

SPEAKING ENGAGEMENT

Global Regulatory Developments Impacting Asset Managers

Presented by Katten Muchin Rosenman and Concept ONE

June 30, 2015

Financial Services partners Neil Robson and Carolyn Jackson will participate as panelists at an event presented by Katten and financial technology firm ConceptONE on Tuesday, June 30 at 4:00 p.m. (CT). The panel discussion, "Global Regulatory Developments Impacting Asset Managers: A Mandate for Regulatory Enterprise Risk Management," will focus on the onslaught of new regulatory obligations wreaking havoc on companies' regulatory infrastructures and creating stress for alternative and registered fund managers. Neil and Carolyn will discuss the following topics:

- best practices in coping with Dodd-Frank (Title VII and Forms PF and CPO-PQR);
- Alternative Investment Fund Managers Directive (Annex IV), EMIR, the Short Selling Regulation and other global regulations;
- institutional investor expectations of regulatory enterprise risk management;
- newly promulgated transparency rules for registered investment companies and exchange-traded funds; and
- amended Form ADV obligations for advisers.

CONTACTS

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