

Gary DeWaal

Senior Counsel

New York Office

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Practices

FOCUS: Financial Markets and Funds
Broker-Dealer Regulation
Cryptoassets and Blockchain Technology
Environmental, Social and Governance
ESG and Sustainable Investing
Financial Markets Litigation and Enforcement
Futures and Derivatives
International
Investment Management and Funds
Quantitative and Algorithmic Trading

Industries

Finance and Financial Markets
Private Client Services

Education

JD, The State University of New York Buffalo Law School
MBA, The State University of New York at Buffalo, *with honors*
BA, The State University of New York at Stony Brook, *with high honors, Phi Beta Kappa, Omicron Delta Epsilon*

Bar Admissions

New York

Community Involvements

ABA Taskforce on Blockchains, Cryptocurrencies, and Investment Management
Colorado Securities Board, Appointee
Commodity Markets Council, Board of Directors
Futures Industry Association (FIA), Law & Compliance Division, Executive Committee

Gary DeWaal brings substantial experience from both industry and government to his practice counseling clients on exchange-traded derivatives, cryptoassets, artificial intelligence and quantum computing. He advises a worldwide client base on transactional and regulatory matters relating to those and other complex financial products. Gary's clients benefit from his deep well of contacts and practical knowledge from his prior work with the world's largest exchange-traded derivatives broker and, before that, as a senior trial attorney with the Division of Enforcement at the US Commodity Futures Trading Commission (CFTC).

Tapping deep knowledge to clear regulatory hurdles

Gary understands the urgency that drives the financial industry. His business background also gives him a unique understanding of his clients' products. This allows him to provide fast and practical responses to clients, often consulting directly with business executives as opposed to legal staff. Gary's tenacity and insightful counsel are well regarded by clients, who have shared that "Gary is a remarkable, one-of-a-kind attorney, and his team has been great," "the entire firm is top notch, extremely knowledgeable and courteous. A special shoutout to Gary who is a cut above all," and "[Gary] has been excellent and [I] can't say enough good about them" (*U.S. News – Best Lawyers®* "Best Law Firms" 2023).

Gary's leadership and contributions to the financial industry were recognized in 2023 with his induction into the Futures Industry Association (FIA) Hall of Fame.

Before joining Katten, Gary interacted with regulators worldwide as the Group General Counsel of Fimat (later known as Newedge), the exchange-traded derivatives and securities broker. He also served in both business and legal roles for Brody, White & Co., and, before that, as a senior trial attorney with the CFTC's Division of Enforcement.

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Institute for Financial Markets, Board of Trustees

Thalès Trading Solutions LLC, Advisory Board

"Katten is an excellent law firm that is very responsive and has a deep bench of attorneys and excellent expertise. Gary DeWaal, Carl Kennedy and many others are excellent. Great business partnership with Katten. They find time and excellent solutions."

*- U.S. News – Best Lawyers® "Best Law Firms" 2023
(Derivatives and Futures Law) survey response*

Gary led the Katten team that resulted in two Bitcoin derivatives trading platforms obtaining among the first registrations with the CFTC as derivatives clearing organizations, and in one case also a swap execution facility and later a designated contract market. More recently, he has orchestrated settlements with the CFTC, the National Futures Association, CME Group and ICE Futures U.S. and Europe on behalf of clients that included reasonable terms and language under the circumstances, and in some cases, persuaded regulators not to commence enforcement actions at all. On an ongoing basis, Gary advises clients on complex proposed trading and operational issues involving exchange-traded derivatives.

Gary brings a similar level of on-the-ground knowledge to his work advising on the regulation of cryptoassets and blockchain technology. His study of computer science while obtaining his MBA and three early programming languages allows him to quickly grasp many of the technological aspects of this newly developing field. Gary is able to analyze cryptoassets and blockchain issues applying his holistic knowledge of derivatives', securities' and applicable states' laws and regulations.

Gary previously taught derivatives regulation as an adjunct professor at Brooklyn Law School. He regularly speaks internationally at financial services and cryptoasset-themed conferences and is frequently quoted in international publications for his views on topical issues involving financial markets and cryptoassets.

Gary also currently serves as a member of the New York State Department of Financial Services Virtual Currency Advisory Board and the Colorado Securities Board.

Recognitions

Recognized or listed in the following:

- *Chambers FinTech*
 - FinTech Legal: Blockchain & Cryptocurrencies, 2023-2024

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- *Chambers Global*
 - Capital Markets: Derivatives
 - USA, 2021–2024
 - Capital Markets: Derivatives: Mainly Regulatory
 - USA, 2022–2024
- *Chambers USA*
 - Derivatives, 2020–2024
 - Derivatives: Mainly Regulatory, 2021–2024
- *Citywealth*
 - Top 15 US Legal Crypto Practitioners, 2022
- Futures Industry Association
 - Hall of Fame, 2023
- International Law Office
 - Top Five General Counsel in the World, 2010
- JD Supra Reader's Choice - Top Author
 - Compliance, 2019
 - Cybersecurity and Compliance, 2016
 - Finance & Banking, 2019
 - Securities, 2018–2020
- *National Law Journal*
 - Cryptocurrency, Blockchain and Fintech Trailblazer, 2018
- *National Law Review*
 - Go-To Thought Leader Award, 2018
- *The Legal 500 United States*
 - Recommended Attorney, 2018–2023

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News

- Katten Receives High Marks in *Chambers USA Guide 2024* (June 6, 2024)
- Katten Ranked as Leader in *Chambers Global Guide 2024* (February 15, 2024)
- Gary DeWaal Offers Clarity to *Fortune* on Why NFTs Are Not Securities (December 11, 2023)
- Katten Ranked in Crypto and Blockchain by *Chambers FinTech 2024* (December 11, 2023)
- Gary DeWaal Appointed to the Colorado Securities Board (July 31, 2023)
- Gary DeWaal Quoted on Ripple Win and What's Next (July 27, 2023)
- Katten Lauded in The Legal 500 United States 2023 (June 9, 2023)
- Katten Boosts Rankings in *Chambers USA Guide 2023* (June 1, 2023)
- Gary DeWaal Analyzes for *Bloomberg* a Crypto Startup's First-Time FINRA Approval (May 24, 2023)
- Gary DeWaal Shares Thoughts on Proposed New York State CRPTO Bill the *New York Daily News* (May 10, 2023)
- Gary DeWaal Sheds Light on 'Investor Hope' With *Decrypt* (April 11, 2023)
- Katten Lauded in *Chambers Global Guide 2023* (February 16, 2023)
- *Bloomberg* Speaks With Gary DeWaal on NYSE Glitch Implications (February 3, 2023)
- Katten Financial Services Counsel Named to Industry Hall of Fame (February 2, 2023)
- Katten Named Leader in Blockchain and Cryptocurrency in *Chambers FinTech 2023 Guide* (December 29, 2022)

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- *The Wall Street Journal* Examines CFTC Strategy With Gary DeWaal (December 20, 2022)
- *Bloomberg Law* Speaks With Gary DeWaal on Recent SEC Regulatory Enforcement Efforts (December 6, 2022)
- *CoinDesk* Interviews Gary DeWaal on Crypto Sector's Access to Master Accounts Under New Federal Reserve Guidance (August 26, 2022)
- *Reuters* Interviews Gary DeWaal on Industry Uncertainty Regarding When a Cryptoasset Is a Security (August 16, 2022)
- *Bloomberg* Discusses Crypto-SPAC Deal Complications With Gary DeWaal (June 22, 2022)
- *Citywealth* Names Daniel Davis, Gary DeWaal and Lance Zinman to It's 2022 Top 15 US Legal Crypto Practitioners (June 16, 2022)
- Katten Awarded Top Ranking in Structured Finance: Securitization in The Legal 500 United States 2022 (June 8, 2022)
- Katten Ranked Leading Law Firm by *Chambers USA* 2022 (June 1, 2022)
- Cboe Global Markets Company Closes Its Acquisition of Katten Client ErisX (May 4, 2022)
- First Independent and Cloud-Native Swap Data Repository — KOR SDR — Obtains CFTC Registration With Assistance of Katten (April 11, 2022)
- Katten Adds Global Bank Exec to Financial Markets and Funds Group (April 4, 2022)
- Katten Receives Top Billing by *Chambers Global* in Banking & Finance, Bankruptcy, Derivatives, Hedge Funds and Securitisation (February 17, 2022)
- Can the Mayor of NYC Influence the Crypto Industry? Gary DeWaal Answers in *Cointelegraph* and *Daily News* Interviews (November 23, 2021)
- Coronavirus (COVID-19) Resource Center (November 10, 2021)
- *Bloomberg* Discusses Crypto Firm Lawsuit Strategy With Gary DeWaal (November 3, 2021)

