

# Lance A. Zinman

**Partner and Global Chair, Financial Markets and Funds Department**

Financial Markets and Funds

Chicago Office | +1.312.902.5212

New York Office | +1.212.940.6544

lance.zinman@katten.com

**Lance Zinman, global chair of Katten's Financial Markets and Funds practice, provides comprehensive legal services to asset managers, proprietary trading firms and other participants in the financial markets in need of a single advisor to assist with all aspects of their business. His unique skill set combines a deep understanding of corporate, regulatory, intellectual property and tax law with broad knowledge of the securities and derivatives markets. Using his extensive experience with these interconnected areas, he finds creative solutions to legal challenges while also providing practical, common sense counsel.**

**Integrated transactional, funds and regulatory counsel**

Lance represents hedge funds and commodity pools in all asset classes, private equity funds, investment advisers, commodity trading advisors and other asset managers. He also advises a broad cross section of proprietary trading firms — large and small — including many of the major firms in the industry. Clients in this space have a deep trust for Lance, noting that "[he] is a great funds lawyer and very practical. He provides actionable advice versus some other firms that merely reiterate the law without putting the advice in factual context." *(U.S. News – Best Lawyers*® "Best Law Firms" 2023).

Originally a corporate attorney, Lance later joined the firm's financial markets and funds group, creating an integrated transactional, funds and regulatory practice. He counsels clients on a wide range of issues, including corporate structuring, securities, futures, derivatives and other regulatory matters, trading issues, brokerage and derivatives documentation, tax planning, intellectual property matters, labor issues, equity and debt financings, mergers and acquisitions, joint ventures and seed deals.

Having counseled the proprietary trading industry since its inception, Lance has significant experience representing quantitative asset managers and proprietary trading firms that deploy volatility, algorithmic, low-latency and other quantitative trading strategies. In addition, he counsels clients in other sectors of the financial markets, including

## Practices

- Broker-Dealer Regulation
- Capital Markets
- Corporate
- Corporate Governance
- Cryptoassets and Blockchain Technology
- Distressed and Special Situations Investing
- Employment Litigation and Counseling
- Executive Compensation and Employee Benefits in Corporate Transactions
- Financial Markets and Funds
- Futures and Derivatives
- Insurance Products and Regulation
- Investment Management and Trading
- Mergers and Acquisitions
- Private Equity
- Proprietary Trading Firms
- Quantitative and Algorithmic Trading
- Regulated Funds
- Structured Products and Derivatives

## Industries

- Entrepreneurial Ventures
- Finance and Financial Markets
- Manufacturing and Industrials Private Equity
- Private Client Services
- Sports and Sports Facilities

## Education

- JD, Northwestern University School of Law, *cum laude*

# Lance A. Zinman

**Partner and Global Chair, Financial Markets and Funds Department**

domestic and foreign exchanges, brokerage firms, swap counterparties and other participants in over-the-counter transactions. Lance also advises clients that are looking to establish a presence internationally or trade directly on foreign exchanges, including advising on the often-complex corporate structuring, tax, intellectual property and regulatory issues associated with such projects.

## Recognitions

*Recognized or listed in the following:*

- *Best Lawyers in America*
  - Private Funds / Hedge Funds Law, 2018–2027
- *Chambers FinTech*
  - Blockchain & Cryptocurrencies, USA, 2026
- *Chambers Global*
  - Hedge Funds, USA, 2025-2026
- *Chambers USA*
  - Hedge Funds, 2024-2026
- *Chicago Lawyer*
  - “Next Generation of Leaders,” 2009
- *Citywealth*
  - Top 15 US Legal Crypto Practitioners, 2022
  - Top 50 Crypto Professionals, 2025
  -
- *Crain's Chicago Business*
  - 40 Under 40, 2012
  - Notable Gen X Leaders in Accounting, Consulting and Law, 2021–2022
- HFM European Hedge Fund Services Award
  - 2015
- *HFM US Services Awards*
  - Best Onshore Law Firm – Start Ups, 2020
- Law Bulletin Publishing Company
  - "40 Under 40 to Watch," 2008
- *The American Lawyer*

