Katten

SPEAKING ENGAGEMENT

SIFMA Compliance and Legal Society Annual Seminar 2013

March 17–20, 2013

Katten is pleased to sponsor the SIFMA Compliance and Legal Society Annual Seminar 2013. This four-day conference will feature informative panels of leading industry experts discussing the latest regulatory developments and trends.

Partner Christian Kemnitz will participate in “Arbitration: Discovery, Expungement, Mediation, and ADR” at 10:25 a.m. on Tuesday, March 19. The panel will discuss practice under the new FINRA discovery rules, electronic discovery, expungement and issues related to individual respondents, reasonable basis suitability, and mediation and ADR strategies.

Partner James Van De Graaff will participate in “Listed Derivatives: Options and Futures” at the same time. The session will focus on position limits; LOPR, acting-in-concert and the large trader rule; allocations/assignments; surveillance and other regulatory priorities; and options and futures under the Volcker Rule.

For more information, click here.

CONTACTS

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



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