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- Gary DeWaal Discusses New Bitcoin Futures Fund and What Investors Won't See Anytime Soon (October 27, 2021)
- Katten Represents ErisX in Its Acquisition by Cboe Global Markets (October 21, 2021)
- Gary DeWaal Discusses the New SEC GC With *Law360* (October 4, 2021)
- Katten Receives High Marks in Derivatives, M&A and Securitization in The Legal 500 United States 2021 Guide (June 10, 2021)
- Katten Boosts Rankings in *Chambers USA* 2021 (May 20, 2021)
- Reuters Interviews Gary DeWaal on Legal Issues Surrounding a Potential US Digital Dollar (May 5, 2021)
- *Forbes* Talks Dogecoin With Gary DeWaal (April 21, 2021)
- Gary DeWaal Discusses Ether and the Ethereum Blockchain With *Forbes* (April 5, 2021)
- Katten Praised by *Chambers Global* in Banking & Finance, Derivatives, Hedge Funds and Securitisation (February 19, 2021)
- Gary DeWaal Shares Insight on New Leadership and New Priorities for the CFTC (February 8, 2021)
- Katten Adds Ex-CFTC General Counsel to Financial Markets and Funds Group (January 25, 2021)
- *Bloomberg Law* Discusses Crypto Exchanges With Gary DeWaal (November 30, 2020)
- Gary DeWaal Discusses CFTC's "Risk-Based" Framework for Corporate Compliance (September 14, 2020)
- *Bloomberg Law* has Gary DeWaal Weigh In on Cryptocurrency Partnership Trends (August 19, 2020)
- Katten Named Top-Tier Firm in Structured Finance and Securitization by The Legal 500 United States 2020 Guide (June 16, 2020)
- Katten Attorneys Recognized as Top Authors in 2020 JD Supra Readers' Choice Awards (April 29, 2020)

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- Katten Rated Top Law Firm by *Chambers USA* 2020 (April 23, 2020)
- *Wolters Kluwer* Highlights Recent Katten "Business Not as Usual" Webinar (April 10, 2020)
- Gary DeWaal Comments on Korean Derivatives Trading Complications for US Investors (April 10, 2020)
- Gary DeWaal Weighs In on Potential Safe Harbor for Digital Tokens (February 11, 2020)
- Gary DeWaal and Cathy Yoon Comment on SEC/FINRA Joint Statement on Cryptoassets (July 15, 2019)
- Katten Financial Services Attorney Distinguished as Legal Influencer (July 15, 2019)
- Gary DeWaal and Cathy Yoon Comment in *Law360* on First SEC-approved Crypto Token Offering (July 11, 2019)
- Katten Praised in The Legal 500 United States 2019 Guide (June 11, 2019)
- There is More to Fintech Than Buzz, Share Katten Attorneys (June 5, 2019)
- Gary DeWaal Weighs In on the Need for a Single Federal Cryptocurrency Exchange Regulator (May 14, 2019)
- Katten Attorneys Receive Readers' Choice Awards from JD Supra (April 1, 2019)
- Gary DeWaal Recognized as "Go-To Thought Leader" by *National Law Review* (December 26, 2018)
- Gary DeWaal Comments on Second Federal Court Ruling That Cryptocurrencies Are Commodities With CFTC Oversight (October 1, 2018)
- Gary DeWaal Quoted on Recent NY Regulator Approvals of Price-Stable Cryptocurrencies (September 24, 2018)
- Gary DeWaal Talks With *Bloomberg*, *Wall Street Journal* on Cryptocurrency Fraud Cases (September 14, 2018)

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- Gary DeWaal Named Cryptocurrency, Blockchain and Fintech Trailblazer by *The National Law Journal* (September 4, 2018)
- Gary DeWaal Decodes Cryptocurrency at MarketsWiki Education's World of Opportunity Series (August 20, 2018)
- Gary DeWaal Comments on CFTC Cryptocurrency Investor Advisory (July 20, 2018)
- Gary DeWaal Quoted on Cryptocurrency Market Fluctuations (July 20, 2018)
- Gary DeWaal Quoted on Insider Trading in *HFM Compliance* (July 18, 2018)
- Gary DeWaal Appointed to the CFTC's TAC Virtual Currencies Subcommittee (July 18, 2018)
- Gary DeWaal Shares Cryptocurrency Insight at ISDA Board Meeting (July 2, 2018)
- Katten Distinguished by *The Legal 500 United States* (June 14, 2018)
- Gary DeWaal Comments on CFTC Growing Pains in *The Wall Street Journal* (May 15, 2018)
- Gary DeWaal Quoted by the *New York Law Journal* on Cryptocurrency (April 25, 2018)
- Katten Attorneys Recognized as Top Authors by JD Supra (March 20, 2018)
- Gary DeWaal Discusses Digital Currency Regulations With the CFTC (February 15, 2018)
- Katten Bitcoin Webinar Offers Legal and Compliance Insight (December 18, 2017)
- Gary DeWaal Talks With Bloomberg BNA On the Drop in CFTC Actions (November 28, 2017)
- Guy Dempsey and Gary DeWaal Comment on Recent US Treasury Regulatory Proposals (October 13, 2017)

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- Katten Represents LedgerX, First Federally Approved Exchange and Clearing Housing for Digital Currency Derivatives (July 24, 2017)
- Gary DeWaal Discusses Financial Regulatory Divergence on the US Horizon (July 17, 2017)
- Gary DeWaal Quoted on Spoofing Regulations and Enforcement (March 29, 2017)
- Gary DeWaal Comments on 'Spoofing' Regulations in Thomson Reuters Regulatory Intelligence (December 1, 2016)
- Gary DeWaal Quoted on CFTC Insider Trading Enforcement (May 23, 2016)
- Gary DeWaal Comments on the Recent EU-CFTC Clearing Deal (February 10, 2016)
- Gary DeWaal Comments on the Financial Services Regulatory Outlook for 2016 (December 17, 2015)
- Gary DeWaal Quoted in Law360 on the Six Biggest Dodd-Frank Surprises (July 21, 2015)
- Special Counsel Gary DeWaal Quoted in IA Watch Article on Outsourcing and Compliance Responsibilities (January 22, 2015)
- Special Counsel Gary DeWaal Quoted in Law360 About Regulatory Response to Swiss Franc Shock (January 21, 2015)
- Special Counsel Gary DeWaal Quoted in Law360 About Swiss Franc Shock (January 16, 2015)
- Special Counsel Gary DeWaal Quoted in Law360 Article About 2015 Securities Regulation Agenda (January 5, 2015)
- Katten Represents INTL FCStone Inc. in Acquisition of G.X. Clarke & Co. (November 14, 2014)
- Special Counsel Gary DeWaal Comments on O'Malia Move to ISDA in Law360 (August 1, 2014)
- Special Counsel Gary DeWaal Quoted in Bloomberg on Perks for Trading Firms (June 19, 2014)

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- Special Counsel Gary DeWaal Comments on Challenges Facing New CFTC Heads in Law360 (June 10, 2014)
- *Futures Notes* Gary DeWaal Joins Katten as Special Counsel (June 9, 2014)
- Gary DeWaal, 30+-Year Veteran of the Financial Services Industry and Former Newedge Global General Counsel, Joins Katten (April 28, 2014)
- Addition of Gary DeWaal to Financial Services Practice Noted by Bloomberg Businessweek (April 28, 2014)
- *Financial Times* Announces Gary DeWaal's Arrival at Katten (April 28, 2014)
- *Bridging the Week*, Featuring Topics on Trade Reporting; Front-Running; More Regulatory Improvements; DLT Space Among Enforcement Priorities

