

“CONSTRUCTIVE DELIVERY” OF MUTUAL FUND PROSPECTUSES

EXECUTIVE ROUNDTABLE

AUGUST 15, 2019
BROADRIDGE FINANCIAL SOLUTIONS

AGENDA

2:30pm - 3:00pm

Welcome, Opening Remarks and Insights

- Overview of “constructive delivery” implementation considerations and challenges
- Commercial opportunities
- Transparency and client experience

Speakers:

Craig Pfeiffer, President & CEO, Money Management Institute

Tom Bickerton, Head of Operations, Post-Sale Prospectus, Broadridge Financial Solutions

David B.H. Martin, Senior Counsel, Covington and Burling

Steven W. Stone, Partner, Morgan, Lewis & Bockius LLP

3:00pm - 4:15pm

Legal and Compliance Breakout

- Important considerations for compliance and to meet legal requirements
- Significance of the SEC’s No-Action Letter including actual-knowledge, client authorization, book and record oversight and other legal and compliance issues

Speakers:

David B.H. Martin, Senior Counsel, Covington and Burling

Steven W. Stone, Partner, Morgan, Lewis & Bockius LLP

3:00pm - 4:15pm

Technology and Operations Breakout

- Overview of operational considerations
- How firms deliver regulatory disclosures today for managed accounts
- Example of an industry solution that covers legal and compliance considerations, and operational requirements
- Topics: Books and records, reporting and oversight, suppression logic, delivery options and other critical implementation items

Speaker:

Tom Bickerton, Head of Operations, Post-Sale Prospectus, Broadridge Financial Solutions

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4:15pm - 4:50pm

Reconvene for Key Findings and Recap

Speakers:

Tom Bickerton, Head of Operations, Post-Sale Prospectus, Broadridge Financial Solutions

David B.H. Martin, Senior Counsel, Covington and Burling

Steven W. Stone, Partner, Morgan, Lewis & Bockius LLP

4:50pm - 5:00pm

Closing Remarks and Adjournment

Speaker:

Craig Pfeiffer, President & CEO, Money Management Institute

5:00pm - 6:00pm

Networking Session