

SESSIONS

DAY ONE - UCITS & AIFMD FOR US MANAGERS 2019 - 12/03/2019

UCITS & AIFMD for US Managers

12 - 13 March 2019

The Convene: 75 Rockefeller Plaza
New York, NY, USA

Registration

08:30 - 09:00

Chair's Welcome

09:00 - 09:10

Participants

Chairman: Andrew Kehoe - Head of Legal, KB Associates

Entering Europe: The Developing Regulatory Landscape

09:10 - 10:00

- Key European regulatory developments in progress and those on the horizon
 - Review of UCITS & AIFMD
 - CMU – where are we now?
 - Latest updates from the European Securities Markets Authority (ESMA); moves to hinder delegation to London post-Brexit – impact for non-EU managers
- What's happening with the European Supervisory Authorities (ESA) review?
 - The impact of potential increased centralisation and harmonisation of investment funds
- GDPR post-implementation: Impact for non-EU asset managers so far
- Key challenges for asset managers under the new European Parliament and Commission

Participants

Steven Yadegari - Chief Operating Officer and General Counsel, Cramer Rosenthal McGlynn, LLC

Jeffrey Himstreet - Corporate Counsel, PGIM, Inc. (Prudential Investment Management)

Vitali Schetle, CFA - Director, Head Product Legal Engineering, Conducting Officer, Vontobel Asset Management

Eva Mykolenko - Associate Chief Counsel, Securities Regulation, ICI Global

Moderator: Karl Egbert - Partner, Baker McKenzie

Evolving Fund Flows and Sales Trends in Europe

10:00 - 10:45

- The commercial overview; current European distribution and domiciliation trends
 - Identifying current hot asset classes; which funds are selling and which channels are the most advantageous?
 - Developing fund flows; understanding the current trends in Europe
 - Investor demand; demand for tailored, value-driven products; ESG and demand for sustainable investing
- Brexit; industry movements so far
- Comparison of fund domiciles (EU and offshore) and the growth of EU master-feeder structures

Participants

Moderator: Eric Neisner - Director, International Business Development, Legg Mason Global Asset Management

Matthias Liermann - Head of Global Product Platform, DWS Investment GmbH

Philip Coolidge - CEO, Global Fund Connections LLC

Networking Coffee Break

10:45 - 11:15

The Changing Face of Distribution in Europe: Opportunities and Challenges

11:15 - 12:00

- Key regulatory developments affecting cross-border distribution
 - The European Commission's proposal to reduce barriers to cross-border distribution
- European investor attitudes and behaviours
- Cross-border Distribution in Europe Post-Brexit; current roadmap
 - Domiciliation issues; service provider selection
 - Overall impact for US Managers; impact on investors

Participants

Nadia Bonnet - Senior Associate, Arendt & Medernach SA

Ajai Thomas - Managing Director, Head of Investor Relations, Hollis Park Partners LP

Sascha Calisan - Senior Vice President and Head, Fund Distribution Support, Northern Trust

Jonathan Schuman - Head of Global Business Development, Matthews Asia

Moderator: Jenny Ljunghammar - Head of Marketing Restrictions, Aosphere LLP

Successfully Launching UCITS & AIFs

12:00 - 12:45

- Overview of the European market; investor demands and behaviours
- Distribution of UCITS and AIFs
 - Trial and Error: Which methods have been working?
- Successful marketing and distribution strategies
- Setting up your operations in Europe; practical considerations

Participants

Matt Darwin - Senior Counsel, Vice President, Cohen & Steers

Craig Peretz - Chief Operating Officer, Chief Financial Officer and Chief Compliance Officer, Sierra Global Management, LLC

David Giannone - Managing Director & Head of US, Global Client Coverage, RBC Investor & Treasury Services

Andrew Caruana Scicluna - Senior Associate, Camilleri Preziosi Advocates, Member of FinanceMalta

Moderator: Brian Dunleavy - Senior Consultant, KB Associates

Lunch

12:45 - 13:45

The Rise of Third Party ManCos in Europe

13:45 - 14:30

- The pros and cons of electing a Third Party ManCo; various models of ManCo and Super ManCo and how they function
 - Substance, practical challenges
 - Blurred lines; clarifying responsibility between parties; potential risks to advisers and clients
- Where is business for ManCos coming from? Which markets?
 - Investor perspective; getting value for money
- Creation of ManCos outside of the UK in response to Brexit and MiFID II; industry impact
 - Increasing obligation to use ManCos; delegation, verifying activities, decision-making, control; pricing pressure
- Impact of the rise of Third Party ManCos on fund distribution in Europe; passporting post-Brexit

Participants

Moderator: Peadar De Barra - Director & Chief Operating Officer, KB Associates

Adam Johnson - Senior Vice President and Associate General Counsel, Cohen & Steers

Emily Davy - Head of Legal and Compliance, Prescient Fund Services Ireland

Martin Vogel - CEO, MDO Management Company S.A.