Publications

- Financial Markets and Funds *Quick Take* | Issue 25 (April 2024)
- Ether's Security Designation Creates Risk of Market Disruption (April 2, 2024)
- The Lesson of Prometheus – A Special Purpose Broker Dealer May Cause Havoc in TradFi by Unilaterally Declaring ETH To Be A Security (March 11, 2024)
- SEC Significantly Broadens "Dealer" Definition (February 23, 2024)
- Financial Markets and Funds *Quick Take* | Issue 23 (February 2024)
- Financial Markets and Funds *Quick Take* | Issue 22 (January 2024)
- Foreign Listed Stock Index Futures and Options Approvals December 2023 (December 19, 2023)
- Financial Markets and Funds *Quick Take* | Issue 21 (December 2023)
- Financial Markets and Funds *Quick Take* | Issue 20 (November 2023)

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- Financial Markets and Funds *Quick Take* | Issue 19 (October 2023)
- Privacy, Data and Cybersecurity *Quick Clicks* | Issue 9 (September 2023)
- Financial Markets and Funds *Quick Take* | Issue 18 (September 2023)
- Privacy, Data and Cybersecurity *Quick Clicks* | Issue 8 (August 2023)
- Financial Markets and Funds *Quick Take* | Issue 17 (August 2023)
- Financial Markets and Funds *Quick Take* | Issue 16 (July 2023)
- Financial Markets and Funds *Quick Take* | Issue 15 (June 13, 2023)
- Financial Markets and Funds *Quick Take* | Issue 14 (May 30, 2023)
- Financial Markets and Funds *Quick Take* | Issue 13 (April 25, 2023)
- Financial Markets and Funds *Quick Take* | Issue 12 (March 17, 2023)
- Financial Markets and Funds *Quick Take* | Issue 11 (February 21, 2023)
- Regulate Staking-as-a-Service by Rules, Guidance, Not Enforcement (February 14, 2023)
- Financial Markets and Funds *Quick Take* | Issue 10 (January 13, 2023)
- It's Time for Congress to Pass a Federal Virtual Currency Law (January 4, 2023)
- Financial Markets and Funds *Quick Take* | Issue 9 (December 13, 2022)
- Congress needs to prioritise customer protections in crypto (December 2, 2022)
- This Is How the SEC and CFTC Should Regulate the Crypto Markets (December 1, 2022)
- Financial Markets and Funds *Quick Take* | Issue 8 (November 14, 2022)
- Foreign Listed Stock Index Futures and Options Approvals November 2022 (November 1, 2022)
- What's Up With WhatsApp? Regulators Recently Fine Firms \$1.8 Billion in Aggregate for "Off-Channel" Communications (October 21, 2022)
- Financial Markets and Funds *Quick Take* | Issue 7 (October 12, 2022)

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- Holders of DAO Governance Tokens Beware: According to the CFTC, Voting May Be Hazardous to Your Well-Being (September 29, 2022)
- Financial Markets and Funds Quick Take | Issue 6 (September 15, 2022)
- Federal Reserve's New Master Account Guidelines Provide Transparent Path For Crypto Industry (August 18, 2022)
- Financial Markets and Funds Quick Take | Issue 5 (August 16, 2022)
- Block Trades, EFRPs and Assorted Other Trade Practice Issues: A Practical Guide of Current Status (July 27, 2022)
- Financial Markets and Funds Quick Take | Issue 4 (July 19, 2022)
- Financial Markets and Funds Quick Take | Issue 3 (June 14, 2022)
- Financial Markets and Funds Quick Take | Issue 2 (May 11, 2022)
- FDIC Requires Reporting of Crypto-Related Activities (April 13, 2022)
- Financial Markets and Funds Quick Take | Issue 1 (April 13, 2022)
- SEC Deals New Proposal to Expand Reach of Dealer Registration Requirements (April 5, 2022)
- Crypto Misuse — Evading Russian Sanctions Can Be Detected, Prosecuted (March 15, 2022)
- Commentary – The Morphing US Treatment of the Kospi 200 Futures (March 8, 2022)
- It's Time Once Again: SHC Report of US Ownership of Foreign Securities Due March 4 (February 3, 2022)
- CFTC Expanding Anti-Manipulation Powers to Punish Misrepresentations to Futures Exchanges and FCMs (October 7, 2021)
- Are Crypto Lending, DeFi and Stablecoins the New "Lions and Tigers and Bears, Oh My!"? A Review of Recent Crypto Legal and Regulatory Developments (September 14, 2021)
- SEC Increases Registered Investment Adviser Performance Compensation Net-Worth and Assets-Under-Management Tests (August 13, 2021)

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- FINRA Clarifies Guidance on Best Execution and Payment for Order Flow (July 28, 2021)
- ESG Remains a Priority: SEC Asset Management Advisory Committee Adopts ESG Disclosure Recommendations (July 22, 2021)
- Crypto, Meet ESG; ESG, Meet Crypto (July 15, 2021)
- ESG Issues Become Leading Concern for SEC and CFTC: SEC Warns Investment Advisers and Funds About ESG Disclosures (April 27, 2021)
- NFTs Are Hot, But Patchwork of Laws, Rules Needs Watching | *Bloomberg Law* (April 6, 2021)
- Foreign Listed Stock Index Futures and Options Approval Chart March 2021 (March 25, 2021)
- ESG is in the (SEC) House: SEC Exams, Enforcement and Regulations are Coming (March 8, 2021)
- The CFTC Adopts Comprehensive Amendments to Its Bankruptcy Rules (February 2, 2021)
- New York Adopts New Registration and Examination Requirements for Certain Investment Adviser Related Personnel and Solicitors (January 28, 2021)
- 2020 Year-End Crypto Assets Legal and Regulatory Developments (January 21, 2021)
- CFTC Adopts New Rules on Position Limits for Derivatives (November 16, 2020)
- Financial Markets Regulation COVID-19 Resource Center (October 22, 2020)
- CFTC Adopts New Position Limits Requirements (October 16, 2020)
- Broadening the Pipeline: How to Increase Diversity in the Financial Services Legal Industry (October 15, 2020)
- Time for a Change: The CFTC Adopts Extensive Amendments to Swap Reporting Regulations to Improve Data Quality (October 14, 2020)

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- Futures Enforcement and Litigation: A Disruptive Year, Top 5 Takeaways (October 1, 2020)
- A Call to Internalize Greenhouse Gas Cost Externalities: CFTC Subcommittee Publishes First-of-Its-Kind Report Regarding Climate Change's Impact on Financial Markets (September 17, 2020)
- Louisiana Serves Up New Virtual Currency Business Law Cajun Style (July 30, 2020)
- New Empire State of Mind? Potential Easing of Restrictions for New York Virtual Currency Business Licenses (July 22, 2020)
- LIBOR Preparedness Exams Are Coming – Is Your Firm Ready? (June 6, 2020)
- Business Unusual For Financial Services Firms – Returning to New Variations of "the Workplace" (May 19, 2020)
- SEC Enforcement Actions Against Fund Advisers Continues (May 15, 2020)
- A Friendly Reminder: CFTC Staff Encourages Exchanges, Futures Brokers and Clearinghouses to Ensure Their Risk Controls and Disclosures Address COVID-19-Related Market Volatility and Negative Prices (May 13, 2020)
- New York Proposes New Rules to Modernize Securities Filings Affecting Private Funds and Significant Exam and Registration Requirements on "Finders" (May 8, 2020)
- *Between Bridges*, Featuring Topics on Block Trade Rules Violations and New Recommendations for GSCs (May 4, 2020)
- *Bridging the Week* (May 3, 2020) | *Author*
- *Between Bridges* (May 3, 2020) | *Author*
- More Than a Refresh but Much Less Than A Substantial Overhaul: The CFTC Proposes Comprehensive Amendments to Its Bankruptcy Rules (April 29, 2020)
- Foreign Listed Stock Index Futures and Options Approval Chart April 2020 (April 28, 2020)

