

Wednesday, September 30, 2020
1:00 – 5:00 p.m. (All times Eastern Standard Time)

2020 ETF Think Tank

Wednesday, September 30, 2020

1:00—1:50

Session I: ETF Rule 6c-11 Implementation, Listing Rules

Moderated by Stacy Fuller (K&L Gates)

Speakers: Irma Bribiesca (DeltaShares ETFs), Paul Kim (Simplify ETFs), Frank Koudelka (State Street Corporation), Kyle Murray (Cboe), Andrew Serowik (Exchange Traded Concepts)

This session will cover:

- Custom baskets from the sponsor and back- and middle-office perspective
- Product development and market making given the new asset classes allowed by 6c-11
- Listing changes attendant to 6c-11

1:50—2:10

Congress's Impending Search for Income: Will Congress Revise the ETF Tax Deferral Provision of the Code?

Speakers: Mary Burke Baker (K&L Gates) & Joel Almquist (K&L Gates)

2:10—3:00

Session II: The Brave New World of Semi-Transparent Active ETFs

Moderated by Peter Shea (K&L Gates LLP)

Speakers: Tony Baker (Investment Innovations LLC), Darlene DeRemer (Grail Partners), Sonia Kurian (T. Rowe Price), Jim Simpson (ETP Resources), Adina Taylor (Fidelity Investments), Doug Yones (NYSE Arca)

This session will cover:

- Semi-Transparent ETFs - Operational Differences vs. Investor Experience
- Market of new semi-transparent ETFs
- The future of semi-transparent ETFs

3:00—3:10

How ESG ETFs Can Access the \$11 Trillion ERISA Space

Speaker: Rob Sichel (K&L Gates)

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3:10 – 4:00

Session III: What's New & What's Next?

Moderated by Trayne Wheeler (K&L Gates)

Speakers: Brandon Clark (Federated Hermes), Nancy Davis (Quadratic Capital Management), Steve Oh (Nasdaq), Rich Powers (The Vanguard Group), Bob Tull (Procure ETFs)

This session will cover:

- ESG: What is "ESG"? Will we see more ESG ETFs? And can investors, in fact, "do well" and "do good" at the same time?
- Alt ETFs: More options- and derivatives-based strategy ETFs are coming
- The past and future impact of AI on the ETF space
- An exchange's perspective on ETF product development

4:00—4:50

Session IV: Marketing and Distributing ETFs in the Age of COVID-19

Moderated by Rich Kerr (K&L Gates)

Speakers: Dave LaValle (Alerian), Luke Oliver (DWS), Ben Slavin (BNY Mellon), Chris Sullivan (Macmillan Communications), Susan Thompson (State Street Global Advisors)

This session will include:

- How has distribution changed in the time of COVID-19 and social distancing
- The role of service providers, including index providers, in distribution
- The impact of commission-free trading and revenue sharing arrangements on distribution
- What is next for distribution as ETFs become more prevalent?

4:50 – 5:00

The Sea Change Coming to Shareholder Reporting

Speaker: Trayne Wheeler (K&L Gates)
