

# Specialized insurance & risk advisory for investment & asset management firms

## Manage assets with a new sense of security

Investment and asset management firms play a critical role in helping institutional investors, pension plans, retail investors, and the funds they invest in achieve their financial goals — preserving wealth, generating returns, and allocating capital that fuels the broader economy. But with that responsibility comes heightened scrutiny and exposure to risk.

In a financial world of shifting regulations, complex threats, and growing demands from investors, misunderstanding risk as an investment and asset manager can be devastating. Finding effective risk management tools is now more important than ever. Your role as an asset manager requires unique risk solutions. To safeguard your success, fortify your assets under management (AUM), and protect your positions, choosing the right risk partner is an investment that pays dividends.

From day 1, Lockton's investment and asset management insurance team is your champion and advocate. Think truly bespoke coverage, being one step ahead of the risks you face, and the peace of mind to remain fully focused on growing value for your business and your investors.

## Trusted by the world's leading investment & asset management firms

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While every investment and asset management firm is unique, our approach is consistent: driven by your risk management goals and delivering insurance solutions tailored to your needs. Our team manages risk for some of the world's largest investment portfolios, with deep experience across the entire investment and asset management landscape, including:

- Registered investment advisors (RIAs)
- Wealth management platforms
- Independent financial advisors (IFAs)
- 40 Act mutual funds
- Hedge funds
- Private equity
- Venture capital
- Family offices
- Real estate funds and REITs
- Infrastructure funds
- Fund of funds
- Exchange traded funds (ETFs)
- Private credit funds
- Interval funds
- Digital and crypto asset managers
- Fintech (including robo-advisors, wealthtech)
- Trust companies
- Fund administrators

## Risk solutions to help protect your returns

At Lockton, we understand that your firm's operations, your risks, and your insurance needs are all unique. That's why we'll deliver a fully tailored risk and insurance program that confronts your own current and emerging risk profile head-on. The key insurance coverages we place for investment and asset managers include, but are not limited to:

- Directors and officers liability (D&O)
- General partners liability (GPL)
- Professional indemnity/errors and omissions (E&O)
- Crime and financial institution bonds — including regulatory-required bonds (e.g., SEC/FINRA, 17g-1)
- Cyber and technology E&O
- Employment practices liability (EPL)
- Fund management and professional liability
- Pension trust/fiduciary liability
- Special risk (kidnap and ransom)
- Excess SIPC protection
- Master trust property and liability
- Transaction risks (incl. reps and warranties, tax opinion liability)
- Digital asset protection
- Property and casualty
- Workers' compensation
- Surety bonds
- Credit insurance
- Employee benefits

## Claims management

Claim performance is the true measure of any insurance program. Lockton's Professional & Executive Risk Claims team is purposely structured to help you maximize your insurance recoveries.

Lockton does not silo claims, nor do we treat claims advocacy services as a profit center. Instead, we integrate experienced insurance and claims counsel within your broking team. This ensures that claims strategy and advocacy begin at the very start of our partnership with you, so when a claim does arise, we're fully prepared.

## Lockton at a glance

As the world's largest privately held, independent insurance broker, we don't cater to shareholders or have external investors, unlike all of our peers. This means we answer to the only voice that matters: yours.

This independence allows us to create a partnership with you where every interaction, decision, and solution is solely focused on your business risk needs.

**65,000+**  
CLIENTS WORLDWIDE

**94%**  
CLIENT RETENTION

**13%**  
ORGANIC  
GLOBAL GROWTH

**\$85B+**  
PREMIUM VOLUME  
WORLDWIDE

**150+**  
OFFICES WORLDWIDE

**17**  
CONSECUTIVE YEARS AS  
BEST PLACES TO WORK

## GET IN TOUCH

For more information on how we can help protect your asset management firm, click the button or scan below to visit our website.

Visit our website



To connect directly with our asset management insurance team, please click the button or scan below and complete the form.

Connect now