- BA, Honors College at Michigan State University, *with highest honors*

## Bar Admissions

- Illinois
- New York

## Professional & Community Involvement

- American Bar Association
- Futures Industry Association (FIA)
- Hedge Funds Care, Board of Directors
- Managed Funds Association, Board of Directors
- The Chicago Bar Association
- Northwestern Law Board

***"Lance has deep knowledge of the issues fund managers face and has the commercial awareness to solve those problems in a creative and win-win fashion. He is easy to work with, and is ready to get the job done."***

***Chambers USA* 2026**
**(USA Nationwide, Hedge Funds)**
**survey response**

- Midwest Trailblazer, 2021

- *The Legal 500 United Kingdom*
  - Recommended Attorney, 2021
- *The Legal 500 United States*
  - Recommended Attorney, 2014–2026

## News

- Katten Attorneys Recognized in 2027 *Best Lawyers* Guide (August 20, 2026)
- Katten Earns Top Rankings in the Legal 500 US 2026 Guide (June 10, 2026)
- Katten Climbs in *Chambers USA* 2026 Rankings (June 4, 2026)
- Katten Adds Structured Products and Derivatives Team in London (June 1, 2026)
- Katten Earns Top Rankings in *Chambers Global 2026* (February 12, 2026)
- Katten Advises Cantor Fitzgerald on Landmark Acquisition of UBS O'Connor (January 21, 2026)
- Katten Ranked as Leading Firm in *Chambers FinTech* 2026 Guide (December 4, 2025)
- Katten Partners Named Top Crypto Professionals (November 17, 2025)
- Katten Celebrates 101 Attorneys Honored by *Best Lawyers*® (August 21, 2025)
- Katten Receives High Marks in the Legal 500 US 2025 Guide (June 11, 2025)
- *Chambers USA* 2025 Ranks Katten as Leading Law Firm (June 5, 2025)
- Katten Authors Receive Top Honor in Mondaq's Spring Thought Leadership Awards (May 13, 2025)
- Katten Team Advises Thora Capital on Acquisition by ITE Management (April 8, 2025)
- Katten Scores High Marks in *Chambers Global 2025 Guide* (February 13, 2025)
- Katten Named Leader in Crypto, Blockchain Law by *Chambers FinTech 2025* (December 5, 2024)

# Lance A. Zinman

**Partner and Global Chair, Financial Markets and Funds Department**

- Katten Global Head of Financial Markets and Funds Lance Zinman Joins MFA Board (October 2, 2024)
- Katten Attorneys Recognized as *Best Lawyers*® and *Best Lawyers: Ones to Watch*® Award Recipients (August 15, 2024)
- Lance Zinman and Daniel Davis Talk Market Trends and Crypto Regs With *John Lothian News* (July 9, 2024)
- Katten Highly Ranked in Legal 500 United States 2024 (June 12, 2024)
- Katten Receives High Marks in *Chambers USA* Guide 2024 (June 6, 2024)
- Katten Expands London Financial Service Offerings with Trio of Laterals Focused on Investment Management (March 21, 2024)
- *Chambers Global* Publishes Financial Markets and Funds Team Overview on US Investment Funds (February 28, 2024)
- Katten Brings on Noted Securities Regulatory Attorney Wayne Aaron (January 17, 2024)
- Katten Ranked in Crypto and Blockchain by *Chambers FinTech 2024* (December 11, 2023)
- Financial Markets and Funds Team Authors *Chambers* Overview on Alternative Funds (November 27, 2023)
- Katten Attorneys Distinguished by *Best Lawyers*® (August 17, 2023)
- Lance Zinman Talks Hedge Fund Disclosures With *FundFire* (July 12, 2023)
- Katten Lauded in The Legal 500 United States 2023 (June 9, 2023)
- Katten Named Leader in Blockchain and Cryptocurrency in *Chambers FinTech 2023* Guide (December 29, 2022)
- *Crain's* Recognizes Kimberly Smith and Lance Zinman as Notable Gen X Leaders (December 9, 2022)
- Katten Named Best Onshore Law Firm for Hedge Fund Client Services (September 14, 2022)
- Katten Partner, Former CFTC GC Daniel Davis Named Crypto Trailblazer (September 2, 2022)
- Katten Attorneys Recognized by *Best Lawyers*® (August 18, 2022)
- *Citywealth* Names Daniel Davis, Gary DeWaal and Lance Zinman to It's 2022 Top 15 US Legal Crypto Practitioners (June 16, 2022)
- Katten Awarded Top Ranking in Structured Finance: Securitization in The Legal 500 United States 2022 (June 8, 2022)

