



# Sarah Weber

## Partner

### Financial Markets Litigation and Enforcement

Chicago Office | +1.312.902.5251

sarah.weber@katten.com

**Sarah Weber helps clients facing litigation and enforcement matters with a focus on the financial services industry. The team relies on her experience with regulatory and internal investigations, federal and state court litigation, arbitration, regulatory and enforcement proceedings, white collar criminal matters, and internal investigations.**

#### **Adding value through regulatory insight**

In the financial services industry, Sarah has represented US and multinational banks, investment advisors and managers, and hedge funds in litigation and arbitration related to derivatives and other complex financial products. Among others, Sarah has litigated antitrust and False Claims Act matters across federal and state courts. She has deep experience in eDiscovery and can help clients build an efficient and targeted plan to manage complex litigation.

In the enforcement space, Sarah has a broad range of experience in connection with investigations by the Commodity Futures Trading Commission (CFTC), the Securities and Exchange Commission (SEC), the Financial Industry Regulatory Authority (FINRA), the Department of Justice (DOJ), the New York and Illinois Attorneys General, the New York Department of Financial Services, the Federal Reserve Bank of New York and Federal Reserve Board of Governors, and the Office of Foreign Assets Control (OFAC) related to reporting violations, economic sanctions, anti-money laundering, wire fraud, securities fraud and many other issues.

Sarah's pro bono activities include submission of *amicus* briefs on behalf of victims of domestic violence through the Domestic Violence Legal Empowerment and Appeals Project (DV LEAP) and advising *pro se* litigants through the Northern District of Illinois's Hibbler Pro Se Federal Court Help Desk.

Before joining Katten, Sarah worked at a large New York-based law firm. She clerked for the Honorable Susan Phillips Read on the New York Court of Appeals. While attending law school, Sarah was a member of the *University of Chicago Law Review*.

#### **Practices**

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- Antitrust and Competition Litigation
- Commercial Litigation
- Financial Markets Litigation and Enforcement
- Litigation
- Monitorships
- Securities Enforcement Defense
- Securities Litigation
- White Collar and Internal Investigations

#### **Industries**

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- Finance and Financial Markets

#### **Education**

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- JD, The University of Chicago Law School
- BA, Duke University

#### **Bar Admissions**

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- Illinois
- New York

#### **Court Admissions**

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- US District Court, Northern District of Illinois
- US District Court, Southern District of New York

## Representative Experience

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- Represent global financial services firm in antitrust class actions and related litigation involving the interest rate swaps and securities lending markets.
- Represent a clearinghouse in an internal investigation and SEC and CFTC investigations concerning its clearing fund calculation.
- Represent Chief Executive Officer of investment advisor in lawsuits related to disputes among the partnership in Illinois and Delaware and related SEC investigation.
- Represent large futures commission merchant in CFTC investigation related to maintenance margin calculations.
- Represent investment firm in investigations by SEC and FINRA related to blue sheets reporting.
- Represent private equity firm in Illinois state court litigation related to disputed real estate deal.
- Advise financial services institutions regarding economic sanctions enforcement matters.
- Represented broker-dealer in investigation by SEC and Illinois Department of Securities related to fraud in custodied accounts.
- Represented investment advisor in multiple FINRA arbitrations related to options trading.
- Represented investment banks in False Claims Act litigation related to municipal bonds in Illinois state court.
- Represented Chief Financial Officer of a defense contractor in civil False Claims Act investigation by the Department of Justice.

## Recognitions

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*Recognized or listed in the following:*

- *The Legal 500 United States*
  - Recommended Attorney, 2023–2024

## News

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- Katten Highly Ranked in Legal 500 United States 2024 (June 12, 2024)
- Katten Lauded in The Legal 500 United States 2023 (June 9, 2023)

# Sarah Weber

Partner

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- *Law360 Celebrates Katten's New Partner Class* (February 8, 2021)
- *Katten Announces New Partner Class* (October 30, 2020)

## Publications

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- *Clearer Skies Ahead: CFTC Enforcement Division's New Advisory Opens Doors for Self-Reporting and Increased Cooperation* (March 7, 2025)
- *United States ex rel. Polansky v. Executive Health Resources, Inc, et al.*: Supreme Court Clarifies Standard Under Which Government Can Intervene and Dismiss FCA Actions (June 16, 2023)
- *Financial Markets and Funds Quick Take | Issue 13* (April 25, 2023)
- *FINRA Proposes Changes to Arbitrator List Selection Process* (March 22, 2023)
- *Global Financial Institutions Legal Departments Share D&I Successes and Lessons Learned* (December 17, 2021)
- *Second Circuit Opinion Allows Market Manipulation Claims Based on Hedging Activity* (May 27, 2021)

## Presentations and Events

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- *Market Correction Curriculum: Nontraditional ETFs* (May 12, 2020) | *Co-presenter*