

Webinar on

Fiduciary Risk Management

Learning Objectives

- To provide an in-depth understanding*
- The roles and responsibilities of a fiduciary*
- Where fiduciary responsibilities exist*
- Fiduciary risks to be managed in terms of conditions and causes*
- Specific areas of fiduciary risk relative to suitability and disclosure*
- Fiduciary risk management practices*

Areas Covered

- Fiduciary duties*
- Defining fiduciary risk*
- Fiduciary risk conditions*
- Fiduciary risk events*
- The nature of fiduciary risk consequences*
- Fiduciary-like responsibilities*
- Functions/activities that contain fiduciary responsibilities*

Areas Covered

- Causes of fiduciary risk events*
- Review of suitability standards*
- Review of disclosure standards*
- Laws and regulations that govern fiduciary activities*
- A review of the US Department of Labor (DOL) recent rule that addresses the fiduciary responsibilities of certain broker/dealer business activities*
- Fiduciary risk management*



All firms and persons acting in a fiduciary capacity with respect to a function they perform must fully understand the duties and responsibilities of serving in a fiduciary capacity, what constitutes fiduciary failure and the consequences of such failure.

PRESENTED BY:

Robert Geary is the founder of Greenwich Risk Management Advisory Services “LLC” and services as the principal consultant on many of the firm’s consultancy mandates.

On-Demand Webinar

Duration : 60 Minutes

Price: \$200

Webinar Description

All firms and persons acting in a fiduciary capacity with respect to a function they perform must fully understand the duties and responsibilities of serving in a fiduciary capacity, what constitutes fiduciary failure and the consequences of such failure. It is therefore imperative that fiduciaries understand the risks associated with being a fiduciary, the conditions that can give rise to a fiduciary risk event and the risk management processes that should exist to manage fiduciary risk.



Who Should Attend ?

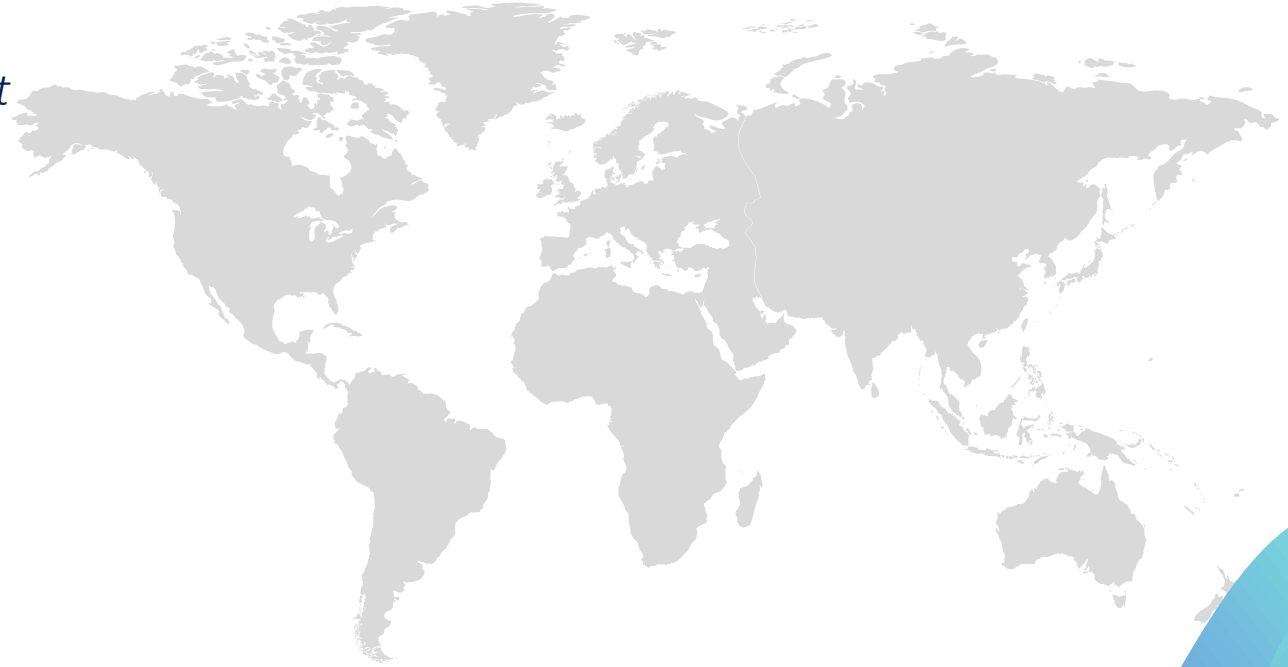
This webinar will provide valuable assistance to all personnel with direct fiduciary responsibilities as well as individuals with fiduciary risk management oversight