# Lance A. Zinman

**Partner and Global Chair, Financial Markets and Funds Department**

- Cboe Global Markets Company Closes Its Acquisition of Katten Client ErisX (May 4, 2022)
- *Law360* Heralds the Arrival of Stephen Morris at Katten (April 8, 2022)
- Katten Adds Global Bank Exec to Financial Markets and Funds Group (April 4, 2022)
- Katten Named 2022 "Best Law Firm" for Quant Client Service (February 10, 2022)
- Katten Represents Vivaldi Holdings in Joint Venture Combination With First Trust Capital Partners (December 2, 2021)
- Kimberly Smith and Lance Zinman Named to *Crain's* Notable Gen X Leaders in Accounting, Consulting and Law (November 22, 2021)
- Katten Adds to Its Industry-Leading Financial Markets and Funds Practice (November 15, 2021)
- Coronavirus (COVID-19) Resource Center (November 10, 2021)
- Katten Represents ErisX in Its Acquisition by Cboe Global Markets (October 21, 2021)
- Katten Attorneys Listed in *The Best Lawyers in America*® (August 19, 2021)
- Katten Receives High Marks in Derivatives, M&A and Securitization in The Legal 500 United States 2021 Guide (June 10, 2021)
- Lance Zinman Named Midwest Trailblazer by *The American Lawyer* (April 6, 2021)
- Katten Team Represents Headlands Tech Holdings in Broker-Deal Transaction (March 23, 2021)
- Katten Named Best Law Firm During HFM US Quant Awards 2021 (March 1, 2021)
- Katten Adds Ex-CFTC General Counsel to Financial Markets and Funds Group (January 25, 2021)
- Katten UK Named a Leading Firm in Financial Services and Real Estate by The Legal 500 United Kingdom Guide (October 1, 2020)
- Katten Named Among Best Law Firms in Hedge Fund Industry During HFM US Service Awards 2020 (September 17, 2020)
- Katten Attorneys Distinguished as Top Legal Talent in the 2021 *Best Lawyers in America* and *Best Lawyers: Ones to Watch* Lists (August 20, 2020)

# Lance A. Zinman

**Partner and Global Chair, Financial Markets and Funds Department**

- *American Lawyer* Features Katten for Rebranding Efforts (September 5, 2019)
- Katten Praised in The Legal 500 United States 2019 Guide (June 11, 2019)
- Former FINRA SVP and Chief Counsel for Enforcement Joins Katten (October 1, 2018)
- Lance Zinman Quoted on the Importance of Cybersecurity and IP Protection in the Quant Space (September 11, 2018)
- Lance Zinman Quoted on Regulatory Guidance for Quantitative Managers (September 6, 2018)
- Lance Zinman Quoted on Quantitative Investments (August 28, 2018)
- Lance Zinman Named to Northwestern Law Board (August 27, 2018)
- Katten Distinguished by *The Legal 500 United States* (June 14, 2018)
- Katten Represents Global Trading Systems in BNP Paribas Deal (December 12, 2017)
- Lance Zinman Comments on Hedge Fund Co-Investment Trends (August 7, 2017)
- Katten Selected as the "Go-To" Firm for Sports Law in Chicago (July 27, 2017)
- Lance Zinman Quoted on Proprietary Trading Firms' Focus on Amsterdam Following Brexit (July 11, 2017)
- Katten Distinguished by *The Legal 500 United States* 2017 (May 31, 2017)
- Lance Zinman Quoted in the *Financial Times* on High-Frequency Trading in the EU (February 14, 2017)
- Lance Zinman Provides *Corporate Counsel* an Outlook on High-Speed Trading (January 20, 2017)
- Katten Represents Gerchen Keller Capital in Acquisition by Burford Capital Limited (December 14, 2016)
- Eighteen Katten Practices and 70 Attorneys Recognized by *The Legal 500 United States* 2016 (June 17, 2016)
- Partner Lance Zinman Quoted in *Automated Trader* on Market Fairness (January 23, 2015)