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- Revising Initial Expectations: CFTC Proposes Substantial Amendments to Form CPO-PQR and Related Requirements (April 16, 2020)
- *Between Bridges*, Featuring Topics on a Morphing Futures Contract and Transforming Digital Assets (April 13, 2020)
- Some Financial Businesses May Be Ineligible for the SBA's Paycheck Protection Program (April 8, 2020)
- *Bridging the Week*, Featuring Articles on an Unregistered Digital Securities Offering, Risk Management and COVID-19 Regulatory Matters (March 30, 2020)
- The CARES Act: An Overview of Programs Impacting Financial Businesses (March 27, 2020)
- *Bridging the Week*, Featuring Articles on COVID-19 Related Business Repercussions (March 23, 2020)
- Business Not as Usual – COVID 19: US Securities and Derivatives Industry Regulators Provide Relief and Guidance (March 19, 2020)
- COVID-19: Considerations for Private Investment Fund Managers (March 17, 2020)
- *Bridging the Week*, Featuring Articles on Business Continuity in Light of COVID-19 and AML Surveillance (March 9, 2020)
- *Bridging the Week*, Featuring Articles on the Regulatory Response to COVID-19 Related Business Disruption and BoE Evaluates Cryptocurrency (March 9, 2020)
- *Bridging the Week*, Featuring Articles on Spoofing-Related Sanctions and a Bitcoin ETF Denial (March 2, 2020)
- *Bridging the Week*, Featuring Articles on Cryptoasset Trading Platforms and Contempt in a CFTC Manipulation Case (February 18, 2020)
- Have We Finally Reached Our Limits? CFTC Proposes New Position Limits Rules in Effort to End Decade-Long Saga (February 14, 2020)
- *Bridging the Week*, Featuring Articles on a Potential Bright Line for Digital Assets Issued for Fundraising to be Regarded as Non-Securities (February 10, 2020)

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- *Bridging the Week*, Featuring Articles on Hedge Exemptions, FCM Liability and Cybersecurity (February 3, 2020)
- *Bridging the Week*, Featuring Articles on Position Limits, Programmer Liability and Securities Versus Virtual Currencies (January 27, 2020)
- *Bridging the Week*, Featuring Articles on Spoofing and Securities Versus Virtual Currency Questions (January 21, 2020)
- *Bridging the Week*, Featuring Articles on SEC, FINRA and CFTC 2020 Priorities (January 13, 2020)
- *Bridging the Week*, Featuring Articles on Proposals for Evaluating New Virtual Currencies and Supervision Requirements (December 16, 2019)
- *Bridging the Week*, Featuring Articles on CCO Annual Report Recommendations and the CFTC's FY 2019 Enforcement Annual Report (December 9, 2019)
- *Bridging the Week*, Featuring Articles on an Embattled Social Media Company's Cryptocurrency Offering, Spoofing Allegations, and CFTC and NFA Sanctions Against a Swap Dealer (November 18, 2019)
- *Bridging the Week*, Featuring Articles on a Return to the Drawing Board in a CFTC Enforcement Settlement and the Expansion of Aiding and Abetting Liability (November 4, 2019)
- Foreign Listed Stock Index Futures and Options Approval Chart October 2019 (October 29, 2019)
- *Bridging the Week*, Featuring Articles on Cryptocurrency Derivatives, SEC/Broker-Dealer Settlement on Manipulative Trading Allegations and District Court Opposition to a CFTC Mandamus Order Request (October 15, 2019)
- *Bridging the Week*, Featuring Articles on an Avalanche of CFTC Enforcement and Unlawful ICO Allegations From the SEC (October 7, 2019)
- *Bridging the Week*, Featuring Articles on Speculative Position Limits, ATS Penalties and the Latest on a CFTC Enforcement Settlement (September 30, 2019)

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- *Bridging the Week*, Featuring Articles on Spoofing Activities, RICO and an Appeal of an Alleged Gag Order Breach (September 23, 2019)
- *Bridging the Week*, Featuring Articles on CFTC Fines Issued for Misleading Statements, Incomplete Audits and Unauthorized Trading (September 16, 2019)
- Foreign Listed Stock Index Futures and Options Approval Chart September 2019 (September 11, 2019)
- *Bridging the Week*, Featuring Articles on Sanctions Against a Clearing Org and a Programmer Seeks End to CFTC Enforcement Action (September 9, 2019)
- *Between Bridges*, Featuring Topics on a CFTC Gag Order Hearing Delay (September 3, 2019)
- *Bridging the Week*, Featuring Articles on a Manipulation Settlement and Subsequent CFTC Gag Agreement and a Digital Securities Offering (August 19, 2019)
- *Bridging the Week*, Featuring Articles on the Continued "Tokens as Securities" Debate, Swap Dealer Misleading Information and Market Abuse (August 12, 2019)
- *Bridging the Week*, Featuring Articles on Parallel Spoofing Charges and a Perimeter for Digital Assets From the UK's FCA (August 5, 2019)
- *Bridging the Week*, Featuring Articles on the CFTC Registering a Win in Federal Appellate Court in Dodd-Frank Enforcement Matter (July 29, 2019)
- SEC and FINRA Issue Joint Staff Statement on Broker-Dealer Custody of Digital Asset Securities (July 25, 2019)
- *Bridging the Week*, Featuring Articles on Mismarking Valuations, Supervisory Failures and New Block Trade Participants (July 22, 2019)
- *Bridging the Week*, Featuring Articles on Crypto Custody and CFTC Sanctions Against an International Exchange (July 15, 2019)

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- *Bridging the Week*, Featuring Articles on a UK Proposal to Ban Cryptocurrency Futures and a Hedge Fund Position Limits Violation (July 8, 2019)
- National Futures Association Proposes Overhaul of its Member Requirements for the Supervision of Branch Offices and Guaranteed Introducing Brokers (July 2, 2019)
- *Bridging the Week*, Featuring Articles on a Trading Firm's Settlement With the CFTC and CBOT; DOJ and CFTC Spoofing Enforcement Actions Result in Fine for Bank Subsidiary (July 1, 2019)
- FinCEN Publishes Guidance Pertaining to Certain Business Models Involving Convertible Virtual Currencies (June 26, 2019)
- *Bridging the Week*, Featuring Articles on SEC Regulation to Ensure Retail Customer Interests, SEC Removal of Canada ICO, CME Sanction of Disruptive Trader and NFA Overhaul of Supervisory Rules (June 10, 2019)
- *Bridging the Week*, Featuring Articles on the Rollout of ICE Futures U.S. and Compliance Issues Raised by JAC for FCMs (May 20, 2019)
- *Bridging the Week*, Featuring Articles on Fresh Guidance From CFTC Enforcement, FinCEN and FINRA (May 13, 2019)
- *Bridging the Week*, Featuring Articles on a Showdown Between NY Regulators and the OCC Over FinTech Charters; Fractional Reserves for Stablecoins (May 6, 2019)
- *Bridging the Week*, Featuring Articles on Cryptocurrency Suit Brought by New York AG and a Follow Up by the CFTC on Foreign Corrupt Practices (April 29, 2019)
- *Bridging the Week*, Featuring Articles on SEC OCIE's Privacy Warnings for Broker-Dealers and Investment Advisors and Media Battles Continue Between NY Regulator and Denied BitLicense Applicant (April 22, 2019)
- *Bridging the Week*, Featuring Articles on New York's Cancelling of a Major Cryptocurrency Exchange's Safe Harbor and a Mistrial Declared in a Spoofing Case (April 15, 2019)

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- *Bridging the Week*, Featuring Articles on the SEC's Checklist of Cryptoasset Characteristics and a Midtrial Acquittal (April 8, 2019)
- *Bridging the Week*, Featuring Articles on a Spoofing Trial Beginning This Week, FCA Issues Compliance Fines and Two Food Giants Settle with the CFTC (April 1, 2019)
- *Bridging the Week*, Featuring Articles on a CFTC Position Limits Proposal in the Works, SEC Questions on Cryptoasset Custody and NFA Rules on Swap Dealer Supervision (March 18, 2019)
- *Bridging the Week*, Featuring Articles on a CFTC Self-Reporting Initiative and New Training Requirements From the NFA (March 11, 2019)
- *Bridging the Week*, Featuring Articles on a Cryptocurrency Wire Fraud Indictment and the CFTC Losing a Market Manipulation Case (March 4, 2019)
- *Bridging the Week*, Featuring Articles on DOJ Opposition to a New Trial in a Spoofing Case and the SEC Settles With an ICO Issuer (February 25, 2019)
- *Bridging the Week*, Featuring Articles on a Cryptoasset Scam, an Extension in the Comment Period on Amended SEF Rules and Insider Trading at Apple (February 19, 2019)
- *Bridging the Week*, Featuring Articles on Spoofing Enforcement Actions, Proposed Swap Execution Reforms and the SEC's Appeal in an ICO Case (February 4, 2019)
- *Bridging the Week*, Featuring Articles on FCA's Latest Guidance on Cryptoassets and a Closer Look at FINRA's 2019 Risk Monitoring and Examination Priorities (January 28, 2019)
- *Bridging the Week*, Featuring Articles on SEC EDGAR Hacking Charges and a Request for a New Trial in Dodd-Frank Case (January 22, 2019)
- *Bridging the Week*, Featuring Articles on Freedom of Speech, EU Cryptocurrency Regulation and ISSP Updates (January 14, 2019)
- *Bridging the Week*, Featuring Articles on Fines for Anti-Money Laundering Program Deficiencies and FINRA's Take on Cybersecurity Best Practices (January 7, 2019)

