

## San Francisco Investment Management Symposium

Tuesday, November 28

### AGENDA

**8:30 – 9:00 a.m. REGISTRATION**

**9:00 – 9:05 a.m. Welcome Remarks**

- Mark Perlow, Partner, Dechert
- Robert Robertson, Partner, Dechert

**9:05 – 9:45 a.m. The Regulatory Apprentice: What Does the Trump Administration Mean for Financial Regulation?**

**Description:**

The new Administration's approach toward regulation of the financial sector is starting to come into view. This panel will discuss and introduce the themes of the Symposium.

- The SEC – New Chair, New Priorities
- The CFTC KISS (Keep It Simple, Stupid)
- The Treasury White Papers
- A New Direction for FSOC
- Whither the Volcker Rule?
- The EU Takes Charge

**Panelists:**

- David Owen, Managing Director and Global Regulatory Counsel, Allianz Global Investors
- Mark Perlow, Partner, Dechert
- David Vaughan, Partner, Dechert

**9:45 – 10:45 a.m. FinTech: The Future is Now**

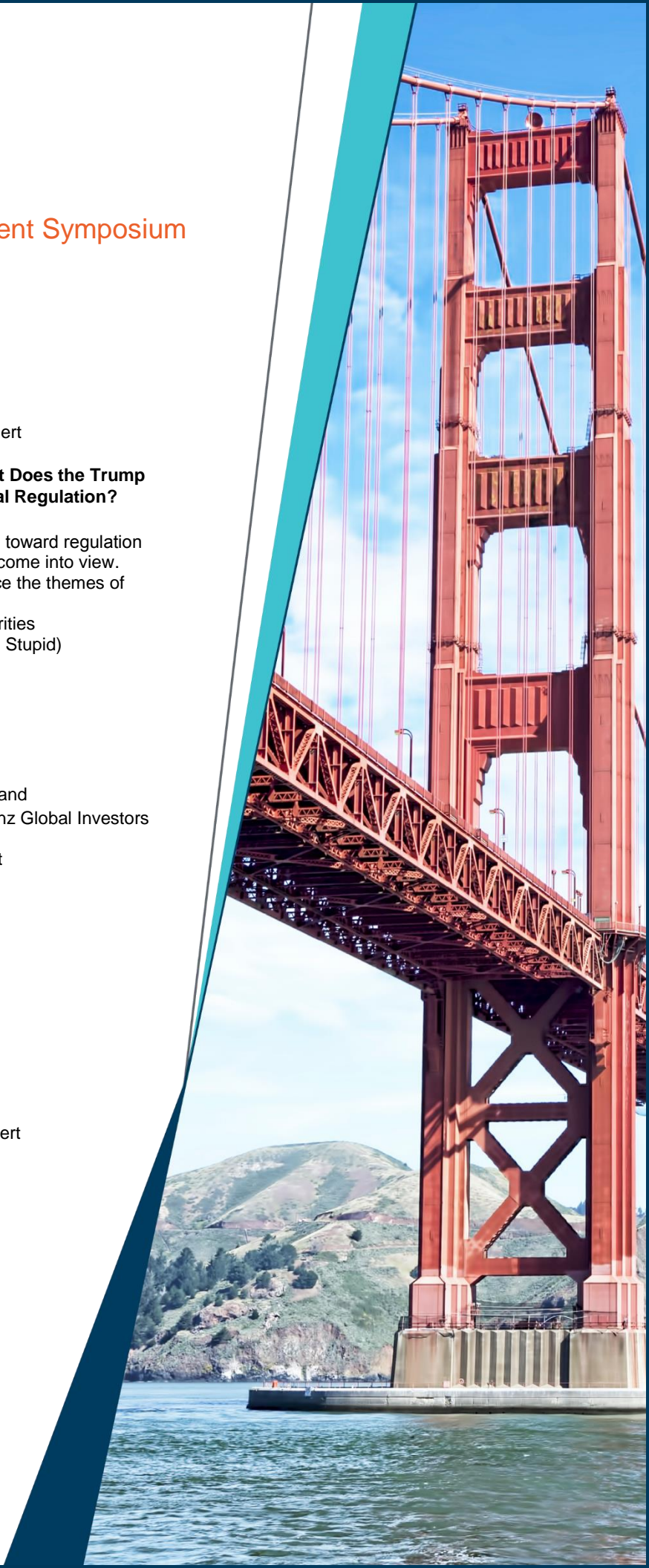
**Topics:**

- Robo-Advisers
- Blockchain and Cryptocurrencies
- Peer-to-peer Lending

**Panelists:**

- Brian Beck, General Counsel, LendingClub Asset Management
- Susan Grafton, Partner, Dechert
- Mark Perlow, Partner, Dechert
- Timothy Spangler, Partner, Dechert

**10:45 – 11:00 a.m. BREAK**



## Dechert LLP – San Francisco Investment Management Symposium Agenda

- 11:00 – 12:00 p.m. Examinations, Enforcement and Litigation: Developments and Trends to Watch in 2018**
- Topics:**
- Update from the SEC Examinations Front
  - Recent Sweeps and Risk Alerts, including Advertising and Cybersecurity
  - Emerging Enforcement Priorities
  - R.I.P. Broken Windows?
  - Investor Side Litigation
- Panelists:**
- Catherine Botticelli, Partner, Dechert
  - David Kotler, Partner, Dechert
  - Michael Sherman, Partner, Dechert
- 12:00 – 1:20 p.m. LUNCH**
- 1:20 – 3:00 p.m. Private Funds Track**
- Topics:**
- Trends in Fund Types and Terms
    - Hedge Funds
    - Private Equity Funds
    - Venture Capital Funds
    - Debt Funds
  - What's Going on Across the Pond? Brexit, MiFID II, EU Developments
