

Tuesday, November 28, 2017
9:00 – 5:00 p.m.

K&L GATES BOSTON INVESTMENT MANAGEMENT TRAINING PROGRAM

Advanced Topics in Investment Management

09:00—9:05	Welcome and Introduction Presented by <i>Michael S. Caccese</i>
09:05—9:35	Session I: Regulatory Developments Presented by <i>Clair Pagnano, Richard Kerr</i> This session will include: <ul style="list-style-type: none">• SEC's New Liquidity Rule• SEC's Modernized Reporting Rule - Forms N-PORT/N-CEN• Form ADV Amendments
9:35—10:05	Session II: Cybersecurity and Social Media Presented by <i>Julia B. Jacobson, Michael W. McGrath, Richard Kerr</i> This session will include: <ul style="list-style-type: none">• Cybersecurity Preparedness• Trends in Social Media
10:05—10:20	Break
10:20—10:50	Session III: Registered Fund Board of Directors and Fund Governance Issues Presented by <i>Trayne S. Wheeler, Pamela A. Grossetti, Abigail Hemnes</i> This session will include: <ul style="list-style-type: none">• Valuation Developments• Section 36(b) Matters - Subadviser Suits
10:50—11:20	Session IV: Special Issues for Registered Closed-End, Tender Offer and Interval Funds Presented by <i>Clair Pagnano, George J. Zornada, Pablo Man</i>
11:20—11:50	Session V: Tax Developments Presented by <i>Joel D. Almquist</i>
11:50—12:50	Lunch Break
12:50—1:20	Session VI: Exchange Traded Funds Presented by <i>Peter J. Shea, Derek N. Steingarten</i> This session will include: <ul style="list-style-type: none">• Tips and Traps for Sponsors and Index Providers• Special Concerns for ETF Boards• Active ETFs – Regulatory Innovation at Last?

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1:20—1:50	Session VII: Developments in SEC Enforcement and Examinations Presented by <i>Christopher Nasson, Neil T. Smith</i> This session will include: <ul style="list-style-type: none">• SEC Transition Issues and Year-End Recap• Trends and Developments in SEC Enforcement Actions and Examinations
1:50—2:20	Session VIII: CFTC and Derivatives Developments Presented by <i>Michael W. McGrath, Kenneth Holston</i> This session will include: <ul style="list-style-type: none">• Global Derivatives Regulatory Update• CFTC Updates and Developments
2:20—2:35	Break
2:35—3:05	Session IX: Alternative Products/Registered Funds with Alternative Strategies/Business Development Companies Presented by <i>George J. Zornada, Jon-Luc Dupuy</i>
3:05—3:35	Session X: ERISA Developments Presented by <i>Robert L. Sichel, Derek N. Steingarten</i> This session will include: <ul style="list-style-type: none">• SEC Fiduciary Rule Guidance• Practical Implications of Fiduciary Rule• Effective Tips to Avoid Traps in Actual Practice• Class Action Litigation
3:35—4:20	Session XI: Hedge/Private Fund and Institutional Investor Financial Industry Developments Presented by <i>Nicholas S. Hodge, Kenneth Holston, Pablo Man</i> This session will include: <ul style="list-style-type: none">• Hedge/Private Funds - Recent Developments• Custody Rule Hazards• CLOs
4:20—5:00	Session XII: Global Regulatory Update Presented by <i>C. Todd Gibson, Michael W. McGrath</i> This session will include: <ul style="list-style-type: none">• MiFID II• Brexit's Impact on Managers• Additional Regional Regulatory Issues
5:00—End	Cocktail Hour
