



## 36th Annual Law & Compliance Conference on the Regulation of Futures, Derivatives and OTC Products

**Presented by the Futures Industry Association**

May 7–9, 2014

Katten is pleased to sponsor the Futures Industry Association's 36th Annual Law & Compliance Conference on the Regulation of Futures, Derivatives and OTC Products, where compliance officers, attorneys and regulators consider issues affecting the legal and regulatory framework of the derivatives industry.

Special counsel Gary DeWaal will serve as a moderator for “CRF (Compliance Rapid Fire) Baltimore: 2014” at 2:00 p.m. on Wednesday, May 7. Panelists will be exposed to a multitude of basic questions necessary to help set up and maintain in good standing different potential industry registrants on an ongoing basis (e.g., FCM, swap dealer, IB, broker dealer). With the audience's help, the panelists will state precisely what it takes to enable chief compliance officers and their advisors to comply with both existing regulations and the myriad of new regulations adopted since Dodd-Frank.

Partner Kevin Foley will participate in the panel discussion “Implementation of New Customer Protection Rules” at 8:30 a.m. on Thursday, May 8. The panel will discuss interpretive questions and nuances of the new customer protection rules, including disclosure and risk management requirements, residual interest, 30.7 balances and initiatives in third-party custodial accounts.

Partner Guy Dempsey will participate in the panel discussion “Cross-Border Issues That Should Be on Your Mind” at 10:30 a.m. on Thursday, May 8. The session will focus on the impact of EMIR on FCMs that are members of EU-regulated DCOs, non-US entities that are clearing for non-US customers at DCOs, disclosure requirements for segregation and other key issues affecting international firms. The panel will also address arranging cross-border swaps and the complexities under Dodd-Frank, cross-border considerations in determining where to book client business under Dodd-Frank and EMIR, and cross-border issues in issuing research under Dodd-Frank.

Associate Christian Hennion will participate in the panel discussion “Futures 101: NFA Bylaw 1101 and Aiding and Abetting – What Do You Need to Know About Your Customer?” at 2:00 p.m. on Thursday, May 8. The session will focus on the basics of NFA Bylaw 1101 requirements including available exemptions from CPO status, the nature of CPOs and CTAs, and how and why clearing firms have to make determinations if a customer should be registered (as a CPO, CTA or FCM) and what it means to the member who does not do adequate diligence. The panel will also discuss the CBOE circular regarding CPO/CTA exemptions, the annual certification process for such exemptions and the CFTC proposal that all registrants must be NFA members.

Partner Christian Kemnitz will participate in the panel discussion “CFTC Automated Trading Concept Release – In Practice” at 4:00 p.m. on Thursday, May 8. This session will focus on the CFTC's Automated Trading Concept Release and discuss the various controls that HFT firms, FCMs and DCMs deploy. The panel will debate where the best location is for such controls and the challenges in monitoring trading behaviors.

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

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## CONTACTS

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