Gary DeWaal

Senior Counsel

- *Bridging the Week*, Featuring Articles on the CFTC Studying Ether and the SEC's Latest Blue Sheet Reporting Fines for Broker-Dealers (December 17, 2018)
- *Bridging the Week*, Featuring Articles on Judge Differentiates Between Being Smarter Versus Manipulation and NFA Cybersecurity Guidance (December 10, 2018)
- *Bridging the Week*, Featuring Articles on a Blow Dealt to the SEC by a California Federal Court and Disruptive Practice Fines Leveraged by CME Group (December 3, 2018)
- *Bridging the Week*, Featuring Articles on the CFTC's Annual Enforcement Report and SEC Penalties and Advisory on Cryptosecurities (November 19, 2018)
- *Bridging the Week*, Featuring Articles on Swaps Rules and Recent Fines, Clarification From the SEC on Smart Contracts for Cryptoasset Exchanges (November 12, 2018)
- *Bridging the Week*, Featuring Articles on a Potential UK Regulatory Ban on Cryptocurrency Derivative Sales to Retail Clients and CME Bank Fines (November 5, 2018)
- *Bridging the Week*, Featuring Articles on the First CFTC Bitcoin Anti-Fraud Enforcement Action and Time of Death Called on Reg AT (October 22, 2018)
- *Bridging the Week*, Featuring Articles on Spoofing Fines, UK Data Security Fines and the Continued Debate Over Cryptocurrency Risk (October 15, 2018)
- *Bridging the Week*, Featuring Articles on Recent CFTC Sanctions for Market Manipulation and Insider Trading, and Cryptocurrency Oversight (October 1, 2018)
- *Bridging the Week*, Featuring Articles on the CFTC Pursuing Multiple Spoofing Cases and Broker Sanctions for Unlawful Post-Trade Allocations; NY AG Speaks Out Against Abusive Trading on Crypto Platforms (September 24, 2018)

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- *Bridging the Week*, Featuring Analysis of the Federal Court's Ruling on ICOs as Securities, and Recent Enforcement Actions by the CFTC, SEC and FINRA on Registration, Reporting and Blue Sheets (September 17, 2018)
- *Bridging the Week*, Providing Insight on SEC Quantitative Trading Models Regulation and CFTC Guidance on Cross-Border Swaps and the Meanings of "Or" and "Actual Delivery" (September 10, 2018)
- *Bridging the Week*, Featuring Topics on CCOs, Annual Compliance Report, Bitcoin Futures ETPs, Reg SHO: Virtual Currency (August 27, 2018)
- *Bridging the Week*, Featuring Topics on ICO Halted, Misappropriation of Client Funds Not Halted, Rogue Trading (August 20, 2018)
- *Bridging the Week*, Featuring Topics on Spoofing, Post-Trade Allocations, Wash Trades, Supervision, Cryptocurrency Activities (August 13, 2018)
- *Bridging the Week*, Featuring Topics on Post-Trade Allocations, Exchange-Traded Products and Statutory Requirements (August 6, 2018)
- *Between Bridges*, Featuring Topics on the Bitcoin Ecosystem (July 27, 2018)
- *Bridging the Week*, Featuring Topics on Fraud v. Fraud-Based Manipulation, Litigation Holds, Gifts and Entertainment, ATSS, Customer Funds' Investments (July 23, 2018)
- *Bridging the Week*, Featuring Topics on Attempted Manipulation, Curious About Digital Assets, Whistleblowing, SARs, Obstruction (July 16, 2018)
- *Bridging the Week*, Featuring Topics on Cryptocurrencies, Fiat Currencies, Trust, Fraud, Jurisdiction, Administrative Law Judges (June 25, 2018)
- *Bridging the Week*, Featuring Topics on Ether, Bitcoin, Utility Tokens, Beanie Babies, Block Trades and Position Limits Violations (June 18, 2018)

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- *Bridging the Weeks*, Featuring Topics on Swap De Minimis; Omnibus Accounts; LIBOR, Bribery; Digital Representations (June 11, 2018)
- *Bridging the Weeks*, Featuring Topics on Self-Certifications, Virtual Currencies, Summary Suspensions, Spoofing (June 4, 2018)
- *Bridging the Week*, Featuring Topics on AML, Suspicious Transactions, Disgorgement, Fake ICO (May 21, 2018)
- *Bridging the Week*, Featuring Topics on Whistleblowing, Piling On, Mismarks, Insider Trading, Let's Talk About ICOs (May 14, 2018)
- *Bridging the Week*, Featuring Topics on Cotton Trading Blues, Source Code Theft, XRP a Security?, and Monex Redux (May 7, 2018)
- *Between Bridges*, Featuring Topics on Actual Delivery; Manipulative Device or Contrivance (May 2, 2018)
- *Bridging the Week*, Featuring Topics on Swaps Clearing, Trading and Reporting; Wire Fraud; Spoofing (April 30, 2018)
- *Bridging the Week*, Featuring Topics on Actual Delivery, Manipulative or Deceptive Devices; NY AG Sweep; ATS Breakdown (April 23, 2018)
- *Bridging the Week*, Featuring Topics on Disruptive Trading, Spoofing, Supreme Court Appeal (April 16, 2018)
- *Bridging the Week*, Featuring Topics on Kospi 200, Irrevocability, Virtual Currencies, CFTC Jurisdiction (April 9, 2018)
- *Bridging the Week*, Featuring Topics on AML, Red Flags, Pump and Dump, Bitcoin ETFs (April 2, 2018)
- *Bridging the Week*, Featuring Topics on Howey, ICOs, Virtual Currencies, Actual Delivery (March 26, 2018)
- *Bridging the Week*, Featuring Topics on Swaps De Minimis Level; SLR; SEFs; Insider Trading; ICOs (March 19, 2018)
- *Bridging the Week*, Featuring Topics on ICOs; Cryptocurrencies; Securities Exchanges; Moving the Money (March 12, 2018)
- *Bridging the Week*, Featuring Topics on Whistleblowers; AML Staffing; Unlicensed Crypto Exchange; FCA-CFTC FinTech Cooperation (February 26, 2018)

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- *Between Bridges*, Featuring Topics on Cybersecurity, Cryptocurrencies and Compliance (February 20, 2018)
- *Bridging the Week*, Featuring Topics on New Crypto Regulator?; Spoofing Appealed Again; Examination Priorities (February 12, 2018)
- *Bridging the Week*, Featuring Topics on Spoofing; FCMs; Software Development; ICOs; Block Trades (February 5, 2018)
- *Bridging the Week*, Featuring Topics on Fake Coins, Real News; "It Depends" Advice; Market Abuse; Insider Information (January 29, 2018)
- *Bridging the Week*, Featuring Topics on Registered Investment Funds and Cryptocurrencies, Bitcoin Investment Schemes and Reg SHO (January 22, 2018)
- *Bridging the Week*, Featuring Topics on FINRA Examination Priorities; Crypto-Exchange Suit; Treasury Secretary Speaks Bitcoin (January 16, 2018)
- *Bridging the Week*, Featuring Topics on Self-Certification; NY BitLicense; Texas C&D; Trading Adverse to Employer (January 8, 2018)
- *Bridging the Week*, Featuring Topics on ICOs, Financed Spot Virtual Currencies, Investment of Customer Funds and Wash Sales (December 18, 2017)
- *Bridging the Weeks*, Featuring Topics on Bitcoin Futures; Report Card; Initial Coin Offerings; Disclosing Customer Information (December 11, 2017)
- *Bridging the Weeks*, Featuring Topics on Bitcoin, EFRPs, Wash Sales and Spoofing (December 4, 2017)
- *Bridging the Week*, Featuring Topics on EFRPs; Attempted Manipulation; Enforcement Priorities; Cryptocurrencies (November 20, 2017)
- *Bridging the Week*, Featuring Topics on Initial Coin Offerings; Price Disclosure; Wash Sales; Audit Trails (November 13, 2017)

