

HIGHLIGHTS

July 18-21, 2004 - Liabilities of Offering Investment Advice

San Francisco, CA - ASPA 2004 Summer Convergence

- TYPES OF INVESTMENT ADVICE PROVIDED
- BOEHNER BILL
- INVESTMENT ADVICE vs. EDUCATION PER THE DOL
- ARE YOU A TPA, BROKER, CPA, ATTORNEY, OR HR DEPT OFFERING INVESTMENT ADVICE?
- INVESTMENT ADVICE EXPOSURE ISSUES
 - FIDUCIARY EXPOSURE
 - WHO MAY BE AN ERISA FIDUCIARY
 - WHO MAY BE LIABLE
 - CO-FIDUCIARY EXPOSURE TO TPA FIRMS
 - PARTY-IN-INTEREST EXPOSURE
 - FEE AND COMMISSION DISCLOSURE
 - EFFECT OF THE MUTUAL FUND SCANDAL
- REQUIRED LICENSING
- DOL OPINION LETTERS OF NOTE
- OTHER RULES THAT MAY COME INTO PLAY
- NON-DISCRIMINATION ISSUE:ADVICE TO PARTICIPANTS
- APPLICABLE REGULATIONS
- IF YOU ARE IN IT HALF-WAY
- HOW TO CONTROL LIABILITY EXPOSURE
- OPPORTUNITIES
- 404(c) ISSUES/OPPORTUNITIES