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**(Matteo Torp)**

## THE TOP TEN OPERATIONAL RISKS: A SURVIVAL GUIDE FOR INVESTMENT MANAGEMENT FIRMS AND HEDGE FUNDS

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Createspace, United States, 2010. Paperback. Book Condition: New. 214 x 136 mm. 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 that the firm is well-managed. Internationally known as dynamic speakers and engaging writers, the authors of The Top Ten Operational Risks draw upon their extensive practical experience to offer clear, compelling and-above all-useful advice about how to recognize and lessen the risk of loss due to inadequate internal processes, people and systems or external events. Starting with complacency on the part of senior management, each of this book s central chapters addresses one of the ways in which investment management firms may be exposed to unwelcome surprises. There are succinct, readable essays on staffing, training and the special...



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