Gary DeWaal

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- *Bridging the Week*, Featuring Topics on Trade Reporting; Front-Running; More Regulatory Improvements; DLT Space Among Enforcement Priorities (October 30, 2017)
- *Bridging the Week*, Featuring Topics on Cryptocurrencies; Pre-Open; EFRPs; Spoofing Again (October 23, 2017)
- *Bridging the Week*, Featuring Topics on Spoofing; Supervision; *De Minimis* Threshold; Automated Trading System Gone Bad (October 16, 2017)
- *Bridging the Week*, Featuring Topics on SEC/CFTC – Coordinate and Harmonize, Don't Merge; Source Code Proposal: Dead; Wishes May Come True (October 9, 2017)
- *Bridging the Week*, Featuring Topics on Compliance, High Frequency Trading, Disruptive Trading and Fraud (October 2, 2017)
- *Bridging the Week*, Featuring Topics on Trading Practices, AML and Bribery, Cybersecurity (September 24, 2017)
- *Bridging the Week*, Featuring Topics on Trade Practices, Digital Currencies and Distributed Ledger Technology, Spoofing, Investment Advisers (September 17, 2017)
- *Bridging the Week*, Featuring Topics on Disruptive Trading, Fraud, China Developments, Books and Records (September 10, 2017)
- *Bridging the Week*, Featuring Topics on Insider Trading, Spoofing, Canadian Regulation of Digital Tokens, Reform (August 28, 2017)
- *Bridging the Week*, Featuring Topics on Wash Trades, Spoofing, Bank Capital, Virtual Currency Businesses (August 21, 2017)
- *Between Bridges* (August 8, 2017)
- SEC Warns That Digital Tokens May Be Securities (August 3, 2017)
- *Between Bridges* (July 26, 2017)
- SEC Whistleblower Protection: Recent Cautionary Tales and New Best Practices (February 23, 2017)
- CFTC Finalizes Aggregation Rules and Re-Proposes Position Limits Rule (December 19, 2016)

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- CFTC Re-Proposes Capital Rules for Swap Dealers (December 19, 2016)
- CFTC Approves Supplemental Proposal to Regulation AT (November 10, 2016)
- CFTC Proposes To Allow Designated Contract Markets and Swap Execution Facilities To Recognize Certain Hedging and Spread Positions From Speculative Position Limits (June 6, 2016)
- Questions and Answers Concerning the Final Prudential Regulator Margin Rules for Non-Cleared Swaps (January 2016)
- Proposed CFTC Regulation To Impact Algorithmic Trading and Traders (December 15, 2015)
- New York BitLicense Regulations Virtually Certain to Significantly Impact Transactions in Virtual Currencies, *Journal of Investment Compliance* (December 2015)
- Questions and Answers Concerning the Final Prudential Regulator Margin Rules for Non-Cleared Swaps (December 8, 2015)
- Victim of Fraud Sued for Fraud (November 24, 2015)
- Cyber-Attacks and Developments in Cybersecurity (November 18, 2015)
- Highlights of the Final Prudential Regulator Margin Rules for Non-Cleared Swaps (November 10, 2015)
- CFTC Proposes Revisions to Pending Aggregation Rules (September 28, 2015)
- SEC Enforcement Action Alleges an Adviser Failed to Adopt Adequate Cybersecurity Policies and Procedures; SEC Issues an Investor Alert on Data Theft (September 24, 2015)
- New York BitLicense Regulations Virtually Certain to Significantly Impact Transactions in Virtual Currencies (July 8, 2015)
- Cyber-Attacks: Threats, Regulatory Reaction and Practical Proactive Measures to Help Avoid Risks (June 24, 2015)
- China Regulator Proposes to Permit Designated Domestic Futures Contracts To Be Traded by Foreigners (January 23, 2015)

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- The Re-Proposed Margin Rules for Non-Cleared Swaps: Some Issues and Suggestions for End Users (October 31, 2014)
- SEC Adopts First Installment of Rules for Cross-Border Security-Based Swap Activity (July 16, 2014)
- OTC Derivatives Regulation Under Dodd-Frank: A Guide to Registration, Reporting, Business Conduct, and Clearing (2014)
- *Corporate & Financial Weekly Digest* (Weekly) | *Author*

Presentations and Events

- 2024 Risk Management & Trading Conference (August 21–24, 2024) | *Speaker* | *Regulation of New Technologies: AI, Quantum and Blockchain*
- FIA Law & Compliance Division Conference (April 24–26, 2024) | *Moderator* | *Market Surveillance in the Age of Expanding Products and Innovation*
- ERISA Plan Investments in the Financial Markets 2024: The Fundamentals (March 19, 2024) | *Speaker* | *Case Study: Navigating Bitcoins and Other Virtual Currencies in ERISA Plan Investments*
- Crypto with Katten: Dan and Gary at the Pool (March 12, 2024)
- Crypto With Katten: Is a Modern-Day Prometheus Lighting a Fire Among Traditional Derivatives Industry Participants? The Potential Implications of Labeling ETH as a Security (February 22, 2024)
- Katten's Annual Financial Markets and Regulation Crystal Ball — A Look Back at 2023 and a Look Forward to 2024 (February 1, 2024)
- 2023 NASAA FinTech and Cybersecurity Symposium (December 5, 2023)
- Fordham University School of Law (November 27, 2023) | *Guest Lecturer*
- 2023 Crypto with Katten Annual Symposium (September 27, 2023)

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- Risk Management & Trading Conference (August 23–26, 2023) | *Speaker | Risk Management & Trading Conference - Finced Panel: Update on Current Laws and Regulations Facing Crypto Currency Firms and Trading Platforms*
- Crypto with Katten: Dan and Gary Surfing the Waves of Ripple (July 14, 2023)
- Zero to Sixty (Seconds): Electronic Trading Trends in Derivatives Markets and Emerging Technologies in Financial Services (June 29, 2023)
- Law & Compliance Division Conference (April 26–28, 2023) | *Panelist | New Frontiers in Regulation & Compliance*
- ESG & Blockchain: Seeking Clarity through Radical Transparency (March 16–17, 2023) | *Speaker | ESG & Blockchain: Seeking Clarity through Radical Transparency*
- Crypto with Katten: Dan and Gary at the Pool (March 15, 2023)
- 2023 Crypto with Katten London Symposium (March 1, 2023)
- MFA Digital Investing 2023 (January 30, 2023) | *Moderator | The Fallout – Restoring Trust in Crypto*
- State of the Industry 2023 (January 22–24, 2023) | *Panelist | Outside Legal Perspectives*
- Katten's Annual Financial Markets and Regulation Crystal Ball Event (January 19, 2023)
- Web3 & The Metaverse: Preparing Your Practice & Clients For The Newest Digital Revolution (December 16, 2022)
- Crypto with Katten Presents: A November to Remember in Cryptoland (November 17, 2022) | *Host*
- 2022 Crypto with Katten Annual Symposium (October 20, 2022)
- Katten's Annual Financial Markets Litigation and Enforcement Symposium (October 13, 2022)
- DC Fintech Week 2022 (October 11–12, 2022) | *Moderator | The State of the Fintech—and Housing Economies*

