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# Best Practices for Monitoring Your Securities Portfolio in 2026

By Adam Savett

Here's an uncomfortable truth: at some point, your investment portfolio will take a hit because a company you're invested in messed up - through fraud or mismanagement. It's not a matter of if. It's a matter of when. This is true if your portfolio is invested in public equities, fixed income, or even entirely in mutual funds.

When acting as fiduciaries, the boards or management of institutional investors have a duty to monitor their investment portfolios, protect and maximize their assets, and not leave money on the table that's rightfully yours to claim.

So how do you actually do that? How do you make sure you're looking out for the people counting on you, without needing a law degree or unlimited time on your hands?

The good news is you don't need to be an expert. You just need a few solid habits. Small, consistent actions add up over time - like interest compounding in a savings account. You might not notice the difference day to day, but look back in five or ten years and the payoff (or the cost of skipping these steps) becomes obvious.

Here are five habits that make the biggest difference.

### 1. Write Down Your Game Plan

Before anything else, decide ahead of time how your organization will handle losses when they happen - because they will happen. Put it in writing. This “playbook” doesn’t need to be complicated, but it should spell out who’s responsible for what and what steps to take.

You don’t have to start from scratch, either. Plenty of similar organizations already have their securities litigation policies posted online, and industry groups are happy to share sample templates. There’s no shame in borrowing a good idea.

### 2. Bring In the Right Help

You wouldn’t ask your dentist to fix your car, and you shouldn’t rely on just anyone to help protect your investments. There are firms that specialize in exactly this kind of work - watching your portfolio, flagging losses caused by fraud or mismanagement, and helping you file claims to recover money.

The best part? Most of these firms don’t charge you upfront. When you’re choosing one, take the time to compare a few options. Ask each firm how they work, what tools they use, and how they’ll keep you informed. A little homework here goes a long way.

### 3. Don’t Put All Your Eggs in One Basket

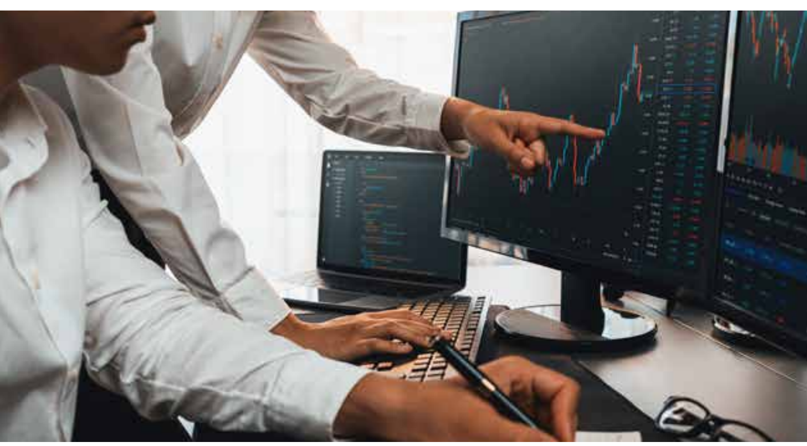
Don’t rely on just one firm for advice. Getting input from a few different sources gives you a fuller picture and keeps everyone honest - nobody wants to lose your business to a competitor by giving you weak advice. It also means that if you do decide to pursue legal action, firms have to compete for your work, which usually means a better deal for you.

And no matter how many advisors you bring in, the final call is always yours. Good advisors will give you options and information - but the decision to act (or not) should always sit with your organization, not with outside counsel.

### 4. Stay in the Loop

Ask whoever is monitoring your portfolio to send you regular, easy-to-understand updates: What losses have occurred? Why? What can be done about it? You shouldn’t need a translator to understand the report.

It’s also worth checking that your custodian can easily retrieve your buying and selling history whenever it’s needed. This matters more than you might think - some settlements take years to resolve, so you’ll need accurate records long after the fact to prove you’re eligible for a payout.



### 5. Actually File the Paperwork

Here's the part people miss the most: even when your organization is entitled to settlement money, you have to actively claim it - and every year, a huge amount of that money goes unclaimed simply because nobody filed the right form in time.

Assign someone - whether that's a staff member or your custodial bank - to keep track of every settlement that might apply to you, even ones you weren't directly part of. That way, nothing slips through the cracks, and you have time to weigh your options and hit the deadlines. These claims usually require solid documentation and strict timing, so it pays to have someone dedicated to staying on top of it.

None of these five habits are complicated on their own. But together, they add up to a portfolio that's genuinely looked after - one where losses get caught, money gets recovered, and nothing valuable slips through the cracks.


## About the Author

**Adam Savett, Of Counsel**

Adam Savett joins Wolf Popper LLP with more than two decades of experience representing and advising some of the largest and most sophisticated institutional investors, government entities, individuals, and businesses in securities, antitrust, consumer protection, and other complex litigation.

