Katten

SPEAKING ENGAGEMENT



SIFMA C&L Annual Seminar

Presented by SIFMA

March 23–26, 2025

Two Katten attorneys will participate in the SIFMA C&L Annual Seminar, taking place on March 23–26. On Monday, March 24, Financial Markets Litigation and Enforcement Partner David Goldberg will speak on the “Inside Out: Best Practices for Managing In-House Legal & Compliance Departments” panel at 10:05 a.m. Panelists will discuss topics including:

- Leveraging technology and AI to support internal legal and compliance teams
- How legal and compliance work best together (e.g., board matters, overall risk reduction, sanctions)
- Global firms: best practices for managing integrated legal and compliance teams across geographical regions (e.g., function centralization, regional regulators, offshore teams)
- Vendor relationships
- Understanding, prioritizing and managing BCP/resiliency for critical vendors
- Hiring consultants can be painful: when does it really make sense?
- Outside counsel: expense management and best engagement practices

Financial Markets and Regulation Partner and Co-Chair Carl Kennedy will speak on the “Effective Oversight in Capital Markets: Supervision and Surveillance” panel at 11:10 a.m. on Tuesday, March 25. Panelists will discuss topics including:

- Roles and responsibilities — 1LoD vs. 2LoD
- Supervision — adequacy of procedures, systems and controls to detect/prevent misconduct
- Surveillance and data – quality, availability (including alternative data sources) and usage
- New market surveillance technologies: the role of advanced technologies like AI and machine learning in enhancing market surveillance and detecting fraudulent activities

- Cross-border supervision challenges: addressing the complexities of supervising teams, capital flows and market activities across borders

Learn more about the SIFMA C&L Annual Seminar.

CONTACTS

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



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