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- Fireside Chat With NY Department of Financial Services Deputy Superintendent of Virtual Currency Peter Marton (September 13, 2022) | *Co-Host*
- Summer 2022: The Winter of [Crypto's] Discontent — A Review of Current Legal and Regulatory Developments (July 27, 2022)
- Off-Exchange Futures, Off-SEF Swaps and Assorted Trade Practice Issues: The Regulators' Perspective (June 29, 2022)
- US Trading and Best Execution Summit (June 14, 2022) | *Panelist* | *Crypto Evolved™ – Trading Digital Assets, Crypto and Bitcoin – Where are we Considering Recent Market Volatility?*
- New Developments and Issues in Swap Data Reporting — Crypto Derivatives, CFTC Rule Amendments, SEC Data Reporting and More (May 19, 2022)
- Law & Compliance Division Conference 2022 (April 27–29, 2022) | *Co-Host* | *Not the Old Soup to Nuts*
- Crypto With Katten: Dan and Gary at the Pool (March 16, 2022)
- Katten's Annual Financial Markets Regulation Crystal Ball — A Look Back at 2021 and a Look Forward to 2022 (March 8, 2022) | *Panelist*
- Crypto from the Rockies: Recent Updates in Crypto Legal and Regulatory Developments and an Interview with Tung Chan, Commissioner, Colorado Division of Securities (February 16, 2022) | *Speaker*
- State of the Industry 2022 (January 23-25, 2022)
- NASAA 2021 Fintech and Cybersecurity Symposium (December 14, 2021)
- The CFTC's Evolving Application of its Fraud-Based Manipulation Law and Regulatory Provisions (December 2, 2021)
- Key Findings from the President's Working Group Report on Stablecoins (November 2, 2021) | *Panelist*
- Crypto for FCM Customer Accounts (October 20, 2021) | *Speaker*

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- 2021 HFS Executive Summit: Together Towards a Digital Tomorrow (September 23, 2021) | *Speaker*
- MFA Digital Assets 2021 (September 21, 2021) | *Moderator* | *DeFi: The Great Decentralization and What It Means for the Future of Finance*
- Are Crypto Lending, DeFi and Stablecoins the New "Lions and Tigers and Bears, Oh My!": A Review of Recent Crypto Legal and Regulatory Developments (September 14, 2021) | *Speaker*
- 24 Hours of Crypto With Katten (July 14–15, 2021) | *Speaker* | *Crypto, Meet ESG: ESG, Meet Crypto*
- A Beacon Into 2021 Crypto Industry, Legal and Regulatory Developments Year to Date (June 2, 2021) | *Speaker*
- Law & Compliance Division Conference (April 28–30, 2021) | *Moderator* | *What is Dogecoin?: A Case Study to Understand DLT, Crypto Assets and DeFi and NFTs*
- MFA West 2021 (April 7–8, 2021) | *Moderator* | *Blockchain and Investing in Digital Assets*
- Katten's Annual Financial Markets Regulation Crystal Ball — A Look Back at 2020 and a Look Forward to 2021 (February 24, 2021) | *Panelist*
- 2020 Year-End Crypto Assets Legal and Regulatory Developments: It Wasn't Just Bitcoin Breaking \$29,000 (It's Even Higher Now)! (January 21, 2021) | *Presenter*
- 2020 CFTC Public TAC Meeting (December 14, 2020) | *Presenter* | *The Growth and Regulatory Challenges of Decentralized Finance*
- Positioning for the CFTC's New Position Limits Rules (November 17, 2020) | *Speaker*
- ErisX Insights Presents: Crypto for FCM Customer Accounts (October 29, 2020) | *Panelist*
- Fintech Week (October 20, 2020) | *Panelist* | *DeFi, AML and the Regulatory Perimeter*

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Senior Counsel

- Law & Compliance Division Conference (October 7–9, 2020) | *Moderator* | *Fintech and Advanced Crypto Issues for Non-Techies (and Techies too)*
- Katten's Annual Financial Markets Litigation and Enforcement Symposium Series (October 1, 2020) | *Panelist* | *Futures Enforcement and Litigation: A Disruptive Year.*
- LabCFTC Empower Innovation Series (September 24, 2020) | *Panelist* | *The Role of Technology and Innovation in a time of Crisis*
- ABA Business Law Virtual Section Annual Meeting (September 21–25, 2020) | *Panelist* | *Current State of Play of Digital Ledger Technology in Financial Transactions from a Global Perspective*
- Louisiana Serves Up New Virtual Currency Business Law Cajun Style (August 31, 2020) | *Speaker*
- Digital Revolution of the Private Securities Market (July 15, 2020) | *Moderator*
- A Brave New World: Effective Supervision and Compliance by CFTC and SEC Registrants in the New Business as Usual Environment (June 18, 2020) | *Panelist* | *Lessons Learned and the Status of Regulatory Relief*
- Why Overhaul CFTC Part 190 Bankruptcy Rules Now – A Conversation with the CFTC's Robert Wasserman (June 16, 2020) | *Moderator*
- Security Futures – The Incredible Potentially Morphing Financial Instrument (April 30, 2020) | *Moderator*
- Business Not as Usual: Katten's Webinar Discussion with the CFTC's Dorothy DeWitt and Division of Market Oversight Senior Staff (March 20, 2020) | *Speaker*
- Business Not as Usual: Practical and Regulatory Responses to COVID-19 for the US Financial Services Industry (March 12, 2020) | *Speaker*
- Financial Innovation under the Financial Conduct Authority (March 3, 2020) | *Speaker*

Gary DeWaal

Senior Counsel

- Promoting Responsible FinTech Innovation at the FCA: A Fireside Chat With Laura Navaratnam, Manager of Innovate at the FCA (March 3, 2020) | *Moderator*
- TAC Public Meeting (February 26, 2020) | *Speaker*
- Trading Practices — A 2020 Update (February 19, 2020) | *Speaker*
- Have We Finally Reached Our Limits? CFTC Proposes New Position Limits Rules in Effort to End Decade-Long Saga (February 14, 2020) | *Speaker*
- JAC Release 19-17 (February 11, 2020) | *Speaker*
- Promoting Responsible FinTech Innovation at the CFTC: A Fireside Chat With Melissa Netram, Director of LabCFTC (February 6, 2020) | *Speaker*
- SIFMA Anti-Money Laundering & Financial Crimes Conference (February 6, 2020) | *Speaker* | *Money Laundering/Financial Crime in Futures and Forex*
- Hear It Directly from the Source (February 4, 2020) | *Moderator* | *Hear It Directly from the Source: Katten Attorneys Sit Down with the CFTC's DSIO Director and NFA's New OTC Derivatives Head*
- Outside Counsel Panel (January 26–28, 2020)
- FinTech Leadership as NYS of Mind: Fireside Chat with Matthew Homer (January 23, 2020) | *Speaker*
- Fintech Leadership as a New York State of Mind — a Fireside Chat with the New York Department of Financial Services (January 23, 2020)
- Regulatory Updates (January 1, 2020) | *Speaker*
- An Overdue Payments Revolution: Public and Private Digital Currencies and other Payment Rail Innovations (November 11, 2019) | *Speaker*
- FIA Expo (October 29–30, 2019) | *Speaker* | *Ghosts of Regulation Rising from the Crypto*
- DC Fintech Week 2019 (October 21–24, 2019) | *Moderator* | *Oracles and Trusted Validators: The Good, the Bad—and the Future* | *Participant* | *AI in the 21st Century Marketplace: Exploring the Role of AI and Related FinTech in CFTC Markets* | *Fintech Forward Roundtable*

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Senior Counsel

- P.R.I.M.E. Finance New York Conference 2019 (October 17, 2019) | *Participant* | *Disruptions from the FinTech Sector: What's Coming and How Should We Prepare?*
- SUNY Buffalo Law School (October 16, 2019) | *Speaker*
- Katten's Annual Financial Markets Litigation and Enforcement Symposium (October 10, 2019)
- Tradestation (October 8, 2019) | *Speaker*
- Summary Overview of Stablecoins and the Law Regarding Stablecoins (October 3, 2019) | *Speaker*
- CFTC Technology Advisory Committee (TAC) Public Meeting (October 3, 2019) | *Participant* | *Summary Overview of Stablecoins and the Law Regarding Stablecoins*
- CFTC Regulatory and Enforcement Agenda Webinar (September 24, 2019) | *Presenter*
- Breaking Down the SEC/FINRA Joint Statement on Custody of Digital Assets—No FUD as Long as You Don't HODL (July 24, 2019) | *Presenter*
- The Evolution of the Application of Law to Blockchain Technology and Cryptoassets: Where Have We Come From and Where Are We Going? (June 26, 2019) | *Panelist*
- The National Futures Association's Proposed Revised Requirements for the Supervision of Branch Offices and Guaranteed Introducing Brokers. Get Prepared! (June 20, 2019) | *Presenter*
- FIA Commodities Symposium (June 10–11, 2019) | *Moderator* | *Blockchain: What Does it Mean for Commodities Firms, Now and in the Future*
- 41st Annual FIA Law and Compliance Division Conference (May 8–10, 2019) | *Moderator* | *Taking the Cryptic Out of Cryptos – An Overview of the Current Regulatory Status and Litigation Involving Cryptoassets* | *Participant* | *Expansion of Criminal Liability to Non-Traders: Legal Issues Presented by U.S. v. Jitesh Thakkar*

