

**000 – EXAMINATION ADMINISTRATION**

010	Using the Handbook
020	Examination Programs for Trust and Asset Management
030	Supervision by Risk
040	Examination Planning & Control
041	PERK
042	Useful Reports
050	Report Preparation & Issuance
060	Assignment of Ratings
070	Post Examination Activities
080	Enforcement Activities
090	Trust and Asset Management Trust-Only Examinations
090P1	Asset Quality Program
090P2	Capital Program
090P3	Liquidity and Cash Flow Management Program
090P4	Sensitivity to Market Risk Program

**100 – OVERVIEW/SPECIALTY EXAMS**

100	Trust and Asset Management Activities
110	Fiduciary Duties, Risks & Liabilities
120	Applicable Laws
130	Trust Powers
140	Document Custody
140P	Document Custody Program
150	Pre-Need Funeral and Cemetery Trusts
150P	Pre-Need Funeral and Cemetery Trusts Program
160	Introduction to Individual Retirement Accounts
160P	Introduction to Individual Retirement Accounts Program

**200 – MANAGEMENT**

200	Introduction to Management
210	Management Appraisal Narrative
210P	Management Examination Program
220	Risk Management Narrative
220P	Risk Management Examination Program

**300 – OPERATIONS AND INTERNAL CONTROLS**

- 300 Introduction to Operations & Internal Controls
- 310 Operations & Internal Controls Examination Program

**400 – AUDIT**

- 400 Introduction to Audits
- 410 Audit Examination Program

**500 – INFORMATION TECHNOLOGY**

- 500 Introduction to Information Technology
- 510 Information Technology Examination Program

**600 – EARNINGS**

- 600 Introduction to Earnings
- 610 Earnings Examination Program (610P)

**700 – COMPLIANCE**

- 700 Introduction to Compliance
- 710 Introduction to Conflicts of Interest
- 710P Conflicts of Interest Examination Program
- 720 Introduction to Personal & Court Accounts
- 720P Personal & Court Accounts Examination Program
- 730 Introduction to Employee Benefit Accounts
- 730P Employee Benefit Accounts Examination Program
- 740 Introduction to Private Banking
- 740P Private Banking Examination Program
- 750 Introduction to Corporate Trust
- 750P Corporate Trust Examination Program

**800 – ASSET MANAGEMENT**

- 800 Introduction to Asset Management
- 810 Introduction to Portfolio Management
- 810P Portfolio Management Examination Program

820	Introduction to Marketable Securities
820P	Marketable Securities Examination Program
830	Introduction to Mutual Funds
830P	Mutual Funds Examination Program
840	Introduction to Closely Held Business Interests
840P	Closely-Held Business Interests Examination Program
850	Introduction to Real Estate Interests
850P	Real Estate Interests Examination Program
860	Introduction to Miscellaneous Assets
860P	Miscellaneous Assets Examination Program
870	Introduction to Insurance Products
870P	Insurance Products Examination Program
880	Introduction to Common & Collective Funds
880P	Common & Collective Funds Examination Program

## **TRUST AND ASSET MANAGEMENT GLOSSARY**

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