

K&L GATES BOSTON INVESTMENT MANAGEMENT CONFERENCE

Advanced Topics in Investment Management

8:30—9:00	Registration
9:00—9:05	Welcome and Introduction Presented by <i>Michael S. Caccese</i>
9:05—10:15	Session I: Industry Regulatory Developments Speakers: <i>Mark P. Goshko; Abigail P. Hemnes; Christopher L. Nasson; Trayne S. Wheeler; Frank Knox, Vice President and Chief Compliance Officer, John Hancock</i> Moderator: <i>Clair E. Pagnano</i> This session will include: <ul style="list-style-type: none"> • Liquidity Rule Implementation • ETFs: Final Rule Update and Active Non-Transparent ETF Developments • Fund of Funds Rule Proposal • Board Outreach and Fund Governance Update • SEC Examination Update, Enforcement Actions and Litigation Developments
10:15—11:05	Session II: Private Fund Developments Speakers: <i>Pamela A. Grossetti; Nicholas S. Hodge; Andrew Fagenholz, Managing Counsel, Cambridge Associates; Rick Lake, Chief Investment Strategist and Head of Distribution, F/m Acceleration LLC</i> Moderator: <i>Kenneth Holston</i> This session will include: <ul style="list-style-type: none"> • Private Fund Investing Hot Topics • Proposed Changes to Private Placement Regime • Recent Enforcement Actions • Opportunity Zone Funds
11:05—11:20	Break
11:20—12:20	Session III: Closed-End and Alternative Strategy Funds and BDCs Speakers: <i>Jon-Luc Dupuy, Pablo J. Man, George Zornada</i> Moderator: <i>Mark P. Goshko</i> This session will include: <ul style="list-style-type: none"> • Closed-End Fund Reform

12:20—1:00

Lunch Presentation: Outlook for the Global Asset Management Industry

Speaker: *Michael S. Caccese*

1:00—1:30

Session IV: ERISA and Tax Developments

Speakers: *Joel D. Almquist, Robert L. Sichel*

1:30—2:30

Session V: Derivatives Updates

Speakers: *Kenneth Holston; Stephen Humenik; Jason Silverstein, Managing Director & Associate General Counsel, SIFMA AMG*

Moderator: *Michael W. McGrath*

This session will include:

- Global Derivatives Regulatory Update
 - CFTC Regulatory Developments
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2:30—2:45

Break

2:45—3:35

Session VI: Investment Adviser and Broker-Dealer Standards of Conduct

Speakers: *Richard F. Kerr, Pablo J. Man*

This session will include:

- Regulation Best Interest
 - Form CRS
 - Interpretation of Investment Adviser Fiduciary Duty
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3:35—4:20

Session VII: Advertising Developments

Speakers: *Michael S. Caccese, Pamela A. Grossetti, Michael W. McGrath*

This session will include:

- SEC Advertising and Cash Solicitation Proposals
 - GIPS 2020
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4:20—5:00

Session VIII: Global Regulatory Update

Speakers: *C. Todd Gibson, Kenneth Holston*

This session will include:

- Brexit Update
 - LIBOR Transition
 - EU Regulatory Reforms
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5:00—End

Cocktail Hour
