



The Top Ten Operational Risks: A Survival Guide for Investment Management Firms and Hedge Funds (Paperback)

By Holly H Miller, Philip Lawton Cfa

Createspace Independent Publishing Platform, United States, 2010. Paperback. Condition: New. Language: English . Brand New Book ***** Print on Demand *****.More than ever before, institutional investors and their consultants are probing investment management firms risk management policies and procedures. Beyond market, credit and liquidity risk, their concern extends to investment managers back- and middle-office functions. For example, investors and consultants are asking: -Is the firm managed and staffed by qualified people? -Are workflows properly documented and consistently followed? -Are employees cross-trained to handle one another's jobs? -Does the firm keep track of collateral in the hands of prime brokers? -How does the firm plan ahead for changes in the regulatory and competitive environment? In the aftermath of the global financial crisis, clients and prospects want to know the answers to these and many other questions. And they will not entrust assets to organizations whose day-to-day operations are chaotic or whose long-term business prospects are doubtful. In worst-case scenarios, an investment firm's failure to identify and mitigate operational risk can result in significant direct costs and a devastating loss of reputation, write Holly H. Miller and Philip Lawton. It may take years to reassure investors, regulators and trading partners...

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