



URPP Financial Market Regulation



32nd Forum Financial Market Regulation of 3 March 2017

The Market for Financial Adviser Misconduct

Households rely on financial advisers for financial planning and transaction services. Despite the prevalence and importance of financial advisers, they are often perceived as dishonest and consistently rank among the least trustworthy professionals. A new US database finds that 7% of advisers have misconduct records, and this share reaches more than 15% at some of the largest advisory firms. Over a third of advisers with misconduct are repeat offenders. Prior offenders are five times as likely to engage in new misconduct as the average financial adviser. The author of the paper also discusses the labor market consequences of adviser misconduct.

Agenda

- 12:15 p.m. [Welcome](#)
Prof. Steven Ongena (University of Zurich, Dept. of Banking & Finance)
- 12:20 p.m. [Presentation](#)
Prof. Gregor Matvos (University of Chicago Booth School of Business)
- 01:30 p.m. [End of the event](#)

This special seminar is held jointly with the Department of Banking & Finance at the University of Zurich, Plattenstrasse 14, 8032 Zürich.

Date: Friday, 3 March 2017
12:15 - 01:30p.m.

Venue: University of Zurich
Main Building
Rämistrasse 71
8006 Zürich
Room KOL-E-21

Fee: Attendance is free of charge.
Language: The talk will be held in English.

Registration: Please visit our website: www.finreg.uzh.ch/events, or send an e-mail with the above details to forumfinreg@rwi.uzh.ch.

Closing date: Thursday, 2 March 2017

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