

Investment Advisers Risk Management Workshop

Friday, May 9, 2008

VISITING GUEST SPEAKER:

Bayard "Bud" Bigelow, III

President and CEO of The Cambridge Alliance



The Heart of Financial Planning™



Bud's experience in the insurance industry dates from 1986 and includes a successful restructuring and turn around of a NYSE insurance company as its Chief Planning Officer; successful start-up of a professional liability insurance program for CPA's; and management of the currently offered E&O program for investment management consultants and other financial professionals since September, 1992. Mr. Bigelow is the author of several articles on professional liability insurance and loss prevention.

Bud holds a B.S. in Mathematics from Syracuse University; an M.B.A. in Finance from Columbia University Business School; an advanced degree in accounting from the Kellogg School of Business of Northwestern University; and is a Certified Public Accountant.

Loss Prevention and the Investment Adviser Professional

LEARN MORE ABOUT:

- What are the most common claims encountered by investment advisers?
- What loss prevention techniques should you be utilizing?
- What role does "client selection" play in loss prevention?
- How can client documentation affect the outcome of a claim?
- How is negligence apportioned during the claim process?
- What elements exist within a typical risk framework?
- What do NASD Arbitration Stats from the past tell us about the future?
- What risks are covered and not covered under professional liability insurance?
- What should you consider in determining a proper liability limit for your financial practice?
- What's the difference between the admitted and surplus lines market?
- What parts of the insurance contract should I be paying close attention?
- How do defense obligations differ between insurance contracts?

DATE

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WORKSHOP SCHEDULE

12:45 a.m.—1:00 p.m.

Registration

1:00—4:00 p.m.

Workshop / Q&A

LOCATION

Washington Athletic Club

1325 Sixth Avenue

Seattle, WA 98101

(206)464-3050

DIRECTIONS

Located on the corner of 6th Avenue and Union Street. The Club's main entrance is on 6th. Parking is one block north of the Clubhouse on 6th, just past Union, on the left.



3 EASY WAYS TO REGISTER

Phone: (503) 244-0297

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