

## Navigating CAT, EBS, and LOPR Reporting Requirements: Current Regulatory Climate, Enforcement Trends and Practical Risk Mitigation

**Presented by Katten and Alvarez & Marsal**

March 12, 2026

Katten and Alvarez & Marsal will co-host a webinar on the evolving regulatory landscape for CAT, EBS, and LOPR reporting, as well as recent enforcement trends on Thursday, March 12, at 12:00 p.m. (ET). Katten presenters will include Partners Michael Diver and Michael Lohnes.

Despite recent shifts in regulatory priorities, the Securities and Exchange Commission (SEC) and the Financial Industry Regulatory Authority (FINRA) remain active in trade reporting compliance, and firms continue to face challenges related to regulatory interpretations, data quality, governance and vendor supervision. This webinar will provide regulatory and operational perspectives on current expectations, emerging risks and practical strategies firms are using to strengthen their reporting frameworks.

Topics will include:

- The current regulatory climate for CAT, EBS, and LOPR reporting, including programmatic developments at the SEC and FINRA
- Recent enforcement trends, regulatory sweeps and common deficiencies identified by regulators
- Overlapping requirements and data fields across CAT, EBS, LOPR and other trade reporting obligations
- Common industry challenges, including vendor supervision, governance gaps and reliance on manual controls
- Practical, risk-based mitigation strategies, including pre-submission reviews, governance enhancements and independent testing

This program is intended for legal, compliance, operations and risk professionals responsible for trade reporting oversight and regulatory compliance.

Read Katten's recent articles on reporting, available [here](#) and [here](#).

Watch the Webinar [here](#).

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## CONTACTS

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