

Tuesday, November 13, 2018
12:30 – 7:00 p.m.

K&L GATES CHICAGO INVESTMENT MANAGEMENT CONFERENCE

12:30 - 12:55 pm	Registration
12:55 - 1:00 pm	Welcome and Introduction Presented by: <i>D. Mark McMillan</i>
1:00 - 1:30 pm	Registered Fund Litigation Update <i>Speakers: Molly K. McGinley, Nicole C. Mueller, John W. Rotunno and Paul J. Walsen</i>
	This session will include: <ul style="list-style-type: none">• Litigation under Section 36(b) of the Investment Company Act• “Proprietary Funds” ERISA Litigation• Securities Litigation Uniform Standards Act (“SLUSA”) Developments
1:30 - 2:15 pm	Private Fund Opportunities/Opportunity Zone Funds <i>Speakers: Adam J. Tejada, Cary J. Meer and Ed Dartley</i>
	This session will include: <ul style="list-style-type: none">• Update on Status of the Treasury Regulations• Fund Structuring Issues• Accessing Investor Capital
2:15 - 3:15 pm	Hot Topics in Securities and Futures Examinations and Enforcement and CPO and CTA Update <i>Speakers: Vincente L. Martinez, Cary J. Meer, Stavroula E. Lambrakopoulos and Cliff Histed</i>
	This session will include: <ul style="list-style-type: none">• SEC, CFTC and FINRA priorities reflected in enforcement• Fiduciary Duty of Advisers & Brokers - SEC Regulation Best Interest• Recent CFTC CPO and CTA Proposals
3:15 - 3:30 pm	Break - Refreshments
3:30 - 4:10 pm	ETF and Registered Fund Developments <i>Speakers: Peter J. Shea and Derek N. Steingarten</i>
	This session will include: <ul style="list-style-type: none">• ETF Rule Proposal• Liquidity Rule Implementation• ESG Strategies in Registered Funds• Global Market Opportunities

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4:10 - 5:00 pm

Regulation of Cryptocurrencies and ICOs

Speakers: Cliff Histed, Nicole C. Mueller and Peter J. Shea

This session will include:

- DOJ, SEC, and CFTC Enforcement
 - Private Litigation
 - Bitcoin Derivatives
 - Cryptocurrency Investment Vehicles - Barriers to Exchange Traded Products
 - Exchange Regulation & New York Attorney General Position
 - Registered Advisors Trading Crypto - Custody and OCIE Exam Issues
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5:00 - 5:40 pm

FinTech and Blockchain

Speakers: Jennifer Crowder and Rick Giovannelli

This session will include:

- ICOs/STOs
 - Emerging Payments, Utility Tokens & MTL
 - Investing in FinTech
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5:40 - 5:45 pm

Closing Remarks

Presented by: *Cliff Histed*

5:45 - 7:00 pm

Cocktails
