**First Assignment**

*Introduction to Asset Management Legal and Compliance, Spring 2017*

**Professors:**

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**Online Materials**

There is no textbook for this class. Reading assignments will consist of a series of articles and other materials (please see TWEN for document entitled “Online Materials” for assigned readings).

The reading for Class 1 will be spread over the first two classes so don’t worry if you do not get to everything for Class 1.

We look forward to meeting you on January 23!

<table>
<thead>
<tr>
<th>Course Date</th>
<th>Topics to be Discussed</th>
<th>Assigned Reading From “Online Materials” Document</th>
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| Class 1 – January 23, 2017 | -What is Compliance?  
-What is Risk?  
-Types of Risk  
-Overview of the Legal and Regulatory Structure Governing Asset Managers  
-Overview of Key Constituents (asset management departments and personnel, board of directors, shareholders and regulators | • The Importance of Compliance in Business (available at http://www.howtolearn.com/2012/08/importance-of-compliance-in-business/)  
• Ethics vs. Compliance (available at http://www.insidecounsel.com/2014/01/27/ethics-vs-compliance-do-we-really-need-to-talk-abo)  
• Risk Management (available at http://mnbenchbar.com/2010/12/assessing-the-risks/)  
• PwC State of Compliance Study (available on TWEN) |