



WEALTH MANAGEMENT

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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
- ✓ Regular portfolio reviews
- ✓ Risk tolerance alignment
- ✓ Client communication protocols

Cybersecurity Threats

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

Fiduciary Breaches

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

Key Person Risk

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



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