

CENTER FOR FIDUCIARY STUDIES

Accredited Investment Fiduciary®

Program Agenda

Day One

8:00 – 8:30am *Continental Breakfast*

8:30 – 10:00am **Introduction**

This section of the program will cover the following topics:

1. Course Objectives
2. Designation marks and Company overview
3. Instructor introduction and bios
4. The concept of a Global Fiduciary Standard of Excellence and the Leadership Quotient
5. Legal issues and regulatory oversight review
6. Global Fiduciary Precepts and Fiduciary Quality Mgmt. System
7. International Organization for Standardization and our ISO-like approach
8. Assessments – their meaning and limitations

10:00 – 10:15am *Break*

10:15 – 10:30am **Investment Manager Practices**

This section will cover the following topics:

1. Best Practice Standard
2. Fiduciary Quality Management System for Investment Managers
3. IM Assessments
4. CEFEX Certification and Trust Rating

10:30 – 12:00pm **Step 1: Organize**

This section will cover the following topics:

1. The SA Practices associated with the first step in the Fiduciary Quality Management System - Organize
2. The Criteria that support each Practice
3. Unique components of DB, DC, Eleemosynary, and HNW Reviews
4. Types of fiduciaries and characteristics of a successful fiduciary

12:00 – 1:00pm *Lunch*

1:00 – 3:00pm **Step 2: Formalize**

This section will cover the following topics:

1. The SA Practices associated with the second step in the FQMS – Formalize
2. The Criteria that support each Practice
3. Risk and the key to risk management
4. The need for and elements of an IPS
5. Socially Responsible Investing

3:00 – 3:15pm

Break

3:15 – 5:00pm

Step 3: Implement

This section will cover the following topics:

1. The SA Practices associated with the third step in the FQMS – Implement
2. The Criteria that support each Practice
3. Due diligence philosophy
4. Fiduciary Score™ methodology

5:00pm

Adjourn

Day Two

8:00 – 8:30am

Continental Breakfast

8:30 – 10:00am

Step 4: Monitor

This section will cover the following topics:

1. The SA Practices associated with the fourth step in the FQMS – Monitor
2. The Criteria that support each Practice
3. The meaning and principles of Assessment
4. Assessment types, activities, and phases

10:00 – 10:15am

Break

10:15 – 11:00am

Exercise: IPS Review

1. Review of a sample IPS
2. Assessment of conformity

11:00 – 12:00pm

Monitoring Report/Fiduciary Analytics Tools

12:00 – 1:00pm

Lunch

1:00 – 3:00pm

Pension Protection Act of 2006

This section will cover the following topics:

1. Overview of the PPA and why the Act was necessary
2. New terms introduced by the Act
3. Computer-driven advice module
4. “Safe Harbors”
5. Required annual audits & fi360’s opinion
6. Fiduciary adviser phases
7. Call to ACTION

3:00 – 3:30pm

Break, Course evaluation

3:30 – 4:00pm

Wrap-up

4:00 - 5:00pm

AIF Exam