MATERIALS FROM THE 2019 INVESTMENT MANAGEMENT CONFERENCES

Date: Fall 2019

During the fall of 2019, K&L Gates hosted our annual Investment Management Conferences for clients and friends of the firm.

These conferences were held at a number of our offices and video-conferenced 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 including:

- Opportunity Zones
- Enforcement
- Registered Funds
- Cryptocurrencies

CONFERENCE MATERIALS

Seattle Investment Management Conference

September 11, 2019

- Seattle Program Agenda
- Session I - Opportunity Zone Presentation
- Session II - ERISA Developments
- Session III - Reg BI
- Session IV - Enforcement
- Session V - Industry Terms

San Francisco Investment Management Conference

October 23, 2019

- San Francisco Program Agenda
- Session I - SEC Examination and Enforcement Priorities
- Session II - Financial Professional Standards of Conduct
- Session III - Socially Responsible, ESG, and Impact Investing

©2005-2026 K&L Gates LLP. All Rights Reserved.

- Session IV - Private Fund Hot Topics -Critical and Emerging Issues

New York Investment Management Conference

October 30, 2019

- New York Program Agenda
- Additional Materials: Forbes Insights - Financial Services at the Crossroads of Digital Transformation
- Session I - Registered Fund Developments
- Session III - Private Fund Developments
- Session IV - Examinations and Enforcement
- Session V - Regulatory Updates

Boston Investment Management Conference

November 5, 2019

- Boston Program Agenda
- Session I - Industry Regulatory Developments
- Session II - Private Fund Developments
- Session III - Closed-End and Alternative Strategy Funds and BDCs
- Lunch Presentation - Outlook for the Global Asset Management Industry
- Session IV - ERISA and Tax Developments
- Session V - Derivatives Updates
- Session VI - Investment Adviser and Broker-Dealer Standards of Conduct
- Session VII - Advertising Developments
- Session VIII - Global Regulatory Update

Washington, D.C. Investment Management Conference

November 12-13, 2019

- Washington, D.C. Program Agenda
- Session I - Overview of the Investment Company Complex
- Session II - Organizing an Investment Company, Registering Its Shares and Maintaining a Continuous Offering, and Complying with the Tax Code
- Session III - Compliance Programs
- Session IV - Distribution of Fund Shares and Fund Advertising

©2005-2026 K&L Gates LLP. All Rights Reserved.

- Session V - Transactions with Affiliates
- Session VI - Portfolio Brokerage Practices
- Session VII - Registered Fund Valuation
- Session VIII - The Fund's Board of Directors and Committees
- Session IX - Policy Group Presentation
- Session X - Registered Fund Developments
- Session XI - Exchange-Traded Funds (ETFs)
- Session XII - Tech Innovation in Asset Management: Artificial Intelligence and Blockchain
- Session XIII - Private Funds Developments
- Session XIV - Financial Professional Standards for Broker Dealers and Investment Advisers
- Session XV - Derivatives
- Session XVI - SEC and FINRA Examinations, Enforcement and Litigation

Chicago Investment Management Conference

November 14, 2019

- Chicago Program Agenda
- Chicago Investment Management Conference Materials

This publication/newsletter is for informational purposes and does not contain or convey legal advice. The information herein should not be used or relied upon in regard to any particular facts or circumstances without first consulting a lawyer. Any views expressed herein are those of the author(s) and not necessarily those of the law firm's clients.

©2005-2026 K&L Gates LLP. All Rights Reserved.