

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](#)
- [Session VI - Selling the Fund's Shares](#)
- [Session VIIA - Mutual Fund Advertising](#)
- [Session VIIB - Social Media](#)
- [Session VIII - Mutual Fund Valuation Procedures](#)
- [Session IX - 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](#)

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.