  - The Future of Brokerage Commissions
- Panelists:**
- Susan Grafton, Partner, Dechert
  - Russel Perkins, Partner, Dechert
  - John-Austin Saviano, Managing Partner, High Country Advisors, LLC
  - Timothy Spangler, Partner, Dechert
  - David Vaughan, Partner, Dechert
- 1:20 – 3:00 p.m. Registered Funds Track**
- Topics:**
- Implementation of the Data Modernization Rules
  - The Liquidity Risk Management Rule
  - Update on 36(b) and other Mutual Fund Litigation
  - Fiduciary Follies – The State of Play on DOL Fiduciary
  - The SEC Fiduciary Initiative – Is It Real This Time?
- Panelists include:**
- Kevin Cahill, Partner, Dechert
  - Stephen Cohen, Partner, Dechert
  - Douglas Dick, Partner, Dechert
  - Catherine MacGregor, Vice President and Associate General Counsel, Charles Schwab & Co., Inc.
  - Mark Perlow, Partner, Dechert
- 3:00 – 3:20 p.m. BREAK**
- 3:20 – 4:00 p.m. ETFs: The Onward March Continues**
- Topics:**
- Update on Continuous Compliance Listing Standards
  - State of Play on ETF Innovation
  - Analyzing ETFs from an Investors' Viewpoint
- Panelists include:**
- Deepa Damre, Managing Director, Legal & Compliance, BlackRock, Inc.
  - Allison Fumai, Partner, Dechert
  - Adam Teufel, Partner, Dechert

## Dechert LLP – San Francisco Investment Management Symposium Agenda

### 4:00 – 4:55 p.m. In-House Roundtable

#### Description:

A panel of experienced in-house lawyers and compliance officers will discuss the issues on which they are focusing and practical tips for addressing these and other hot topics, including:

- Staying Ahead of the Curve (and the Change-up, and the Knuckleball)
- Managing in an Era of Change
- The Next Generation of Talent

#### Panelists include:

- Elaine Lindenmayer, Deputy General Counsel, Managing Director, Union Bank
- Manoj K. (Tito) Pombra, Chief Compliance Officer, Matthews Asia
- Robert Robertson, Partner, Dechert (*moderator*)

### 4:55 – 5:00 p.m. Concluding Remarks

- Mark Perlow, Partner, Dechert
- Timothy Spangler, Partner, Dechert

### 5:00 p.m. RECEPTION