# Lance A. Zinman

**Partner and Global Chair, Financial Markets and Funds Department**

- Eight Katten Practices and Forty-Two Attorneys Recognized by *The Legal 500 United States* 2014 (July 3, 2014)
- Partner Lance Zinman Discusses SEC Hedge Fund Marketing Rule on *John Lothian News* (August 20, 2013)
- Katten Teams with Hedge Funds Care to Raise Awareness and Funds for the Prevention and Treatment of Child Abuse (January 18, 2013)
- Katten Attorney Lance Zinman Named to *Crain's* 40 Under 40 List (December 3, 2012)
- Partner Lance Zinman Quoted in the *Financial Times* on Proprietary Trading (October 24, 2010)
- Partners Janet Angstadt and Lance Zinman Author Article in *Automated Trader Magazine* on HFT Regulation (June 2010)
- Katten's Lance Zinman Named Among Law Bulletin Publishing's "40 Under Forty" for 2008 (August 27, 2008)
- Katten Names 27 New Partners (April 17, 2006)

## Publications

- Financial Markets and Funds *Quick Take* | Issue 54 (September 2026)
- Financial Markets and Funds *Quick Take* | Issue 53 (August 2026)
- Financial Markets and Funds *Quick Take* | Issue 52 (July 2026)
- Financial Markets and Funds *Quick Take* | Issue 51 (June 2026)
- Financial Markets and Funds *Quick Take* | Issue 50 (May 2026)
- *UK Financial Insights from Katten* | Issue 31 (April 2026)
- Financial Markets and Funds *Quick Take* | Issue 49 (April 2026)
- Financial Markets and Funds *Quick Take* | Issue 48 (March 2026)
- UK-Based AIFM Regulatory Hosting SEC Compliance Requirements for Serving US Clients (March 16, 2026)
- Financial Markets and Funds *Quick Take* | Issue 47 (February 2026)
- Financial Markets and Funds *Quick Take* | Issue 46 (January 2026)
- Financial Markets and Funds *Quick Take* | Issue 45 (December 2025)
- Financial Markets and Funds *Quick Take* | Issue 44 (November 2025)

# Lance A. Zinman

**Partner and Global Chair, Financial Markets and Funds Department**

- Financial Markets and Funds *Quick Take* | Issue 43 (October 30, 2025)
- Financial Markets and Funds *Quick Take* | Issue 42 (September 2025)
- Financial Markets and Funds *Quick Take* | Issue 41 (August 2025)
- Financial Markets and Funds *Quick Take* | Issue 40 (July 2025)
- Financial Markets and Funds *Quick Take* | Issue 39 (June 2025)
- Financial Markets and Funds *Quick Take* | Issue 38 (April 2025)
- Financial Markets and Funds *Quick Take* | Issue 37 (April 2025)
- Financial Markets and Funds *Quick Take* | Issue 36 (March 2025)
- Financial Markets and Funds *Quick Take* | Issue 35 (February 2025)
- Financial Markets and Funds *Quick Take* | Issue 33 (December 2024)
- Financial Markets and Funds *Quick Take* | Issue 32 (November 12, 2024)
- SEC Division of Examinations Publishes 2025 Priorities (October 30, 2024)
- Financial Markets and Funds *Quick Take* | Issue 31 (October 2024)
- *UK Financial Insights from Katten* | Issue 14 (September 2024)
- Financial Markets and Funds *Quick Take* | Issue 30 (September 12, 2024)
- Financial Markets and Funds *Quick Take* | Issue 29 (August 2024)
- Financial Markets and Funds *Quick Take* | Issue 28 (July 2024)
- Financial Markets and Funds *Quick Take* | Issue 27 (June 2024)
- Financial Markets and Funds *Quick Take* | Issue 26 (May 2024)
- Financial Markets and Funds *Quick Take* | Issue 25 (April 2024)
- Financial Markets and Funds *Quick Take* | Issue 24 (March 2024)
- Financial Markets and Funds *Quick Take* | Issue 23 (February 2024)
- Financial Markets and Funds *Quick Take* | Issue 22 (January 2024)
- Financial Markets and Funds *Quick Take* | Issue 21 (December 2023)
- Financial Markets and Funds *Quick Take* | Issue 20 (November 2023)
- Financial Markets and Funds *Quick Take* | Issue 19 (October 2023)

