



Exchange Investigations & Enforcement: Insights and Trends

Presented by Katten Muchin Rosenman LLP

February 28, 2018

Katten will host the "Exchange Investigations & Enforcement: Insights and Trends" program at 5:00 p.m. (CT) on Wednesday, February 28. The program will include two panel discussions, and Katten attorneys as well as representatives from major futures exchanges will participate. Christian Kemnitz, co-head of the firm's Financial Services Litigation practice, will moderate both discussions.

The first panel, "Exchange Investigations," will take place at 5:00 p.m. (CT), and will provide insight on how an investigation begins, details of the exchange process, and practice pointers during an investigation. Brian Poronsky, partner in the Financial Services Litigation practice, and William Costello, special counsel in the Financial Services Litigation practice, together with Andrew Vrabel of CME Group and Frances Mendieta of ICE Futures, will participate as panelists. Topics will include:

- Demystifying the Surveillance and Investigation Process
- Provide Exchange, Registrant, and Outside Counsel Perspectives on Common Issues During Investigations
- Best Practices, Common Mistakes, and Potential Opportunities During Investigations

The second panel, "Exchange Enforcement," will take place at 5:45 p.m. (CT), and will explore the enforcement process and identify trends in enforcement. Patrick Smith, partner in the Financial Services Litigation practice, and Gary DeWaal, special counsel in the Financial Services practice, together with Steve Schweitzer of CME Group and Jason Fusco of ICE Futures, will participate as panelists. Discussion points will include:

- Enforcement Process
- Enforcement Trends and Statistics

- Current Substantive Developments, Including Spoofing/Disruptive Trading, EFRPs, Block Trades, Algorithmic Trading, Wash Trades and Supervision

To register for this event, please email events@katten.com.

CONTACTS

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