

James M. Brady

Counsel

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Practices

FOCUS: Financial Markets and Funds

Broker-Dealer Regulation

Cryptoassets and Blockchain Technology

Futures and Derivatives

Private Equity and Real Estate Fund
Formation

Proprietary Trading Firms

Industries

Finance and Financial Markets

Education

JD, University of Michigan Law School

AB, Oberlin College, Economics

Bar Admissions

Illinois

James Brady helps clients deal with a wide range of financial services regulatory matters. He also offers counsel on developing laws and regulations related to cryptocurrencies and digital tokens.

Selling or buying, compliance is the best policy

James works with buy-side and sell-side clients, trading facilities and clearinghouses. He deals with securities and derivatives regulatory obligations, registrations and related corporate and transactional issues. He also helps clients with examinations, enforcement actions and cross-border management.

During law school, James was an editor of the *Michigan Journal of International Law*. He also served as a judicial intern to the Honorable Stephen J. Markman of the Michigan Supreme Court.

News

- Coronavirus (COVID-19) Resource Center (November 10, 2021)
- Katten Represents LedgerX, First Federally Approved Exchange and Clearing Housing for Digital Currency Derivatives (July 24, 2017)

Publications

- Foreign Listed Stock Index Futures and Options Approval Chart March 2021 (March 25, 2021)
- The CFTC Adopts Comprehensive Amendments to Its Bankruptcy Rules (February 2, 2021)

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- CFTC Adopts New Rules on Position Limits for Derivatives (November 16, 2020)
- Financial Markets Regulation COVID-19 Resource Center (October 22, 2020)
- CFTC Adopts New Position Limits Requirements (October 16, 2020)
- Time for a Change: The CFTC Adopts Extensive Amendments to Swap Reporting Regulations to Improve Data Quality (October 14, 2020)
- A Call to Internalize Greenhouse Gas Cost Externalities: CFTC Subcommittee Publishes First-of-Its-Kind Report Regarding Climate Change's Impact on Financial Markets (September 17, 2020)
- Foreign Listed Stock Index Futures and Options Approval Chart April 2020 (April 28, 2020)
- Business Not as Usual – COVID 19: US Securities and Derivatives Industry Regulators Provide Relief and Guidance (March 19, 2020)
- Have We Finally Reached Our Limits? CFTC Proposes New Position Limits Rules in Effort to End Decade-Long Saga (February 14, 2020)
- Foreign Listed Stock Index Futures and Options Approval Chart October 2019 (October 29, 2019)
- Foreign Listed Stock Index Futures and Options Approval Chart September 2019 (September 11, 2019)
- *Corporate & Financial Weekly Digest (Weekly) | Author*

Presentations and Events

- Katten's Annual Financial Markets Regulation Crystal Ball — A Look Back at 2020 and a Look Forward to 2021 (February 24, 2021) | *Panelist*
- Positioning for the CFTC's New Position Limits Rules (November 17, 2020) | *Speaker*

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- A Brave New World: Effective Supervision and Compliance by CFTC and SEC Registrants in the New Business as Usual Environment (June 18, 2020) | *Panelist* | *Lessons Learned and the Status of Regulatory Relief*
- Have We Finally Reached Our Limits? CFTC Proposes New Position Limits Rules in Effort to End Decade-Long Saga (February 14, 2020) | *Speaker*
- The Evolution of the Application of Law to Blockchain Technology and Cryptoassets: Where Have We Come From and Where Are We Going? (June 26, 2019) | *Panelist*