Katten

WEBINAR



Key Takeaways: FINRA 2018 Regulatory and Exam Priorities

Presented by Katten Muchin Rosenman LLP

January 24, 2018

Katten will host the "Key Takeaways: FINRA 2018 Regulatory and Exam Priorities" webinar at 12:00 p.m. (CT) on Wednesday, January 24. Presenters will include Janet Angstadt, head of the Chicago Financial Services practice; Michael Foley, Financial Services special counsel; Financial Services associate Laura Krcmaric; Financial Services partner Richard Marshall; and Peter Wilson, Financial Services Litigation partner.
The webinar will discuss key takeaways from the Financial Industry Regulatory Authority (FINRA) announcement on its exam priorities for the coming year. Topics will include:

- Cryptocurrencies
- Market Integrity (Manipulation, Market Access, Best Execution, Regulation SHO, Fixed Income Data Integrity, Options)
- Operational and Financial Risks (BCPs, Customer Protection Rule, AML, Cybersecurity)
- Sales Practice (Suitability, Margin Practices)
- New FINRA Initiatives

To view the presentation, click here.

CONTACTS

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