Target Audience
• Financial Advisors

Modality & Duration
• Live Webinar (3 - 120 minute sessions)
• Instructor Led Class (8 hours)

About Cannon
Cannon Financial Institute is recognized as one of the leading global consulting and professional development firms serving the financial services industry. Our mission is to understand industry needs and deliver practical solutions that leverage the collective wisdom and creative power of a team of professionals passionately committed to helping our clients realize their goals.

Program Overview
Applied Ethics for Financial Advisors is designed to provide an engaging format that breaks the stereotype of self directed compliance training. Applied Ethics for Financial Advisors uses interactive case studies to explore the key decisions and risks of acting as a fiduciary. Participants will dissect authentic cases with ethical challenges, build capacity to see beyond the rules, and examine ethical issues from four specific perspectives - the client, the regulators, the plaintiff’s attorney, and the advisor. This program clarifies how to align behavior with the duty of undivided loyalty or suitability in order to make decisions that ensure you run a compliant practice.

Program Outcomes
Participants who complete this course will be able to:
• Identify common behavioral biases
• Explain fiduciary verses suitability
• Use a proven model for ethical decision making
• Understand implications of the fiduciary rule, ethics, and client engagement
• Outline considerations for evaluating ethical values
• Understand motivations and perspectives of key stakeholders:
  - Client
  - Client’s Attorney
  - Regulator
  - Advisor