

FI360

Accredited Investment Fiduciary Analyst™ Program Agenda

Day One

8:30 – 9:00am

Welcome

This section of the program will cover the following topics:

1. Course Objectives
2. Designation marks and Company overview
3. Instructor introduction and bios

9:00 – 10:00am

Introduction

This section will introduce you to the following topics:

1. The concept of a Global Fiduciary Standard of Excellence and the Leadership Quotient
2. Legal issues and regulatory oversight review
3. Global Fiduciary Precepts and Fiduciary Quality Management System
4. International Organization for Standardization and our ISO-like approach
5. Assessments – their meaning and limitations

10:00 – 10:15am

Break

10:15 – 10:30am

Investment Manager Practices

10:30 – 11:15am

ISO Overview

This section will cover the following topics:

1. ISO 19011
2. The ISO-like approach to Assessments
3. ISO 19011 Modifications

11:15 – 12:00pm

Assessment Principles

This section will cover the following topics:

1. The “decomposed” definition of an assessment
2. The five key Principles of assessment
3. The four forms of assessment and their primary uses
4. External factors that must be considered in preparing for each form of assessment
5. The major activities involved in the assessment process

12:00 – 1:00pm

Lunch

1:00 – 1:20pm	Pre-assessment This section will cover the following topics: 1. Pre-assessment activities 2. Initiating the assessment 3. Document review 4. Preparing for on-site activities
1:20 – 2:30pm	Introduction of Case Study, Exercise # 1: CAFE Part I
<i>2:30 – 2:45pm</i>	<i>Break</i>
2:45 – 3:15pm	Exercise # 1: Report Out
3:15 – 3:30pm	Pre-assessment (continued)
3:30 – 4:45pm	Exercise # 2: CAFE Part II
4:45 – 5:00pm	Day 1 Wrap-Up

Day Two

8:30 – 9:00am	Exercise # 2: Report Out
9:00 – 9:45am	On-site Assessment This section will cover the following topics: 1. Activities required to perform the on-site assessment 2. Planning and conducting effective opening and closing meetings 3. Effectively managing Communications during an on-site assessment 4. Collecting objective evidence to determine conformity or nonconformity and document nonconformities
<i>9:45 – 10:00am</i>	<i>Break</i>
10:00 – 11:00am	Exercise #3: CAFE Part III
11:00 – 11:30am	Exercise #3: Report Out
11:30 – 12:00pm	Assessment Documentation and Follow-up This section will cover the following topics: 1. Post-assessment activities 2. Final report preparation, approval, and distribution 3. Assessment completion requirements 4. Assessment follow-up activities
<i>12:00 – 1:00pm</i>	<i>Lunch</i>
1:00 – 2:45pm	Exercise # 4: Closing Meeting and Final Report

<i>2:45 – 3:00pm</i>	<i>Break</i>
3:00 – 3:30pm	Exercise # 4: Report Out
3:30 – 4:30pm	Certification Process This section will cover the following topics: <ol style="list-style-type: none"> 1. Introduction to CEFEX Certification and Trust Rating 2. The Registration process for Certifications 3. Pricing structure
4:30 – 5:00pm	Quiz and quiz debrief

Day Three

8:30 – 10:00am	2006 Pension Protection Act This section will cover the following topics: <ol style="list-style-type: none"> 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
<i>10:00 – 10:15am</i>	<i>Break</i>
10:15 – 12:00am	Certification Case Study
<i>12:00 – 1:00pm</i>	<i>Lunch</i>
1:00 – 1:30pm	Certification Case Study Report Out
1:30 – 2:00pm	Wrap-up and Review
2:00 – 3:30pm	Accredited Investment Fiduciary Analyst™ Final Exam