- Financial Markets and Funds *Quick Take* | Issue 18 (September 2023)
- SEC Adopts Controversial and Sweeping Changes to Private Fund Rules; Requires Documentation of Annual Compliance Reviews (August 25, 2023)
- Financial Markets and Funds *Quick Take* | Issue 17 (August 2023)
- Financial Markets and Funds Quick Take | Issue 14 (May 30, 2023)
- Financial Markets and Funds Quick Take | Issue 13 (April 25, 2023)
- Financial Markets and Funds Quick Take | Issue 11 (February 21, 2023)
- Privacy, Data and Cybersecurity *Quick Bytes* | Issue 1 (January 17, 2023)
- Financial Markets and Funds Quick Take | Issue 10 (January 13, 2023)
- Financial Markets and Funds Quick Take | Issue 9 (December 13, 2022)
- December 9 Looms as Compliance Date for Private Investment Funds and Certain Investment Advisers to Comply With New Cybersecurity Requirements (December 6, 2022)
- Financial Markets and Funds Quick Take | Issue 8 (November 14, 2022)
- Financial Markets and Funds Quick Take | Issue 7 (October 12, 2022)
- Holders of DAO Governance Tokens Beware: According to the CFTC, Voting May Be Hazardous to Your Well-Being (September 29, 2022)
- Financial Markets and Funds Quick Take | Issue 6 (September 15, 2022)
- Financial Markets and Funds Quick Take | Issue 5 (August 16, 2022)
- Financial Markets and Funds Quick Take | Issue 4 (July 19, 2022)
- Financial Markets and Funds Quick Take | Issue 3 (June 14, 2022)
- Financial Markets and Funds Quick Take | Issue 2 (May 11, 2022)
- Financial Markets and Funds Quick Take | Issue 1 (April 13, 2022)
- SEC Deals New Proposal to Expand Reach of Dealer Registration Requirements (April 5, 2022)

# Lance A. Zinman

**Partner and Global Chair, Financial Markets and Funds Department**

- SEC Staff Observes Practices of Private Fund Advisers That Raise Concerns (February 11, 2022)
- SEC Proposes Radical Changes to Practices for Private Funds (February 11, 2022)
- It's Time Once Again: SHC Report of US Ownership of Foreign Securities Due March 4 (February 3, 2022)
- SEC Increases Registered Investment Adviser Performance Compensation Net-Worth and Assets-Under-Management Tests (August 13, 2021)
- Going Direct – The Factors Driving Direct Investment Strategies and the Barriers to Adoption (July 26, 2021)
- ESG Issues Become Leading Concern for SEC and CFTC: SEC Warns Investment Advisers and Funds About ESG Disclosures (April 27, 2021)
- ESG is in the (SEC) House: SEC Exams, Enforcement and Regulations are Coming (March 8, 2021)
- New York Adopts New Registration and Examination Requirements for Certain Investment Adviser Related Personnel and Solicitors (January 28, 2021)
- Financial Markets Regulation COVID-19 Resource Center (October 22, 2020)
- SEC Proposal to Exempt Certain "Finders" from Broker-Dealer Registration May Allow Significant Capital Raising Activities by Non-Registered Persons (October 19, 2020)
- Alternative Funds 2020 Guide (October 13, 2020)
- LIBOR Preparedness Exams Are Coming – Is Your Firm Ready? (June 6, 2020)
- Business Unusual For Financial Services Firms – Returning to New Variations of "the Workplace" (May 19, 2020)
- SEC Enforcement Actions Against Fund Advisers Continues (May 15, 2020)
- New York Proposes New Rules to Modernize Securities Filings Affecting Private Funds and Significant Exam and Registration Requirements on "Finders" (May 8, 2020)
- Revising Initial Expectations: CFTC Proposes Substantial Amendments to Form CPO-PQR and Related Requirements (April 16, 2020)

