

# The Importance of Monitoring Your Securities Portfolio and The Challenges Pension Plans Face as Fiduciaries



Presenters:

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# Securities Litigation Administration

1. Monitoring
2. Litigation Oversight
3. Post- Settlement Recovery

# Portfolio Monitoring

1. What is Securities Monitoring?
2. Who provides it? Why do I need it?
3. Do I need 1, 2 or more providers?
4. Is there a minimum portfolio size?
5. Is it expensive?

# Litigation Oversight

1. Why do I need to engage a law firm?
2. How can I tell the difference between law firms?
3. How much time and effort does it take to oversee this?
4. Best Practices? For Trustees? For Administrators?
  - Find partners to simplify the process.

# Post-Settlement Recovery

1. Isn't my custodian going to take care of this?
2. Collecting data 5-10 years old can get complex and tedious.
3. Security concerns?

# First Action Item for a Board of Any Size

- 1. Create a Policy** - Create a policy and formulate a plan that works for your organization.
- 2. Act upon it** - Policies that that can't be coupled with actions aren't valuable.

# THANK YOU FOR YOUR TIME AND CONSIDERATION!



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