Fiduciary Duties in Investment Management Training Course

Professional Development Training Course Outline

Category	Capital Markets and Investment	**Duration**	5 Days
Base Fee	$1,500 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

Fiduciary Duties in Investment Management Training Course is designed to provide participants with a comprehensive understanding of fiduciary responsibilities, regulatory frameworks, and best practices in investment management. This course emphasizes practical knowledge, ethical considerations, and risk mitigation strategies that are essential for investment professionals, compliance officers, and portfolio managers. Participants will explore legal obligations, governance principles, and the latest industry standards to ensure prudent management of client assets while aligning with corporate and regulatory expectations.

This training integrates real-world case studies, interactive discussions, and scenario-based learning to enhance decision-making capabilities and strengthen fiduciary accountability. By the end of this course, participants will possess the knowledge and skills to implement fiduciary best practices, improve investment outcomes, and foster client trust, ensuring both organizational efficiency and compliance in a dynamic financial environment.

Programme Curriculum

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Course Objectives

By the end of this training, participants will be able to:

1. Understand the legal framework governing fiduciary duties in investment management
2. Identify key ethical principles and compliance requirements for fiduciaries
3. Apply fiduciary standards in portfolio management and investment decisions
4. Analyze conflicts of interest and implement mitigation strategies
5. Evaluate risk management practices for fiduciary compliance
6. Enhance transparency and accountability in client reporting
7. Integrate corporate governance principles in investment management
8. Apply performance monitoring and benchmarking techniques
9. Assess regulatory developments and their impact on fiduciary duties
10. Develop internal policies to strengthen fiduciary oversight
11. Understand the implications of ESG (Environmental, Social, and Governance) in fiduciary responsibilities
12. Conduct due diligence on investment products and service providers
13. Implement best practices in fiduciary decision-making and stakeholder communication

Organizational Benefits

- Improved fiduciary compliance and governance
- Reduced legal and regulatory risks
- Enhanced client trust and satisfaction
- Strengthened investment decision-making processes
- Increased transparency in reporting and documentation
- Standardized fiduciary practices across the organization
- Improved alignment with ESG considerations
- Mitigated conflicts of interest
- Enhanced internal control frameworks

- Increased operational efficiency

Target Audiences

1. Portfolio Managers
2. Investment Analysts
3. Compliance Officers
4. Risk Managers
5. Fund Administrators
6. Legal and Regulatory Professionals
7. Corporate Governance Specialists
8. Financial Advisors

Course Duration: 5 days

Course Modules

Module 1: Introduction to Fiduciary Duties

- Overview of fiduciary principles in investment management
- Legal and regulatory frameworks
- Roles and responsibilities of fiduciaries
- Case study: Breach of fiduciary duty in portfolio management
- Ethics and professional conduct
- Practical application exercises

Module 2: Legal and Regulatory Compliance

- Key regulatory standards and frameworks
- Compliance monitoring and reporting
- Regulatory enforcement trends
- Case study: Compliance failure and penalties
- Integrating compliance into investment processes
- Interactive group exercises

Module 3: Conflict of Interest Management

- Identifying potential conflicts in investments
- Mitigation strategies and disclosure obligations

- Monitoring and reporting conflicts
- Case study: Managing insider trading risks
- Policies for conflict resolution
- Simulation exercises

Module 4: Risk Management for Fiduciaries

- Assessing investment risks
- Risk mitigation frameworks
- Monitoring and reporting techniques
- Case study: Investment risk leading to fiduciary breach
- Integrating risk management in decision-making
- Hands-on exercises

Module 5: Corporate Governance and Oversight

- Principles of corporate governance
- Board responsibilities and oversight
- Governance frameworks for investment management
- Case study: Governance failure and lessons learned
- Enhancing transparency in investment operations
- Group discussion and practical scenario

Module 6: Performance Monitoring and Reporting

- Benchmarking investment performance
- Transparent reporting methods
- Investor communication standards
- Case study: Reporting discrepancies and corrective actions
- Tools for performance tracking
- Hands-on analysis exercise

Module 7: ESG Considerations in Fiduciary Duties

- Integration of ESG principles in investments
- ESG-related fiduciary obligations
- Risk and opportunity assessment

- Case study: ESG compliance in asset allocation
- Best practices for sustainable investing
- Group simulation exercises

Module 8: Due Diligence and Decision-Making

- Conducting due diligence on investment products and providers
- Decision-making frameworks for fiduciaries
- Documentation and reporting standards
- Case study: Due diligence failure and lessons learned
- Implementing best practices in investment decisions
- Practical exercises

Training Methodology

- Interactive lectures and presentations
- Scenario-based case studies and simulations
- Group discussions and role-playing exercises
- Hands-on exercises and practical applications
- Real-world examples and lessons learned
- Assessment quizzes and knowledge checks

Register as a group from 3 participants for a Discount

Send us an email: info@fineskilltrainingcenter.org or call *+254769199797*

Certification

Upon successful completion of this training, participants will be issued with a globally- recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

a. The participant must be conversant with English.

b. Upon completion of training the participant will be issued with an Authorized Training Certificate

c. Course duration is flexible and the contents can be modified to fit any number of days.

d. The course fee includes facilitation training materials, 2 coffee breaks, buffet lunch and A Certificate upon successful completion of Training.

e. One-year post-training support Consultation and Coaching provided after the course.

f. Payment should be done at least a week before commence of the training, to Fineskill Training Center account, as indicated in the invoice so as to enable us prepare better for you.

Upcoming Scheduled Sessions

Start Date	End Date	Location	Price
23 Nov 2026	27 Nov 2026	Online	$1,000
23 Nov 2026	27 Nov 2026	Physical	$1,500
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$4,500
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$6,000

Ready to enroll or request a customized program? Book online or contact us:

Register Online Now

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