# Lance A. Zinman

**Partner and Global Chair, Financial Markets and Funds Department**

- Some Financial Businesses May Be Ineligible for the SBA's Paycheck Protection Program (April 8, 2020)
- The CARES Act: An Overview of Programs Impacting Financial Businesses (March 27, 2020)
- COVID-19: Considerations for Private Investment Fund Managers (March 17, 2020)
- Amendments to FINRA New Issue Rules 5130 and 5131 Effective January 1, 2020 (January 9, 2020)
- What Private Fund Advisers and Regulated Entities Should Do About the California Consumer Privacy Act (December 24, 2019)
- DC Circuit Decision Against Investment Adviser Leaves Many Unanswered Questions (May 15, 2019)
- SEC Sues Asset Managers for Using Untested, Error Filled Quantitative Investment Models (September 24, 2018)
- SEC Publishes Inspection Priorities for 2018 (February 27, 2018)
- A Review of the SEC Participating Affiliate No-Action Letters' Relief From Investment Advisers Act of 1940 Registration for Foreign Investment Advisers (December 26, 2017)
- The EU PRIIPs Regulation for Fund Managers (December 1, 2017)
- Department of Labor Finalizes 18-Month Extension for Simplified Compliance With the BIC Exemption Under the ERISA Fiduciary Advice Rule (November 30, 2017)
- SEC Issues Important Interpretive Guidance on Implications of "Unbundling" the Costs of Investment Research from the Costs of Trade Execution, Mandated by EU Requirements (November 2, 2017)
- Sign of Future Changes? DOL Proposes 18-Month Extension of Transition Period for Compliance With ERISA "Fiduciary Investment Advice" Rule (August 11, 2017)
- Compliance With the ERISA Fiduciary Advice Rule for Private Investment Fund Managers and Sponsors and Managed Account Advisers: Beginning June 9, 2017 (June 6, 2017)
- SEC Issues Update for Advisers Relying on the *Unibanco* No-Action Letters (April 10, 2017)
- Registered Investment Advisers Take Note: New SEC Custody Rule Guidance (March 7, 2017)
- Significant Changes to Form ADV and Performance Advertising Rules Adopted (September 6, 2016)

- Public Company Sanctioned by SEC for Including Illegal Anti-Whistleblower Provisions in Severance Agreements (August 17, 2016)
- SEC Proposes Rule Requiring Investment Advisers To Adopt Business Continuity and Transition Plans (July 13, 2016)
- Proposed CFTC Regulation To Impact Algorithmic Trading and Traders (December 15, 2015)
- Victim of Fraud Sued for Fraud (November 24, 2015)
- BEA Filing Deadline Looms For US Persons With Foreign Affiliates (May 29, 2015)
- China Regulator Proposes to Permit Designated Domestic Futures Contracts To Be Traded by Foreigners (January 23, 2015)
- Katten Discusses SEC's Focus on Liquid Alternative Funds Market (August 4, 2014)
- SEC Focuses on Burgeoning Liquid Alternative Funds Market (July 14, 2014)
- CFTC Proposes Revised Position Limit Rules (November 12, 2013)
- CFTC Proposes Revised Aggregation Rules (November 7, 2013)
- Marketing Investment Management Services to Public Retirement Systems: Complying with Applicable Laws and Regulations (August 5, 2013)
- SEC Proposes Rule Amendments to Permit General Solicitation in Rule 506 and 144A Offerings, Including Offerings by Hedge Funds and Other Private Funds (September 17, 2012)
- CFTC and SEC Adopt Final Rules Further Defining "Swap Dealer," "Major Swap Participant" and "Eligible Contract Participant" (May 10, 2012)
- Managers of Private Investment Vehicles—Including Private Equity, Real Estate and Securitization Vehicles—That Use Futures or OTC Derivatives Should Consider Claiming CFTC 4.13(a)(4) Exemption by April 23, 2012 (April 20, 2012)
- CFTC Adopts Significant Changes to CPO and CTA Registration and Compliance Requirements (February 14, 2012)
- MiFID II—How It Affects Proprietary Traders and Algorithmic Traders (October 31, 2011)
- Guide to Investment Adviser Registration (September 12, 2011)

