

Tuesday, December 1, 2020
11:00 a.m.–2:25 p.m.

2020 K&L GATES GLOBAL ASSET MANAGEMENT AND INVESTMENT FUNDS CONFERENCE

Leaving 2020 Behind, A Global Look at the Asset Management Industry in 2021 and Beyond

Day One

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- 11:00–11:05 a.m. **Welcome and Introduction of Key Note**
Master of Ceremonies – *Clair E. Pagnano, Partner, K&L Gates LLP (Boston)*
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- 11:05–11:35 a.m. **Key-Note Address – Global Industry Outlook and Trends**
Presented by: *Michael S. Caccese, Chairman and Asset Management and Investment Funds Practice Area Leader, K&L Gates LLP (Boston, Pittsburgh)*
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- 11:40–1:00 p.m. **Session I: The Show Must Go On! U.S. Regulatory Developments – Impact on Products and Distributions and a Look at What’s Ahead**
Moderator: *Fatima S. Sulaiman, Partner, K&L Gates LLP (Washington, D.C.)*

Speakers: *K&L Gates LLP Partners: Stacy L. Fuller (Washington, D.C.), Pamela A. Grossetti (Boston), Abigail P. Hemnes (Boston), Richard F. Kerr (Boston), Michael W. McGrath (Boston), George Zornada (Boston)*

This session will include:
Impact on Products in 2021
- **ETFs: Show Me The \$\$!** What’s Driving the Global Explosion of Inflows and What Does 2021 Hold?
 - **Fund of Funds: Where Did My FoF Go and How Can I Get It Back?** Implications of the Adoption of the Final FoF Rules
 - **Get Your Shelf Offer On!** The SEC Finally Brings Securities Offering Reform to CEFs and BDCs – Implications for Product Offerings in 2021
 - **Cover Your Assets:** The Coming Derivative Rule and Why You Care!
- How Distribution Will Change in 2021**
- **I Can’t Sell That!** and The Lasting Impacts of Reg BI
 - **I Can’t Show That!** The SEC Advertising Rule Proposal – How to Adapt and Adjust
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- 1:00–1:10 p.m. **Q&A**

Tuesday, December 1, 2020
11:00 a.m.–2:25 p.m.

1:15–2:15 p.m.

Session II: The Big Switch: Is the Global Asset Management Model Under Threat?

Moderator: *Michelle Moran, Partner, K&L Gates LLP (London)*

Speakers: *K&L Gates LLP Partners: Kane Barnett (Sydney), Giovanni Meschia (Milan), Scott D. Peterman (Hong Kong), Dr. Hilger von Livonius (Munich)*

This session will include:

- **Australia:** Has the New Foreign Financial Service Providers Regime Put the Brakes on Foreign Asset Managers?
- **China & Hong Kong:** Is Shanghai Now the Preferred Center of Gravity at the Expense of Hong Kong?
- **United Kingdom & European Union: Brexit:** Will the Baby Be Thrown Out with the Bathwater?
- **Germany and Italy:** How Is the Current Market Environment Affecting the Asset Allocation by Pension Fund Investors?

2:15–2:25 p.m.

Q&A

Tuesday, December 8, 2020
11:00 am–2:10pm

2020 K&L GATES GLOBAL ASSET MANAGEMENT AND INVESTMENT FUNDS

Leaving 2020 Behind, A Global Look at the Asset Management Industry in 2021 and Beyond

Day Two

11:00–11:05 a.m.	<p>Welcome and Introduction of Key-Note Master of Ceremonies – <i>Michelle Moran, Partner, K&L Gates LLP (London)</i></p>
11:05–12:05 p.m.	<p>Session I: 2020 Examination, Enforcement and Litigation Trends - U.S. Moderator: <i>Pablo J. Man, Partner, K&L Gates LLP (Boston)</i> Speakers: <i>K&L Gates LLP Partners: John W. Rotunno (Chicago), Neil T. Smith (Boston) and Stephen G. Topetzes (Washington, D.C.)</i></p> <p><i>This session will include:</i></p> <ul style="list-style-type: none"> • Lessons Learned: 2020 Enforcement Trends Overall/Focus on Asset Management Space • They're Back! 2021 Expected Exam and Enforcement Priorities • Presidential Transition: What to Expect • Pandemic Policy: The SEC's Response to COVID-19 and How That Will Impact 2021 • Casting A Wide Net: Enforcement Sweeps: What to Expect in 2021 <ul style="list-style-type: none"> ○ Is There Another Share Class Disclosure Initiative on the Horizon ○ Is Reg BI on the list? • A Peek Behind the Blockchain: Cryptocurrency Regulation and What to Expect in 2021 • Litigation Update: <ul style="list-style-type: none"> ○ Section 36(b) Litigation Requiem for a Heavyweight? ○ What Does the Future Hold?
12:05–12:15 p.m.	<p>Q&A</p>
12:20–1:20 p.m.	<p>Session II: Globalisation: Enforcement Trends for 2021 Moderator: <i>Dylan G. Moses, Partner, K&L Gates LLP (London)</i> Speakers: <i>K&L Gates LLP Partners: Jim Bulling (Melbourne), Scott D. Peterman (Hong Kong), Philip Riedl (Munich)</i></p> <p><i>This session will include:</i></p>