Adam is a nationally recognized leader on complex litigation, class actions, and settlement claims filing. He is a frequent speaker, author, and commentator on class actions and securities litigation, and his comments have appeared in a wide variety of publications, such as The New York Times, Wall Street Journal, CFO Magazine, and Pensions & Investments.

Adam was previously named one of the 100 Lawyers You Need to Know in Securities Litigation by Lawdragon Magazine and has been an invited speaker before numerous industry groups, including the Federal Judicial Center (FJC), National Conference on Public Employee Retirement Systems (NCPERS), Bank Depository Users Group (BDUG), National Council on Teacher Retirement (NCTR), Association of Global Custodians (AGC), and SIFMA's Global Corporate Actions Forum.

# About Wolf Popper LLP

Wolf Popper is a leading complex litigation law firm that represents clients in high stakes individual and class action litigations in state and federal courts throughout the United States. The firm specializes in securities fraud, mergers and acquisitions, consumer fraud litigation, healthcare litigation, ERISA, and commercial litigation and arbitration. Wolf Popper was founded in 1945, and is headquartered in New York City. Wolf Popper also has offices in Washington, DC; Houston, Texas; Chicago and Springfield, Illinois; Boston, Massachusetts; and San Juan, Puerto Rico.

Wolf Popper's attorneys are experienced litigators, many of whom have prior experience at AmLaw 100 firms or in government agencies. Wolf Popper's reputation and expertise has been repeatedly recognized by courts, which have appointed Wolf Popper and its attorneys as lead counsel in complex litigations throughout the country. Over the past eighty years, Wolf Popper has recovered billions of dollars for its clients.

Wolf Popper was one of the first laws firms in the United States to develop a class action securities litigation practice. The practice was founded in 1958, and grew out of the Firm's historical commitment to protecting the rights of individuals. Wolf Popper's long-established role in the securities bar provides its clients with an understanding and insight into federal securities and state fiduciary duty laws that could only be obtained through years of practice in the fields.

Wolf Popper provides a range of services which are designed to aid shareholders seeking to recover damages related to fraud and other corporate misconduct, as well as shareholders who seek to advocate for improved corporate governance.

Wolf Popper routinely represents damaged and defrauded institutional and other large investors in class action and individual securities litigations. Wolf Popper is regularly appointed lead or co-lead counsel in complex securities litigations. Wolf Popper is very selective in the cases it litigates. The Firm's careful factual and legal research and selective prosecution has resulted in a significant percentage of the securities litigations in which the Firm is involved being sustained over, or being settled prior to a decision on, a motion to dismiss. Wolf Popper regularly litigates cases alleging materially false and misleading statements in violation of the federal securities laws, as well situations involving as other corporate misconduct, such as (i) excessive compensation being paid to a company's management; (ii) self-dealing transactions between a company and its management or directors; or (iii) where a majority/controlling shareholder seeks to cash out the public, minority shareholders at a grossly unfair price or in a manner that compromises the process necessary to ensure that the public shareholders are treated fairly.

Wolf Popper's portfolio monitoring service aims to educate the Firm institutional investor clients about securities litigation and corporate misconduct issues that impact their investment portfolios. The Firm provides monthly and case specific reports related to current litigations and disclosures of potential fraud or other corporate misconduct. Wolf Popper also provides clients with monthly reports of recently reached class action settlements to help clients identify settlements in which they might be entitled to participate.

Wolf Popper serves as a trusted advisor to institutional shareholders, and strives to help board members, directors, administrators, and other fiduciaries meet their duties and responsibilities to protect fund assets and mitigate the risks and liabilities. Wolf Popper represents a number of state, county, and municipal pension funds as well as Taft-Hartley plans and other sophisticated institutional investors. Wolf Popper's portfolio monitoring services are provided to institutional investors at absolutely No Out-of-Pocket Cost and Risk Free. Wolf Popper provides litigation services to institutional investors on a contingent fee and non-recourse basis.

Wolf Popper has a long history of representing international clientele. Wolf Popper's office in San Juan, Puerto Rico provides the firm with a gateway to the civil law system in Latin America and Europe; Wolf Popper has working relationships with firms throughout those jurisdictions. Latin American institutional investors worldwide can expect fully bilingual services in portfolio monitoring and securities litigation from diverse and experienced attorneys.

Wolf Popper's founders always recognized the value of a workforce comprised of talent across the demographic spectrum. The Firm has been committed to diversity and inclusion and gender equality since its inception and is proud to continue to embrace that tradition of inclusion to the benefit of the Firm and the clients we serve.

To learn more, please visit us at *www.wolfpopper.com*, or email us at *outreach@wolfpopper.com*.

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