- Guidelines from European Regulator Focus on High Frequency and Algorithmic Trading Obligations (August 18, 2011)
- Summary and Analysis of Dodd-Frank Rules for Investment Advisers (July 28, 2011)
- SEC Adopts Rules Implementing Core Provisions of Dodd-Frank That Apply to Investment Advisers (June 23, 2011)
- SEC Expected to Consider Extending Adviser Registration and Deregistration Deadlines (April 14, 2011)
- SEC Issues Proposed Rules Requiring Registration of Municipal Advisors (February 24, 2011)
- Comments Due January 24 on SEC's Proposals to Implement $100 Million Asset Threshold, Other Dodd-Frank Changes for Investment Advisers (January 18, 2011)
- Comments Due January 24 on SEC's Proposed Exemptions from Investment Adviser Registration Mandated by Dodd-Frank (January 18, 2011)
- SEC Extends Compliance Date for Certain Advisers to Provide Clients with Brochure Supplements (January 6, 2011)
- SEC Adopts Amendments That Overhaul Form ADV Part 2 (August 25, 2010)
- Wall Street Transparency and Accountability Act of 2010 Introduces Extended Period of Regulatory Uncertainty (August 4, 2010)
- Financial Reform Bill Reshapes Investment Adviser Regulation (July 29, 2010)
- Recent Regulatory Initiatives Affecting High Frequency Trading (June 2010)
- Financial Services Regulatory Reform Legislation Moves Forward (May 27, 2010)
- Senate Passes Financial Regulation Bill Requiring SEC Registration for Hedge Fund Managers with $100 Million or More under Management (May 27, 2010)
- Lehman Brothers Debtors File Joint Plan (March 17, 2010)
- SEC Adopts Custody Rule Changes for Investment Advisers (January 11, 2010)
- SEC Reopens Comment Period for Short Sale Price Test and Proposes “Alternative Uptick Rule” (August 18, 2009)

- SEC Makes Short Selling Rule Permanent and Plans to Increase Short Sale Transparency (July 30, 2009)
- Administration Bill Would Require Managers of Hedge and Other Private Funds to Register as Investment Advisers (July 16, 2009)
- SEC's Proposed Amendments to Custody Rule Would Require Surprise Exams and Internal Control Reports (June 24, 2009)
- The Next Generation of Leaders (June 2009)
- SEC Votes to Seek Comment on Five Alternative Short Sale Rule Proposals (April 9, 2009)
- Electronic Filing of Form D and Amendments Becomes Mandatory on March 16 (February 17, 2009)
- OFAC Issues Guidance Regarding Scope of OFAC Compliance Programs (November 7, 2008)
- *Corporate & Financial Weekly Digest* (Weekly) | *Author*

## Presentations and Events

- Navigating the Future of Private Credit Funds: Structuring, Product Development and Regulatory Trends (October 10, 2024)
- Expect More FINRA in 2024 – Proprietary Trading Firms Becoming FINRA Members and Other Broker-Dealer Regulatory Developments (February 8, 2024) | *Speaker*
- 2023 Crypto with Katten Annual Symposium (September 27, 2023)
- 2023 Crypto with Katten London Symposium (March 1, 2023)
- 2022 Crypto with Katten Annual Symposium (October 20, 2022)
- Trading Chinese Stocks and Derivatives Through the Half-Opened Door (June 9, 2021) | *Speaker*
- From A(lgorithm)–Q(uantitative): What You Need to Know About Creating a Quantitative Asset Manager (April 15, 2021) | *Moderator* | *Seed Capital and Fund Launch*
- From A(lgorithm)–Q(uantitative): What You Need to Know About Creating a Quantitative Asset Manager (March 18, 2021) | *Moderator* | *Start Your Systems*
- From A(lgorithm)–Q(uantitative): What You Need to Know About Creating a Quantitative Asset Manager (March 4, 2021) | *Moderator* | *Formation of the Manager*
- 2020 CFANY Emerging Managers Summit (December 16, 2020) | *Panelist* | *Planning a Successful New Fund Launch*

