

Tuesday, November 1, 2016
9:00 – 4:45 p.m.

K&L GATES BOSTON INVESTMENT MANAGEMENT CONFERENCE

Advanced Topics in Investment Management

- 09:00—9:05 **Welcome and Introduction**
Presented by *Michael Caccese*
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- 09:05—9:35 **Session I: Financial Industry Developments**
Presented by *Nicholas Hodge, Michael McGrath*
This session will include:
- Hedge Funds and Private Equity Funds - Recent Developments
 - The Proliferation of Robo-Advisers and Regulatory Responses
 - Cybersecurity Updates
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- 09:35—10:05 **Session II: SEC Asset Management Unit, SEC Focus Points and Developments in Enforcement**
Presented by *Nicholas Hodge, Michael McGrath*
This session will include:
- Review of SEC Examination Priorities and Sweep Examinations for 2016
 - Trends in SEC Enforcement Actions
 - SEC's Expanded View on Back-Tested Performance
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- 10:05—10:15 **Break**
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- 10:15—11:00 **Session III: Registered Funds and Regulatory Developments**
Presented by *Clair Pagnano, Trayne Wheeler, George Attisano*
This session will include:
- SEC's New Liquidity Rule
 - SEC Guidance on Market Risk Disclosure
 - SEC's Modernized Reporting Rule - Form N-PORT
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- 11:00—11:30 **Session IV: European Investment Management Issues**
Presented by *Todd Gibson*
This session will include:
- Brexit's Impact on Managers
 - AIFMD Updates
 - UCITS V
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- 11:30—12:00 **Session V: ERISA Developments**
Presented by *Robert Sichel*
This session will include:
- DOL's Fiduciary Regulations
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12:00—12:45

Lunch Break

12:45—01:30

Session VI: Registered Fund Board of Directors and Fund Governance Issues

Presented by *Todd Gibson, Richard Kerr*

This session will include:

- Northstar Overview and Related Developments
 - Section 36(b) Matters - Subadviser Suits
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01:30—02:15

Session VII: Broker-Dealer Regulatory Update

Presented by *Kenneth Juster, Richard Kerr*

This session will include:

- New definition of “Capital Acquisition Broker”
 - Fund Marketing and Distribution
 - FINRA Rulemaking Updates
 - FINRA Cybersecurity Updates
 - Broker-Dealer Enforcement Trends
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02:15—02:30

Break

02:30—03:00

Session VIII: CFTC and Derivative Developments

Presented by *Michael McGrath, Kenneth Holston*

This session will include:

- SEC’s Proposed New Limits on Derivative Use
 - CFTC Updates and Developments
 - New Margin Requirements
 - Derivatives Documentation - Variation Margin, Stay Protocol, and Brexit
 - Global Derivatives Regulatory Update
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03:00—03:30

Session IX: Alternative Products/Registered Funds with Alternative Strategies

Presented by *George Zornada*

03:30—04:00

Session X: Special Issues for Closed-End Registered Funds

Presented by *Clair Pagnano, Trayne Wheeler*

04:00—04:45

Session XI: Tax Developments

Presented by *Joel Almquist*