Asset Management firms

- o Senior Management*
- o Relationship Managers*
- o Investment Managers*
- o Risk Managers*
- o Compliance Officers*
- o Auditors*

Private Banks

- o Senior Management*
- o Investment Managers*
- o Relationship Managers*
- o Risk Managers*
- o Compliance Officers*
- o Auditors*



Commercial Banks

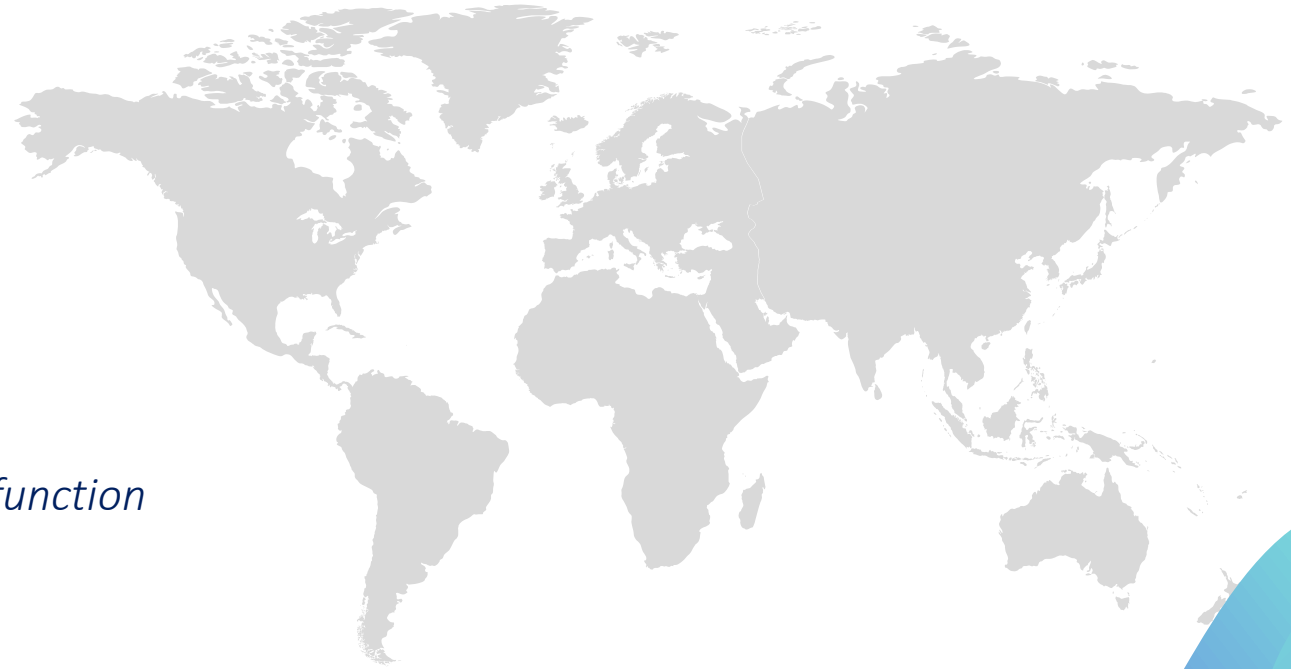
- o Personal Trust Officers*
- o Corporate Trust Officers*
- o Investor Services Officers*
- o Risk Managers*
- o Compliance Officers*
- o Auditors*

Broker/Dealers

Trustees

Regulatory oversight of Fiduciary businesses and function

Educational programs at the university level



Why Should Attend ?

