
Forging Successful Partnerships in the Face of Conflicts of Interest: A Thought Leaders Roundtable Compendium

Table of Contents

Program Overview and Description	4
Profile of Roundtable Participants	5
Roundtable Delegates	5
Thought Leader Bios.....	6
Forum Host.....	17
Forum Sponsor	18
Forum Advisor	19
Executive Summary	20
Documentation of Findings	25
Tools for Managing Conflicts.....	40
Classification System for Conflicts of Interest	40
Matrix of Indicators of Potential Conflicts.....	41
Performance Standards Model.....	42
Perspective on Client Needs	43
Questionnaire for Surfacing Conflicts of Interest.....	44
Appendices	53
Greg Curtis, A Modest Proposal: Let's End Conflicts of Interest in the Wealth Advisory Business	53
Centre for Economic Policy Research, Conflicts of Interest in the Financial Services Industry: What Should We Do About Them?.....	69
Ingo Walter, Conflicts of Interest and Market Discipline Among Financial Services Firms.....	72
References.....	99
Exhibits.....	104