

A Brave New World: Effective Supervision and Compliance by CFTC and SEC Registrants in the New Business as Usual Environment

Presented by Katten

June 18, 2020

Katten will present the “A Brave New World: Effective Supervision and Compliance by CFTC and SEC Registrants in the New Business as Usual Environment” webinar at 10:30 a.m. (ET) on Thursday, June 18. This two-part session will explore regulatory and legal issues and solutions prompted by the mostly work-from-home environments of the last few months by employees of the Commodity Futures Trading Commission (CFTC), Securities and Exchange Commission (SEC), National Futures Association (NFA) and the Financial Industry Regulatory Authority (FINRA) registrants and members.

The first panel, “Lessons Learned and the Status of Regulatory Relief,” will feature Financial Markets and Funds practice attorneys James Brady, associate, Gary DeWaal, special counsel, and Rick Marshall, partner, alongside Mike Otten, Vice President, OTC Derivatives, NFA, and Bill Wollman, Executive Vice President, Head of Office of Financial and Operational Risk Policy, FINRA.

The second panel, “Best Practices and Challenges to Address Going Forward,” will be moderated by Wendy Cohen, co-chair of the Investment Management and Funds practice, and will include Financial Markets and Funds partners Chris Hennion, Carl Kennedy, Susan Light and Richard Marshall along with Trisha Sircar, a partner in the Privacy, Data and Cybersecurity practice.

Topics include:

- Best practices for compliance and supervision as employees migrate back to their traditional offices as well as work from business continuity locations and their homes;
- Status of no action and other relief granted to accommodate home working; and
- What rules amendments might be necessary to accommodate new normal working situations.

For more information, please contact [Katten Webinar Support](#).

CONTACTS

For more information, contact your Katten attorney or any of the following attorneys.



Carl E. Kennedy
+1.212.940.8544
carl.kennedy@katten.com



James M. Brady
+1.312.902.5362
james.brady@katten.com



Richard D. Marshall
+1.212.940.8765
richard.marshall@katten.com



Wendy E. Cohen
+1.212.940.3846
wendy.cohen@katten.com



Christian B. Hennion
+1.312.902.5521
christian.hennion@katten.com



Susan Light
+1.212.940.8599
susan.light@katten.com



Trisha Sircar
+1.212.940.8532
trisha.sircar@katten.com

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