



Apex Fintech Solutions 5th Annual BD CCO Roundtable

Presented by Apex Fintech Solutions

September 23-24, 2026

Partner and Broker-Dealer Regulation Co-Chair Susan Light and Litigation Partner Brian Poronsky will speak at Apex Fintech Solutions's 5th Annual Broker-Dealer Chief Compliance Officer (CCO) Roundtable, which Katten will sponsor. The Roundtable brings together compliance leaders for candid peer discussions, actionable strategies, and a preview of practical solutions to help firms scale oversight and stay ahead of regulatory priorities.

On Wednesday, September 23, Sue will lead the 9:00 a.m. Regulatory Update, covering Financial Industry Regulatory Authority (FINRA)/Securities and Exchange Commission (SEC) priorities and exam readiness.

Brian will join the 2:00 p.m. Prediction Markets/Surveillance Panel, addressing licensing, personal trading, conflicts and emerging risks.

[Learn about the Apex Fintech Solutions BD CCO Roundtable.](#)

CONTACTS

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