

Emerging Trends in Securities and Futures Trading Regulation

Presented by Katten Muchin Rosenman LLP

November 11, 2015

Katten Financial Services attorneys will participate in the firm's "Emerging Trends in Securities and Futures Trading Regulation" panel discussion on how new legal and compliance challenges abound for market participants as US and EU regulators propose new requirements and expand their enforcement priorities at 5:30 p.m. (ET) on Wednesday, November 11 in its New York office and at 4:00 p.m. (CT) on Thursday, December 3 in its Chicago office. The program will address the following topics:

- Recent SEC and FINRA proposals affecting algorithmic and proprietary trading
- Regulatory initiatives in Europe, including the MiFID II rollout
- Principal trading in Treasuries
- SEC and CFTC advisory and pool registration pitfalls
- Disruptive trading investigations by futures and securities regulators
- Increasing chief compliance officer responsibilities
- Wash sales, crosses and trade allocations
- Audit trail requirements

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