



Katten's Annual Financial Markets Litigation and Enforcement Symposium

Presented by Katten

October 13, 2022

Katten will present its annual Financial Markets Litigation and Enforcement Symposium beginning at 8:30 a.m. (ET) on Thursday, October 13. The program, presented both live and virtually on Zoom, will include discussions on current regulatory enforcement and litigation issues facing the financial services industry. Financial Markets and Funds partners Dan Davis and Sue Light, Financial Markets and Regulation special counsel and chair Gary DeWaal, Litigation associate Sheehan Band, and Securities Litigation partners Michael Diver and Danette Edwards will cover topics including:

- **Derivatives:** Emerging trends and current topics in manipulation; anti-fraud, including misrepresentations; trade practices, including disruptive trading and block trades (pre-hedging); swaps reporting and ancillary issues; and civil litigation.
- **Securities:** Current enforcement priorities and litigation update, including issues related to retention of business communications, best execution and payment for order flow, and new SEC and FINRA initiatives.
- **Cryptoassets:** An overview and analysis of recent enforcement actions brought by the SEC, CFTC, Department of Justice and various states involving cryptoasset industry participants; thoughts about Tornado Cash including the implications of the recent OFAC sanction against it and DeFi; litigation emanating from Crypto Winter 2022; and insights into how best to respond to government subpoenas and information requests when your entity (hopefully) is solely a third party.

To learn more or register, contact [Mary Brancazio](#).

CONTACTS

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



Daniel J. Davis

+1.202.625.3644

daniel.davis@katten.com



Michael J. Diver

+1.312.902.5671

michael.diver@katten.com



Christian T. Kemnitz

+1.312.902.5379

christian.kemnitz@katten.com



Susan Light

+1.212.940.8599

susan.light@katten.com



Stephen R. Morris

+1.212.940.6654

stephen.morris@katten.com

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