



Compliance & Legal Society Annual Seminar 2014

Presented by the Securities Industry and Financial Markets Association

March 30–April 2, 2014

Katten is pleased to sponsor the SIFMA Compliance & Legal Society Annual Seminar 2014. This four-day event will feature more than 65 dynamic and informative panels of leading industry experts discussing the latest regulatory developments and industry trends.

Partner James Van De Graaff will participate in the panel discussion "Listed Derivatives: Options and Futures" at 12:05 p.m. (ET) on Tuesday, April 1. The session will address position limits including futures and options; LOPR, acting in concert and the Large Trader Rule; allocations and assignments; surveillance and other regulatory priorities; and options and futures under the Volcker Rule.

Also on Tuesday, partner Christian Kemnitz will participate in the panel discussion "Commodities and Derivatives Litigation and Regulatory Update" at 12:05 p.m. (ET). The session will cover updates in global investigations, legislation and class actions involving benchmarks, credit default swaps, and market manipulation, as well as updates on regulators including the CFTC the FERC.

Partner David Goldberg will participate in the "Mortgage Litigation and Regulatory Landscape" panel discussion on Wednesday, April 2 at 9:45 a.m. (ET). The session will address the state of the RMBS disclosure lawsuits—pending motions, current developments, disclosed settlements; the mortgage plaintiff: from funds and SPV to the FHFA; repurchase claims/breach of rep/warranty and materiality issues; RMBS class certification and standing; statute of limitations/statutes of repose; and the mortgage fraud task force and other regulatory developments.

For more information, click [here](#).

CONTACTS

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