

Practising Law Institute: Basics of Mutual Funds and Other Registered Investment Companies 2014

APRIL 23, 2014

This program is designed to provide attendees with a basic overview of the legal, regulatory and operational issues affecting “registered investment companies”—the universe of publicly offered pooled investment vehicles that include mutual funds, closed-end funds, exchange-traded funds (ETFs) and others. Attendees will learn the fundamentals of the extensive regulatory framework that dictates the structure and operations of retail investment funds as well as hot topics and developments affecting this \$13 trillion industry. A distinguished faculty of practitioners and regulators, including current and former SEC officials, will offer insights into recent proposals that could result in the potential overhaul of regulations governing money market funds and the SEC examination process, plus recent litigation and enforcement decisions.

WilmerHale Partner Lori Martin will be a featured speaker on the panel entitled, “Fund Litigation,” where she will contribute to a discussion on private rights of action: who can and cannot sue, disclosure cases, excessive fees—how the courts have interpreted the “reasonable” requirement and recent developments and the future of fund litigation.

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Speakers



Lori A. Martin

PARTNER

✉ lori.martin@wilmerhale.com

📍 NEW YORK

☎ + 1 212 295 6412

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