Katten

FIRM EVENT



Expect More FINRA in 2024 – Proprietary Trading Firms Becoming FINRA Members and Other Broker-Dealer Regulatory Developments

Presented by Katten

February 8, 2024

Katten will present the "Expect More FINRA in 2024 – Proprietary Trading Firms Becoming FINRA Members and Other Broker-Dealer Regulatory Developments" program at 4:30 p.m. on Thursday, February 8. Panelists including Financial Markets and Funds Partner and Global Chair Lance Zinman, and Partners James Brady and Susan Light, will discuss Financial Industry Regulatory Authority (FINRA) membership and recent broker-dealer regulatory developments. Topics will include:

- The Securities and Exchange Commission (SEC) rule change requiring FINRA membership for virtually all proprietary firm broker-dealers
- The SEC's proposed rules requiring broker-dealer registration for many currently unregistered traders
- Recent regulatory scrutiny around off-channel communications
- Lessons on CAT reporting

To learn more, contact Rachel Hernandez.

View the recording of this program.

CONTACTS

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