

Wednesday, September 11, 2019

1:30 p.m. - 6:00 p.m. (All times Pacific Standard Time)

K&L GATES SEATTLE INVESTMENT MANAGEMENT CONFERENCE

Advanced Topics in Investment Management

1:30 - 1:55 pm	Registration
1:55 - 2:00 pm	Welcome and Introduction <i>Presented by Charles Purcell and Sonia R. Gioseffi</i>
2:00 - 2:45 pm	Opportunity Zones and Measuring Social Impact <i>Speakers: Sonia R. Gioseffi, Charles H. Purcell, Anthony Cree - Laird Norton Company LLC</i> This session will include: <ul style="list-style-type: none"> • Basics of the Opportunity Zone Rules and the Structures that Are Used in These Transactions • Hear from a Sophisticated Investor on His Experiences with Opportunity Zone Transactions • A Discussion on the Current Status of Opportunity Zone Rules with the IRS and Congress
2:45 - 3:05	ERISA Developments <i>Speakers: Robert L. Sichel, Ruth E. Delaney</i> This session will include: <ul style="list-style-type: none"> • Socially Responsible/ESG Investing • Distribution Through Consulting/OCIO Firms
3:05 - 3:20 pm	Break
3:20 - 3:50 pm	Financial Professional Standards for Broker Dealers and Investment Advisers - Including Regulation Best Interest and Form CRS <i>Speakers: Sasha Burstein, Ruth E. Delaney</i> This session will include: <ul style="list-style-type: none"> • General Obligations Under Regulation BI ("Best Interest") • Form CRS ("Customer Relationship Summary") • Interpretation of Investment Advisers' Fiduciary Duties
3:50 - 4:25 pm	Hot Topics in Enforcement <i>Speaker: Matthew J. Mangan</i> This session will include:

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- An Overview of National Exam Program Risk Alerts Over the Past Year, with a Focus on Issues of Importance to Investment Advisers, Investment Companies and Private Funds
- Significant SEC Enforcement Actions Pertaining to Investment Management, with a Focus on Compliance Concerns Including:
 - custody;
 - investment allocation;
 - fee calculation and allocation; and
 - share class selection.

4:25 - 5:00 pm Current Industry Terms

Speakers: Andrew J. Feucht, Sonia R. Gioseffi, Mark T. Heine, Scott Davies - University of Washington

This session will include:

- Where is Money Being Invested?
- Who are the Investors?
- Ways Investors are Increasing Returns
- Fund terms - Areas of Movement and New Concerns
- Practical Realities of Negotiating

5:00 - 6:00 pm Cocktail Reception
