

K&L GATES WASHINGTON, D.C. ASSET MANAGEMENT AND INVESTMENT FUNDS CONFERENCE

November 2, 2023

K&L Gates Office – 1601 K Street, NW

08:30 - 09:00am

Welcome and Breakfast

Presented by: [Robert J. Zutz](#), Partner and [Ndenisarya M. Bregasi](#), Practice Area Leader - K&L Gates

09:05 – 09:25am

State of the Global Asset Management Industry

Presented by [Micheal S. Caccese](#), Firm Chairman and Practice Area Leader - K&L Gates

09:30 -10:50am

Registered Funds Regulatory Roundup - Preparing for the Changing Environment

Moderator: [Fatima S. Sulaiman](#), Partner - K&L Gates

Speakers: [Lance C. Dial](#), Partner; [Kathy Kresch Inqber](#), Partner; [Marquerite W. Laurent](#), Partner; [Franklin H. Na](#), Partner; and [Keri E. Riemer](#), Of Counsel - K&L Gates

This session will include:

- ESG Disclosure Standards for Funds and Advisers; ESG Developments in the United States, EU & UK
- Fund Names
- Fund Disclosure Reform/Tailored Shareholder Reports
- Fund Cybersecurity Risk Governance for Funds and Advisers
- Liquidity Rule and Swing Pricing
- Fund Fee and Disclosure Reform

10:50 – 11:00am

Break

11:00 – 11:45am

Registered Fund Product Trends and Developments

Moderator: [Mark C. Amorosi](#), Practice Area Leader - K&L Gates

Speakers: [Richard F. Kerr](#), Partner; [Stacy L. Fuller](#), Partner; and [Jacob M. Derr](#), Associate - K&L Gates

This session will include:

- ETFs
- Mutual Fund to ETF Conversions
- ETF Share Classes
- Digital Asset and Cryptocurrency Funds and ETFs
- Alternative Investment Fund Structures, Including Interval Funds and Tender Offer Funds
- Money Market Fund Developments

11:45am – 12:30pm

Regulatory Roundup - Rules Impacting Investment Advisers and Private Funds

Moderator: [Lance C. Dial](#), Partner - K&L Gates

Speakers: [Mark C. Amorosi](#), Practice Area Leader; [Richard F. Kerr](#), Partner; and [Keri E. Riemer](#), Of Counsel - K&L Gates

This session will include:

- New Private Fund Adviser Rules and Form PF Amendments
- Marketing Rule
- Safeguarding Rule
- Outsourcing by Investment Advisers
- Advisers' Use of AI Technologies

12:35 – 1:35pm

Lunch - Trade Association Panel Discussion

Moderator: [Daniel F. C. Crowley](#), Partner - K&L Gates

Speakers: [Kenneth Bentsen Jr.](#), President and CEO, Securities Industry and Financial Markets Association; [Walt Lukken](#), President and CEO, Futures Industry Association; [Rick Redding](#), CEO, Index Industry Association; [Wyatt Stewart](#), Government Affairs Officer, Financial Services Policy, Investment Company Institute

This session will include:

- A Discussion of the Regulatory Challenges Facing the Industry

01:40 – 02:10pm

Policy Presentation - Washington Update

Moderator: [Karishma Shah Page](#), Partner - K&L Gates

Speakers: [Ryan T. Carney](#), Partner and [Jamie L. Jackson](#), Partner - K&L Gates

This session will include:

- 2024 Election: Legislative Priorities for the Asset Management Industry

2:10 – 2:20pm

Break

2:20 – 03:15pm

Enforcement and Examinations

Moderator: [Stephen G. Topetzes](#), Partner - K&L Gates

Speakers: [Meghan E. Flinn](#), Partner; [Cheryl L. Isaac](#), Partner; and [Theodore L. Kornobis](#), Partner - K&L Gates

This session will cover:

- SEC Sweep Examination Trends
- Fund and Adviser Enforcement and Litigation Developments
- Crypto Enforcement and Litigation
- Use of Section 9 Disqualifications Against Registered Fund Advisers and Principal Underwriters

03:15 – 3:20pm

Closing Remarks