

MATERIALS FROM THE 2017 INVESTMENT MANAGEMENT CONFERENCES

Date: November 2017

K&L Gates was pleased to present our annual Investment Management conferences for clients and friends of the firm.

These conferences were held at a number of our offices and videoconferenced to others. Our lawyers from our Investment Management practice discussed a range of topics and practical issues. Each program focused on current issues and regulatory developments confronting the investment management industry.

Boston Investment Management Conference ([Download Agenda](#))

November 28, 2017

Conference Presentations

- [Session I: Regulatory Developments](#)
- [Session II: Cybersecurity and Social Media](#)
- [Session III: Registered Fund Board of Directors and Fund Governance Issues](#)
- [Session IV: Special Issues for Registered Closed-End, Tender Offer and Interval Funds](#)
- [Session V: Tax Developments](#)
- [Session VI: Exchange Traded Funds](#)
- [Session VII: Developments in SEC Enforcement and Examinations](#)
- [Session VIII: CFTC and Derivatives Developments](#)
- [Session IX: Alternative Products/Registered Funds with Alternative Strategies/Business Development Companies](#)
- [Session X: ERISA Developments](#)
- [Session XI: Hedge/Private Fund and Institutional Investor Financial Industry Developments](#)
- [Session XII: Global Regulatory Update](#)

Washington DC Investment Management Conference ([Download Agenda](#))

November 1-2, 2017

Supplemental Materials

- [Session II.A - Organizing a Mutual Fund](#)
- [Session II.B - The Offering Documents](#)

- [Session III - Managing a Fund's Portfolio](#)
- [SessionVI - Selling the Fund's Shares](#)
- [SessionVIIA - Mutual Fund Advertising](#)
- [SessionVIIB - Social Media](#)
- [SessionVIII - Mutual Fund Valuation Procedures](#)
- [SessionIX - Compliance and Examinations](#)
- [Federal Tax Aspects](#)

PowerPoint Presentations

- [Session I - Overview of the Investment Company Complex](#)
- [Session II - Organizing a Fund and Federal Taxation of a Fund](#)
- [Session III.A. - Investment Objectives and Policies](#)
- [Session III.B. - Transactions with Affiliates](#)
- [Session III.C. - Code of Ethics](#)
- [Session IV - Portfolio Brokerage Practices](#)
- [Session V - Board of Directors and the Audit Committee](#)
- [Session VI - Distribution of Mutual Fund Shares](#)
- [Session VII - Mutual Fund Advertising](#)
- [Session VIII - Mutual Fund Valuation](#)
- [Session IX - Compliance and Examinations](#)
- [Session X.A - Hot Topics on Recent Developments - DOL Fiduciary Rule](#)
- [Session X.B - Hot Topics on Recent Developments - SEC Fiduciary Rule Initiative](#)
- [Session X.C - Hot Topics on Recent Developments - Liquidity Rule Developments](#)
- [Session XI - Exchange-Traded Funds](#)
- [Session XII - Private Funds and CLOs](#)
- [Session XIII - FInTech and Cryptocurrencies](#)
- [Session XIV - Hot Topics in Enforcement](#)

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