Katten

WEBINAR



Virtual Derivatives and Futures Law Committee Winter Meeting 2021

Presented by the American Bar Association (ABA) Business Law Derivatives and Futures Law Committee

January 28–29, 2021

Two Katten Financial Markets and Funds partners will participate in the ABA Business Law Derivatives and Futures Law Committee's "Virtual Derivatives and Futures Law Committee Winter Meeting 2021" on Friday, January 29.

Carl Kennedy will moderate the "Market Infrastructure and Access" panel at 11:45 a.m. Eastern. Topics the panel will cover include:

- exchange operations in response to COVID-19;
- exchange specific requirements of the CFTC's 2020 position limits final rulemaking;
- swap execution facility (SEF) rule amendments;
- exchange reporting party requirements under the CFTC's swaps reporting regulation reforms;
- expected changes to exchange risk controls resulting from Regulation Electronic Trading;
- implementation of the CFTC's finalized post-trade name give-up ban; and
- a CFTC staff report on the April 20, 2020 WTI negative pricing event.

Daniel Davis will serve as a panelist in the "Ethics in Derivatives and Futures Law" session at 2:15 p.m. Eastern. Topics for this panel will include:

- ethical issues associated with events in 2020 from the perspective of attorneys representing participants in the futures and swaps market, particularly ethical issues that might arise from remote working environments and other pandemic-related challenges, including the following:
  - maintaining client confidentiality when working remotely (Rule 1.6);
  - maintaining attorney client privilege when working remotely;

- maintaining employee privacy when working remotely;
- understanding the importance of and practical considerations regarding home cybersecurity (Rule 1.6); and
- balancing safety, timing, and wanting the best outcome when faced with requests for remote witness interviews, testimony, and/or hearings (Rule 3.2);

- mental health issues impacting attorneys, particularly in light of the pandemic, and resources for firms and companies to address and help attorneys facing these issues;
- how firms can promote diversity and inclusion; and
- ethical issues raised by registration requirements, including what can or should an attorney do when clients choose not to register despite acting in a registered capacity (Rule 1.6, Rule 3.3).

More information on the "Virtual Derivatives and Futures Law Committee Winter Meeting 2021."

CONTACTS

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



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