

The National Futures Association's Proposed Revised Requirements for the Supervision of Branch Offices and Guaranteed Introducing Brokers. Get Prepared!

June 20, 2019

Katten attorneys Gary DeWaal, special counsel, and partners Christian Hennion and Carl Kennedy will co-present "The National Futures Association's Proposed Revised Requirements for the Supervision of Branch Offices and Guaranteed Introducing Brokers. Get Prepared!" webinar on Thursday, June 20 at 11:30 a.m. Central. The NFA recently proposed updated guidance related to the supervision of branch offices by all members and relationships with guaranteed introducing brokers. The webinar will review the NFA's updated guidance and the written policies and procedures member firms must adopt:

- to ensure that a formal due diligence review is undertaken before they establish a branch office or G-IB relationship; and
- set forth the manner in which they will exercise ongoing oversight of such entities.

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