RISK ASSESSMENT WIZARD



WEALTH MANAGEMENT

Safety Guide

Financial Services

4	16	3
Key Benefits	Control Measures	Checklist Items

KEY BENEFITS

Comprehensive Service

Provides holistic financial planning and wealth preservation.

Personalized Advice

Offers personalized advice tailored to unique financial situations.

Coordination

Coordinates multiple financial services for optimal outcomes.

Legacy Planning

Supports generational wealth transfer and legacy planning.

KEY HAZARDS & CONTROL MEASURES

Market Volatility

- ✔ Diversification strategies
- ✔ Risk tolerance alignment
- ✔ Regular portfolio reviews
- ✔ Client communication protocols

Cybersecurity Threats

- ✔ Multi-factor authentication
- ✔ Encrypted communications
- ✔ Security awareness training
- ✔ Incident response planning

Fiduciary Breaches

- ✔ Suitability documentation
- ✔ Conflict disclosure
- ✔ Fee transparency
- ✔ Best interest standards

Key Person Risk

- ✔ Succession planning
- ✔ Team-based service model
- ✔ Documentation standards
- ✔ Client relationship management

RISK ASSESSMENT WIZARD

Take Your Safety To The Next Level

Create professional, customized risk assessments for your organization with our easy-to-use online wizard.

390+

Activity Templates

Pre-loaded hazards & controls for every activity

100%

Customizable

Add your branding & tailor to your needs

- ✔ Instant PDF & print-ready documents
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