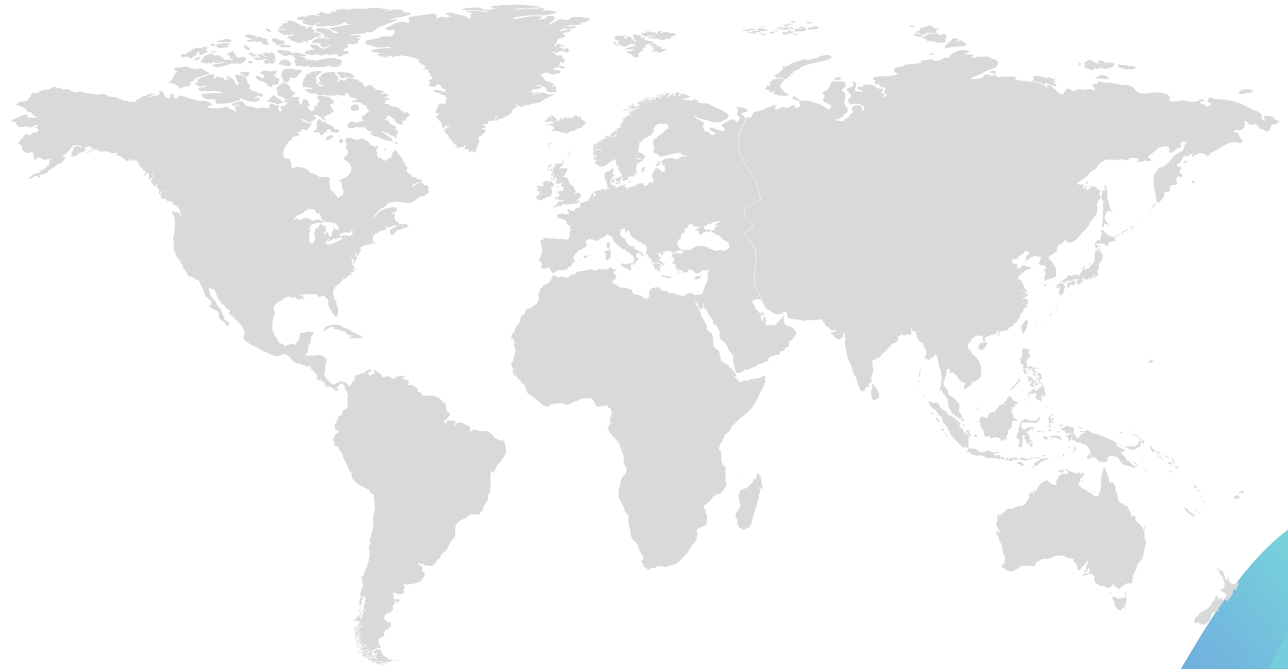
Individuals that should attend this training are persons who serve in a fiduciary capacity as individuals or as members of a fiduciary activity within the business as well as individuals who serve in senior management, risk management, compliance or audit oversight capacity of activities with fiduciary responsibilities. This training would also be of value to regulators who also must address businesses with fiduciary activities under their supervision as well as colleges and universities with risk management as part of a degree curriculum.



This presentation will provide

- *An understanding of fiduciary roles and fiduciary risk*
- *An understanding of fiduciary risk conditions and fiduciary risk events*
- *An understanding of fiduciary risk consequences*
- *An understanding of fiduciary-like responsibilities*
- *An understanding of potential causes of fiduciary risk events within fiduciary functions*
- *A focus on suitability and disclosure as potential causes of fiduciary risk events*

In addition, the presentation will establish the functions that contain fiduciary responsibilities, site the laws and regulations that govern fiduciary activities and address the recent new DOL Fiduciary Rule.



To register please visit:

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