CHICAGO INVESTMENT MANAGEMENT CONFERENCE
2nd Floor Conference Room

12:30—01:00pm | **Registration**

01:00—01:05pm | **Welcome and Opening Remarks**

Presented by *Edward Dartley*

01:05—02:00pm | **Recent Developments in the Investment Management Industry**

Presented by *Robert L. Sichel, C. Todd Gibson, Derek N. Steingarten, Edward Dartley*

This session will include:

- Regulatory Hot Topics
- Impact of U.S. Elections
- DOL Fiduciary Regulation--the new FAQs
- Robo-Advice and FinTech – Capitalizing on High Demand

02:00—03:00pm | **SEC, CFTC, FINRA and NFA – Examinations and Enforcement**

Presented by *Vincente L. Martinez, Cary J. Meer, Clifford C. Histed, Michael T. Dyson*

This session will include:

- SEC Enforcement Trends and Significant Matters
- OCIE and NFA Examination Initiatives and Activities
- CFTC and Futures Exchange Enforcement
- FINRA Enforcement
- Looking ahead to 2017: What Next in Enforcement?

03:00—03:15pm | **Break - Refreshments**

03:15—4:15pm | **Private Funds/International Developments**

Presented by *Edward Dartley, Cary J. Meer, Todd W. Betke, Joshua J. Yang, C. Todd Gibson*

This session will include:

- Managing Conflicts
- Trends in Fees and Expenses
- Infrastructure and Personnel Demands
- Ability of U.S. Managers to Operate PRC Local Funds
- Recent Developments Affecting Private Equity Investments in India
- Investment Management in Europe, including AIFMD and Brexit

04:15—05:15pm | **Registered Funds**

Presented by *Peter J. Shea, Derek N. Steingarten, Stephen J. O'Neil, Molly K. McGinley, John W. Rotunno, Paul J. Walsen*

This session will include:

- ETFs and Other Exchange-Traded Products
- SEC Rules
    - New Liquidity Rule

- o Investment Company Reporting Modernization
- o Auditor Independence – Loan Rule
- Update on Section 36(b) Litigation
- Other Hot Topics

05:15—05:30pm	**Closing Remarks** Presented by *Derek N. Steingarten*
05:30—07:00pm	**Cocktail Reception** Located at the c-suite. Just around the corner from the 2nd floor conference room.