Tuesday, December 8, 2020
11:00 am–2:10pm

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- **United Kingdom:** Does the Shortened FCA's Business Plan for 2020/2021 Mean that COVID-19 Has Dampened Their Insatiable Appetite for Enforcement?
 - **Germany:** The Wirecard Scandal - Lessons Learnt
 - **Australia:** More Muscular Regulators: Business Not as Usual
 - **China & Hong Kong:** Unprecedented Enforcement Challenges Facing Hong Kong's Regulator
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1:20–1:30 p.m.

Q&A

1:30–2:00 p.m.

Key-Note Address – Post-Election Analysis

Presented by: *Daniel F.C. Crowley, Partner, Policy and Regulatory, K&L Gates LLP (Washington, D.C.)*

2:00–2:10 p.m.

Q&A

Wednesday, December 9, 2020
11:00 am–2:30 pm

2020 K&L GATES GLOBAL ASSET MANAGEMENT AND INVESTMENT FUNDS

Leaving 2020 Behind, A Global Look at the Asset Management Industry in 2021 and Beyond

Day Three

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| 11:00–11:05 a.m. | Welcome and Introduction of Key-Note
Master of Ceremonies – <i>J. Matthew Mangan, Partner, K&L Gates LLP (San Francisco, Palo Alto)</i> |
| 11:05–11:25 a.m. | Key-Note Address
Presented by: <i>Chris Cummings, Chief Executive, The Investment Association</i> |
| 11:30–12:30 p.m. | Session I: ESG Investing from the Global Manager’s Perspective
Moderator: <i>Michael W. McGrath, Partner, K&L Gates LLP (Boston)</i>

Speakers: <i>K&L Gates LLP Partners: Michelle Moran (London), Robert L. Sichel (New York) and Timothy Youmans, Regional Lead, North America of Hermes Equity Ownership Services</i>

This session will include: <ul style="list-style-type: none">• Shareholder Rights, Stewardship, Engagement, and Activism in a Global Regulatory Environment• Navigating the Market for ESG Disclosure Standards• “Greenwashing” Enforcement in the United States and Abroad• Delivering ESG Products to U.S. Retirement Investors |
| 12:30–12:45 p.m. | Q&A |
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Wednesday, December 9, 2020
11:00 am–2:30 pm

12:45–1:30 p.m.

Session II: Current Trends in Private Fund Strategies – United States

Moderator: *Edward Dartley, Partner, K&L Gates LLP (New York)*

Speakers: *K&L Gates LLP Partners: Sasha Burstein (San Francisco, Palo Alto, Robert McCarthy (Austin), Derek N. Steingarten (New York), Adam J. Tejada (New York)*

This session will include:

- Distressed Credit – Continuation of the Start of the Wave
- Seed Investors and Emerging Managers – A Big Wave Getting Bigger
- Distressed Real Estate – Will the Wave Begin?
- Hedge Funds – Will a Ripple Turn into A Wave?

1:30–2:15 p.m.

Session III: Looking Back to Look Ahead: Addressing What May Be in Store for Private Funds

Moderator: *J. Matthew Mangan, Partner, K&L Gates LLP (San Francisco, Palo Alto)*

Speakers: *K&L Gates LLP Partners: Yasho Lahiri (New York), Eden L. Rohrer (New York), Neil Smith T. Smith (Boston)*

This session will include:

- Examination and Enforcement Implications for Private Funds in 2021
- Fundraising – Continued COVID-19 Challenges
- The Global Outlook – Will 2020's Search for Yield Continue?

2:15–2:30 p.m.

Joint Q&A
