

# 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](#)

- [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](#)

- [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](#)

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