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## NEWS

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## Fiduciary September 2017

Era of Fiduciary Promise Brings Uncertainty with Implementation:  
Tamar Frankel, Brooksley Born, Phyllis Borzi, Luis Aguilar, Barbara Roper,  
Mercer Bullard, Arthur Laby, Cheryl Holland, Deborah DeMott, Jane Bryant Quinn,  
Terry Savage To Offer Insights in Fiduciary September Programs

Washington DC, August 10 – The Institute for the Fiduciary Standard today announced the Fiduciary September 2017 program, (which starts in August to meet market demands). Fiduciary September was established in 2012 by the Institute to recognize how fiduciary principles and practices are vital to investors and the capital markets.

“Fiduciary remains front and center in 2017. The DOL Rule is being implemented amidst historic legal and political challenges, while firms are making product and pricing changes to comply. The SEC is requesting additional industry input for a “uniform standard; the new SEC Chairman has spoken clearly of his view of fiduciary. Further, the CFP Board has proposed revisions to its standards. Market forces continue to disrupt established advice practices and create new advice opportunities; investor distrust, continues to keep many investors away from advice,” notes Institute president, Knut A. Rostad.

TD Ameritrade Institutional is the exclusive sponsor of Fiduciary September.

“This summer has been arguably the busiest period I’ve ever seen on the advisor regulatory front. The fiduciary standard is front page news,” said Skip Schweiss, managing director of advisor advocacy & industry affairs at TD Ameritrade Institutional. “It hasn’t always been a straight path, still all these developments have helped raise public awareness about the benefits of a client-first approach. More than ever, we must remain vigilant and keep pushing forward.”

Fiduciary September programs and associate programs begin August 15 and run through September 28.

- August 10** Announcement of Fiduciary September Program
- August 15** 4:15 PM.ET. Webinar discussion produced by **WealthMangement.com on the CFP Board proposed standards**. Knut Rostad, MBA, Jeffrey McClure, CFP and Stan Mock, CFP discuss its strengths and weaknesses. For more information: <http://www.wealthmanagement.com/webinars/cfp-board-s-proposed-revised-standards-too-weak-too-strong-or-just-right>
- September 6** 4:15 PM ET. Webinar, **Broker / Adviser “Titles”: Potential Rulemaking at the SEC** Luis Aguilar (SEC Commissioner, 2008-2015), Jim Allen, CFA Institute, Knut Rostad, and Skip Schweiss, TD Ameritrade. (Reg link to follow).
- September 7** 4:15 PM ET. Webinar Adviser Perspectives webinar. **Debate on DOL Rule. Resolved: “Benefits to investors and society of implementing the DOL fiduciary rule far outweigh the costs.”** Knut Rostad on the affirmative, insurance exec. Tom Hegna, the negative. To register, go to <https://www.apviewpoint.com/events> after August 28.
- September 19** 4:15 PM ET. Webinar: **“Talking to Investors in 2017: Do’s and Don’ts”** Tips on how advisers should and should not talk to investors on fiduciary, from personal finance writers, Jane Bryant Quinn and Terry Savage. More information [www.thefiduciaryinstitute.org](http://www.thefiduciaryinstitute.org).
- September 27** 2:00 PM – 5:00PM. Frankel Fiduciary Prize Award, Program: **“Fiduciary Advice at a Crossroads: The State of Fiduciary in Historic Times,”** Join fiduciary experts and scholars Tamar Frankel, Phyllis Borzi, Brooksley Born, Barbara Roper, Mercer Bullard, Arthur Laby, Deborah DeMott and Cheryl Holland to discuss fiduciary duties and celebrate the 2017 Frankel Fiduciary Prize honoree, Barbara Roper. Boston University School of Law, Boston. Register <https://docs.google.com/forms/d/e/1FAIpQLScy6HFvYYRDKyawyVMijV0lSC7SswslxS2cM33XrI2t1iGHkA/viewform>
- September 28 \*** 9:00 AM – 5:00 PM. Boston. “Time for Transparency”, a symposium by The British-based Transparency Taskforce, featuring noted thought leaders. Knut Rostad to join George Kinder, Stephen Davis and others. More information <http://www.transparencytaskforce.org/upcoming-events/boston-transparency-symposium-28th-september/>

\*This is an Associate Fiduciary September program. The program is not produced by the Institute for the Fiduciary Standard. It is commended as a program advancing fiduciary principles.

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### **About the Institute for the Fiduciary Standard**

The Institute for the Fiduciary Standard formed as a non-profit organization in 2011 to provide research, education and advocacy on the vital role of the fiduciary standard for investors and the capital markets. For more information, visit [www.thefiduciaryinstitute.org](http://www.thefiduciaryinstitute.org).

### **About TD Ameritrade Institutional**

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