# Lance A. Zinman

**Partner and Global Chair, Financial Markets and Funds Department**

- The Imminent Impact of MiFID II: The State of Play for Europe's New Financial Regulations (October 17, 2017) | *Moderator*
- MiFID II, Brexit and the Dutch Alternative: Regulatory and Tax Issues for Proprietary Traders (May 18, 2017) | *Moderator*
- Just in Time for Summer: Position Limits, Regulation AT and Defend Trade Secrets Act (June 7, 2016) | *Moderator*
- Regulatory and Cross-Border Issues for Proprietary Trading Firms (February 4, 2016) | *Panelist*
- A Review of CFTC Proposed Regulation AT and Its Potential Practical Impact (December 17, 2015) | *Moderator*
- Emerging Trends in Securities and Futures Trading Regulation (November 11, 2015) | *Panelist*
- Developments in Proprietary Trading: Cross-Border Comparison of US and European Regulatory Initiatives (April 28, 2015) | *Panelist*
- Network 2015 (January 27, 2015) | *Speaker, The Art and Science of Seeding Hedge Fund Managers*
- Recent Publicity Concerning Proprietary Trading: Potential Regulatory Responses (May 6, 2014) | *Panelist*
- Recent Publicity Concerning Proprietary Trading: Potential Regulatory Responses (April 28, 2014) | *Moderator*
- Pitfalls in a Shifting Landscape: Trade Practice Issues for Futures and Securities (December 3, 2013) | *Presenter*
- Rising to the Top: Differentiating Funds in a Crowded Marketplace (September 12, 2013) | *Panelist*
- Managed Funds Association Forum 2013 (June 19–20, 2013) | *Panelist, MFA Mid-Year Briefing on Legislative and Regulatory Developments*
- A CPO's Guide to Managing Change (October 25, 2012) | *Panelist*
- TradeTech USA (March 6–8, 2012) | *Panelist, Determining The Impact Of Dodd-Frank On Prop Trading Firms*
- Regulatory Compliance 2011 (November 30, 2011) | *Panelist*
- Dodd-Frank Investment Adviser Registration Update (September 20, 2011) | *Panelist*
- The Future of Trading: Technology, Operations, Compliance, and Risk Management Summit (November 17–18, 2010) | *Speaker, Understanding the Latest Market Structure Developments in the United States*

- The Devil in the Details: Implications of Recent Regulatory Reforms and Other Updates for the Financial Services Industry (November 10, 2010) | *Speaker*
- Trading Strategies, Technology and Regulatory Challenges for the HFT Community (April 29, 2010) | *Panelist*
- Proprietary Trading on European Markets (April 14, 2010) | *Speaker*
- New SEC Initiatives Affecting Equity and Options Trading (March 18, 2010) | *Moderator*
- Proprietary and High Frequency Trading on US & European Markets (March 9, 2010) | *Speaker*
- Commodity Pool Operator/Commodity Trading Advisor Regulatory Seminar (March 2, 2010) | *Panelist, The Current State of CPO/CTA Regulation*
- New SEC Initiatives Affecting Proprietary Trading (February 25, 2010) | *Moderator*
- Maximize Your Profits - Tax Strategies & Legal Structures (February 18, 2010) | *Speaker*
- Financial Regulatory Reform: Current Developments (December 3, 2009) | *Speaker*
- Tax Strategies and Legal Structures Seminar (April 28, 2009) | *Speaker*
- Katten Investment Management Seminar Series (April 21, 2009) | *Presenter, Hedge Funds in a Changing Environment*
- Proprietary Trading Follow-Up Roundtable (April 16, 2009) | *Panelist*