

Thursday, December 8, 2016
1:00 – 5:30 p.m.

K&L GATES NEW YORK INVESTMENT MANAGEMENT CONFERENCE

The Harmonie Club

12:30—01:00pm	Registration
01:00—01:05pm	Welcome and Opening Remarks Presented by <i>Derek N. Steingarten</i>
01:05—02:00pm	Recent Developments in the Investment Management Industry Presented by <i>Robert L. Sichel, C. Todd Gibson, Derek N. Steingarten, Edward Dartley</i> This session will include: <ul style="list-style-type: none">• Regulatory Hot topics• Impact of U.S. Elections• Investment Management in Europe, including AIFMD and Brexit• DOL Fiduciary Regulation--the new FAQs• Robo-Advice and FinTech - Capitalizing on High Demand
02:00—02:45pm	Private Funds Presented by <i>Edward Dartley, Cary J. Meer, Adam J. Tejada</i> This session will include: <ul style="list-style-type: none">• Trends in Fees and Expenses• Managing Conflicts• Update on Tax Developments• Infrastructure and Personnel Demands• Non-U.S. Manager Considerations
02:45—03:30pm	Registered Funds Presented by <i>Peter J. Shea, Stacy L. Fuller, Brian S. Vargo, Derek N. Steingarten</i> This session will include: <ul style="list-style-type: none">• ETFs and Other Exchange-traded Products• RIA Advertising and Performance Guidance• SEC Rules<ul style="list-style-type: none">○ New Liquidity Rule○ Investment Company Reporting Modernization○ Auditor Independence - Loan Rule• Other Hot Topics
03:30—03:45pm	Break - Refreshments
03:45—04:30pm	Roundtable Discussion - Raising Capital in 2017
04:30—05:15pm	SEC Enforcement, OCIE, NFA and FINRA Exams Presented by <i>Vincente L. Martinez, Kenneth G. Juster, Cary J. Meer</i> This session will include: <ul style="list-style-type: none">• OCIE "Sweep" Examinations and Enforcement• Whistleblowers through Severance Agreements• SEC Cybersecurity Updates

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- Broker-Dealer Regulatory Update
 - SEC Enforcement re Back-tested/hypothetical Performance
 - Looking ahead to 2017: What Next in Enforcement?
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05:15—05:30pm **Closing Remarks**

Presented by *Edward Dartley*

05:30—07:00pm **Cocktail Reception**
