



Los Angeles Investment Management Symposium

Wednesday, November 14

AGENDA

1:00 – 1:30 p.m.

REGISTRATION

1:30 – 2:15 p.m.

PRIVACY AND CYBERSECURITY

Topics:

- California Consumer Privacy Act
- Risks of Big Data in the Asset Management Business
- Data Breach Incident Response
- GDPR: the First Six Months
- Recent SEC Enforcement Action

Panelists:

- Timothy Blank, Partner, Dechert
- Kevin Cahill, Partner, Dechert
- Angela Mitchell, Vice President FBMG, Capital Research and Management Company

2:15 – 3:15 p.m.

STANDARDS OF CONDUCT RULEMAKING / ADVISERS ACT UPDATE

Topics:

- Proposed Regulation BI
- Proposed IA Interpretive Standard
- Potential Impact on Broker-Dealers and Registered and Private Funds
- Advertising Rules in the Age of Social Media
- Social Media, Pay-to-Play Enforcement Actions
- Custody Rule Developments

Panelists:

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



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3:15 – 3:30 p.m.

BREAK

3:30 – 4:00 p.m.

WASHINGTON UPDATE

Is the Administration making regulation great again? Or is the deep regulatory state reasserting itself?

- Continuity and Change at the SEC and CFTC
- The Return to Grace of Innovation
- Whither Enforcement?

Panelists:

- Anthony Kelly, Partner, Dechert (*Former Co-Chief of the SEC Enforcement Division's Asset Management Unit*)
- Mark Perlow, Partner, Dechert

4:00 – 4:45 p.m.

PRIVATE FUND DEVELOPMENTS

Topics:

- Tax Update
- Recent SEC Enforcement Cases
- Side Letter Terms

Panelists:

- Adrienne Baker, Partner, Dechert
- Kenneth Rasamny, Associate, Dechert
- Timothy Spangler, Partner, Dechert

4:45 – 5:40 p.m.

BLOCKCHAIN UPDATE FOR INVESTMENT MANAGERS

Topics:

- Regulatory Status of Digital Assets
- Investing in Digital Assets
- Applications in Traditional Finance

Panelists:

- Chelsea Childs, Associate, Dechert
- Susan Grafton, Partner, Dechert
- Sean Keegan, CEO, Digital Asset Strategies
- Timothy Spangler, Partner, Dechert

5:40 p.m.

RECEPTION