

Wednesday, October 23, 2019

2:00 p.m. – 7:00 p.m. (All times Pacific Standard Time)

K&L GATES SAN FRANCISCO INVESTMENT MANAGEMENT CONFERENCE

2:00–2:25 p.m.

Registration

2:25–2:30 p.m.

Welcome and Introduction

Presented by *Matt Mangan*

2:30–3:15 p.m.

SEC Examination and Enforcement Trends

Speakers: Rob Crea, Matt Mangan, and Michael McGrath

This session will include:

- An Overview of Recent National Exam Program Risk Alerts and Lessons Learned from Recent Exams
 - Significant SEC Enforcement Trends Pertaining to Investment Management, Including:
 - Custody
 - Conflicts of interest
 - Fee calculations and expense allocation
 - Share class selection
 - Performance advertising
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3:15–4:00 p.m.

Financial Professional Standards for Broker Dealers and Investment Advisers – Including Regulation Best Interest and Form CRS

Speakers: Sasha Burstein, Ruth Delaney, and Eden Rohrer

This session will address the practical implications of the SEC's recent fiduciary rulemaking and guidance, including:

- General Obligations Under Regulation BI
 - Form CRS (Customer Relationship Summary)
 - Interpretation of Investment Advisers' Fiduciary Duties
 - State and Industry Court Challenges
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4:00–4:15 p.m.

Break

4:15–4:45 p.m.

Socially Responsible/ESG Investing

Speakers: Sasha Burstein, Sonia Gioseffi, Michael McGrath, and Teresa Wells, Managing Director – Tiedemann Advisors

This session will include:

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- The Recent and Future Growth of ESG Investing
- Investing, Measuring, and Reporting
- Nonprofit Funds
- Regulatory Considerations for ESG Investments

4:45–5:30 p.m.

Private Fund Hot Topics - Critical and Emerging Issues

Speakers: Rob Crea, Ed Dartley, and Todd Gibson

This session will include:

- Opportunity Zones
- CFIUS
- Cannabis
- ILPA Principles 3.0
- Brexit Update
- Current Seeding Trends

5:30–7:00 p.m.

Cocktail Reception