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Effective Oversight in an Increasingly Delegated Landscape

14:30 - 15:15

- Managing the changing regulatory environment; how are asset managers coping?
- Delegation structures, how to best enable distribution post-Brexit
 - Secondment, accessing Europe, MiFID II impact
- Ensuring your funds are correctly sold through your network
 - Backflow of information; target market reporting/assessment, structural dependencies
 - The best strategies for distribution due diligence; navigating unharmonized processes

Participants

Deborah Lamb - Chief Compliance Officer, McKinley Capital Management LLC

David Fitzgerald - General Counsel and Chief Compliance Officer, Gabelli & Partners, LLC

Steven Jafarzadeh, CAIA - Managing Director, CCO & Partner, Stonehaven LLC

Moderator: Craig Peretz - Chief Operating Officer, Chief Financial Officer and Chief Compliance Officer, Sierra Global Management, LLC

MiFID II & PRIIPs: Where Are We Now?

15:15 - 16:00

- To what extent have MiFID II and PRIIPs fulfilled their purpose so far?
 - MiFID II objectives; the needs of asset managers
 - Investor protection, increased transparency, increased information sharing
 - Third country regime changes
- Impact of MiFID II product governance, target market and inducement rules on distribution channels
- Change in market dynamics; selection, operations, offerings
- PRIIPs: Where do we stand?
 - UCITS KID extension

Participants

Moderator: Gordon Eng - General Counsel & Chief Compliance Officer, SKY Harbor Capital Management, LLC

Tanya Schuessler - Vice President, Associate General Counsel, OppenheimerFunds

Adrian Whelan - Senior Vice President of Regulatory Intelligence, Brown Brothers Harriman

Spotlight on AIFMD and Alternatives

16:00 - 16:45

- The European Commission's review of application and scope of AIFMD
 - Remuneration, sanctions, delegation; related requirements
- Update on the RAIF vehicle and its uptake
- AIFMD II: What will it look like?

Participants

Stephen Swanson - Assistant General Counsel, Invesco

Karl Egbert - Partner, Baker McKenzie

Colin Keane - Country Head, SS&C Ireland

Moderator: Kevin Gustafson - Director of Legal & Compliance, Americas, Eastspring Investments

Chair's Summary and Close of Day One

16:45 - 16:50

Participants

Chairman: Andrew Kehoe - Head of Legal, KB Associates

Networking drinks reception

16:50 - 18:10

SCHEDULE

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The Growth of ETFs and Indexing in Europe

09:10 - 10:00

- How will ETFs continue to disrupt the asset management industry?
 - The current state of passive investing in Europe
 - The development and adoption of the ETF structure so far
- Managing the passive trend; key challenges and opportunities
 - Meeting evolving investor demands
 - Achieving transparency requirements
- Outlook for the ETF industry

Participants

Andrew Beer - Founder and Managing Partner, Dynamic Beta investments

Justin Wheeler - Vice President, Blackrock

Taylor Lukof - Founder & CEO, ABR Dynamic Funds, LLC

Moderator: Stephen Carson - Partner, Asset Management & Investment Funds London, A & L Goodbody

Distributing UCITS and AIFs into Asia and LatAm

10:00 - 10:50

- Regional overview; key players and promising opportunities
- Key features of the primary regulatory frameworks
- Regulatory trends in Asia, including personal liability and data protection
- Offering UCITS in Latin American institutional channels
- Selection and oversight of third party marketers and distributors
- Practical challenges of entering regional markets

Participants

Alexander Soto - Vice President and Associate General Counsel, Nuveen

Victor Hugo Rodriguez - CEO, LatAm Alternatives Group

Les Baquiran - Founder, Alpine Capital Advisors

Mike Kearns - Head of US Offshore Distribution, UNICORN Strategic Partners

Moderator: Chris Stapleton - Managing Director, The AMCS Group

Networking Coffee Break

10:50 - 11:15

The Future of the UCITS brand

11:15 - 12:05

- How will UCITS fare in the run-up to and post-Brexit?
- ESMA Opinion on UCITS share classes; costs
- Delegation; the threat to the UCITS brand
- The European Commission's consultation on cross-border distribution; impact assessment, legislative action
- AIFMD vs UCITS; alignment of cross-border activities

Participants

David Walsh - Partner, Asset Management and Investment Funds, Dillon Eustace

Andrew Kehoe - Head of Legal, KB Associates

Moderator: Vitali Schetle, CFA - Director, Head Product Legal Engineering, Conducting Officer, Vontobel Asset Management

The Rise of ESG and Sustainable Investing

12:05 - 12:55

- Changing investor attitudes and asset managers' responses to ESG and sustainable investing
- Different interpretations and terminology within the ESG movement; different clients' perspectives
- Key industry developments and initiatives; which jurisdictions are progressing the most?
 - The rise of ESG and sustainable investing in Europe
- Going beyond risk mitigation; how can ESG investing generate superior returns?
 - The business case for sustainable investment

Participants

Moderator: Alessia Falsarone - Managing Director of Portfolio Strategy and Risk, PineBridge Investments

Jag Alexeyev - Founder, Impactvesting LLC

Aye Soe, CFA - Managing Director, Global Research & Design, S&P Dow Jones Indices

Mark King - Founder, Managing Partner, Mandorla Group

Pádraig Brosnan - Partner, Funds & Investment Management, Maples Group

Chair's Summary and Close of Conference

12:55 - 13:00

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Networking Lunch

13:00 - 14:00

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