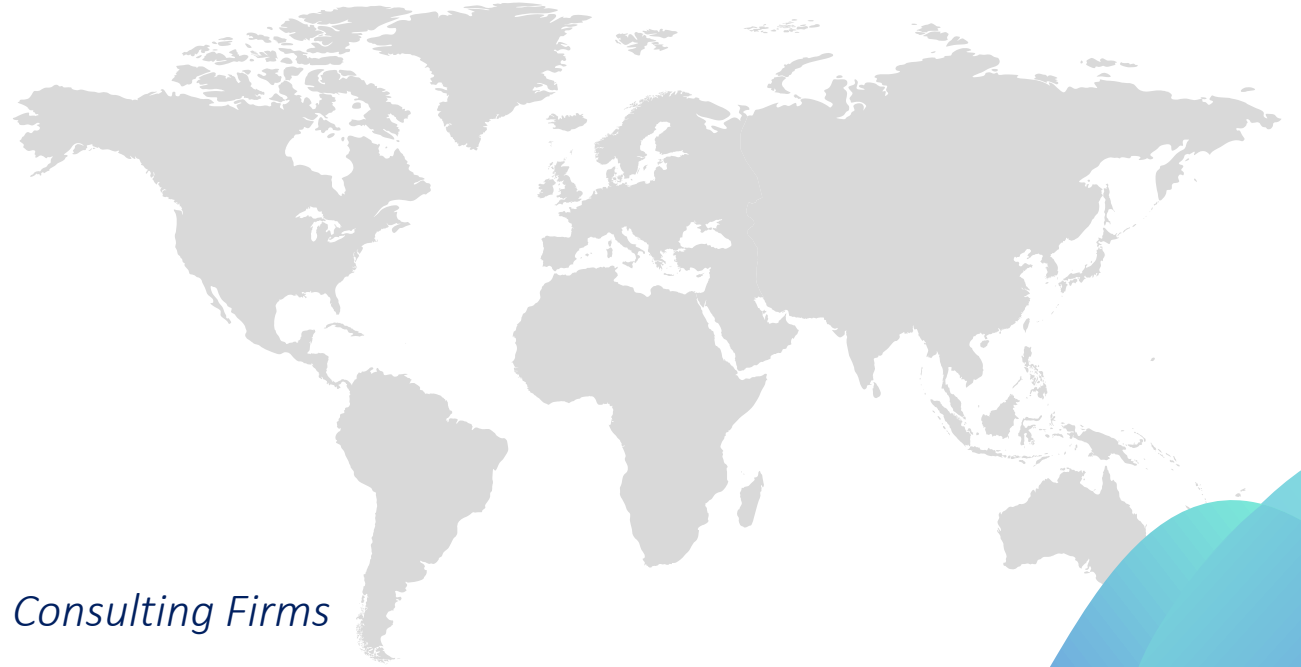
CPA Firms, Attorneys, Client Service Managers

Investment Management/Portfolio Managers

Outsourced IT Firms/Cyber Security Firms, Compliance Consulting Firms

Human Resources Personnel in Finance or IT, Accountants, Attorney's

Investment Management and Financial Planning firms, Compliance firms



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