Gary DeWaal

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- 44th Annual International Futures Industry Conference (March 12–14, 2019) | *Moderator* | *Emerging Regulatory Challenges: The Best Approach?*
- Securities Industry Institute 2019 – Year 1 Program (March 3–8, 2019) | *Presenter* | *Distributed Ledger Technology: Is It Real or Hype?*
- SFIG Vegas 2019 (February 24–27, 2019) | *Participant* | *Blockchain Fundamentals: A Non-Technical Overview*
- P.R.I.M.E. Finance Annual Conference 2019 (February 4–5, 2019) | *Panelist* | *The Not So Hidden Reality of Cryptocurrencies: Regulatory Enforcement and Litigation*
- State of the Industry 2019 (January 27–29, 2019) | *Participant* | *Outside Counsel Panel*
- You've Been Hacked: Preventing and Dealing With Cyber Breaches (January 10, 2019) | *Speaker*
- Investing in the Blockchain Era (January 8, 2019) | *Panelist*
- Canadian Annual Derivatives Conference (November 26–28, 2018) | *Panelist* | *"It's Not Me, It's the Algo!"*
- Fintech Week (November 5–8, 2018) | *Moderator* | *Making or Taking Innovation? Regulatory Competition and the Race for Fintech Dominance*
- 2018 Treasury and Capital Markets Legal and Legislative Issues Conference (October 18–19, 2018) | *Panelist* | *Cryptocurrency, Blockchain and Fintech: Innovation and Regulation*
- CFTC TAC Meeting With the Virtual Currency Subcommittee (October 5, 2018) | *Co-presenter*
- Panel on FinTech Innovations and the Regulatory Environment (September 27, 2018) | *Panelist*
- Cryptocurrencies — Latest Developments: NFA Issues Advisory for FCMs, IBs, CTAs and CPOs and SEC Again Says "No" to Winklevoss Bitcoin Trust (August 7, 2018) | *Presenter*
- ISDA Board Meeting (June 27, 2018) | *Presenter*

Gary DeWaal

Senior Counsel

- Beyond Bitcoin (May 17, 2018) | *Co-Presenter*
- Pension Plan Investments 2018: Current Perspectives (May 15, 2018) | *Co-Presenter*
- 40th Annual Law & Compliance Division Conference (May 2–4, 2018) | *Moderator | Cryptocurrencies Regulation*
- Smart Financial Regulation Roundtable: Implications of Cryptocurrencies (April 11, 2018) | *Moderator*
- Imperial College Business School Cryptocurrency Conference (March 15, 2018) | *Panelist*
- Exchange Investigations & Enforcement: Insights and Trends (February 28, 2018) | *Panelist | Exchange Enforcement*
- Asset Management Derivatives Forum 2018 (February 7–9, 2018) | *Panelist | Solving the Cross-Border Regulatory Puzzle: How do firms navigate the differences in various jurisdictions globally?*
- Public Lecture: Regulating Cryptocurrencies: The Future of Bitcoin, Ether, and Other Tokens (February 5, 2018) | *Co-Presenter*
- Trading Bitcoin: Legal and Compliance Considerations for Trading and Facilitating Transactions in Bitcoin (December 13, 2017) | *Panelist*
- Consensus: Invest 2017 (November 28, 2017) | *Panelist*
- Smart Financial Regulation Roundtable (November 2–3, 2017) | *Moderator | Enforcing the Rules of the Game*
- Katten's Annual Financial Services Litigation Symposium (October 26, 2017) | *Speaker | Futures Regulatory Enforcement*
- Sibos 2017 (October 16–19, 2017) | *Panelist | Dodd-Frank is dead! Long live Dodd-Frank!*
- CMC Regulation and Compliance Conference 2017 (October 10, 2017) | *Panelist | Outside Counsel Round-Up*
- CoinAlts Fund Symposium (September 14, 2017) | *Panelist | Regulatory Outlook for Digital Assets & Investment Managers*

Gary DeWaal

Senior Counsel

- Regulation of Digital Tokens in the US: Bitcoin, Blockchain and Insight Into the Views of the CFTC and SEC (August 9, 2017) | *Panelist*
- 39th Annual FIA Law & Compliance Division Conference on the Regulation of Futures, Derivatives and OTC Products (May 3–5, 2017) | *Moderator* | *Memory Lane: Those Who Forget History are Doomed to Repeat It*
- Not Losing Sight of Today for Tomorrow: Selected Current Hot Regulatory Topics (March 28, 2017) | *Panelist*
- 2016 Market Structure Conference: Disruptive and Manipulative Activities (November 18, 2016) | *Presenter* | *The Effect of Settlement Rules on the Incentive to Bang the Close*
- Recent Legal Developments on Securities and Derivatives Issues for Sell-Side and Buy-Side Market Participants (July 27, 2016) | *Panelist*
- Just in Time for Summer: Position Limits, Regulation AT and Defend Trade Secrets Act (June 7, 2016) | *Panelist*
- CTA Intelligence NY Breakfast Briefing: Weapons of Mass Disruption: Have Algo Trading Regs Gone Too Far? (May 25, 2016) | *Panelist*
- Understanding FinCEN's New Customer Due Diligence Obligations (May 19, 2016) | *Presenter*
- ABA Section of International Law 2016 Spring Meeting (April 13, 2016) | *Panelist*
- Over-the-Counter Derivatives Reform in Canada (March 22–23, 2016) | *Presenter* | *Regulatory Disciplinary Actions and Enforcement Matters*
- FIA Boca 2016 Conference (March 15–18, 2016) | *Chair* | *CFTC Reg AT: Will it Improve the Status Quo?*
- FUTURES 101: An Introduction to U.S. Futures Markets and Regulation (March 1, 2016) | *Panelist*
- A Review of CFTC Proposed Regulation AT and Its Potential Practical Impact (December 17, 2015) | *Panelist*
- Emerging Trends in Securities and Futures Trading Regulation (December 3, 2015) | *Panelist*

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- Cybersecurity: Anticipate and Manage the Unlikely Scenario (November 19, 2015) | *Panelist*
- Emerging Trends in Securities and Futures Trading Regulation (November 11, 2015) | *Panelist*
- FIA Futures and Options Expo (November 5, 2015) | *Panelist* | *Surveillance Workshop Part 1: Case Studies*
- Canadian Annual Derivatives Conference (October 21, 2015) | *Panelist* | *Was It Broke? Did We Fix It? Intention and Impact of Futures Market Reform Since 2009*
- Financial Services Litigation Symposium (October 6, 2015) | *Panelist*
- What Every US Market Participant Should Know About MiFID II (July 28 and July 30, 2015) | *Presenter*
- 2015 FIA Law and Compliance Conference (June 22–23, 2015) | *Moderator* | *Compliance Rapid Fire Baltimore: 2015*
- The Weakest Link: Where Is the Achilles Heel of Your Cybersecurity Program? (June 9, 2015) | *Panelist*
- Compliance 2015 (May 5, 2015) | *Speaker* | *Client Risk, Compliance and Enforcement Issues for CTOs and CPAs*
- Developments in Proprietary Trading: Cross-Border Comparison of US and European Regulatory Initiatives (April 28, 2015) | *Panelist*
- 11th Annual Alternative Investment Industry Update (November 12–13, 2014) | *Keynote Speaker* | *Building Bridges: The Dynamics (and Challenges) of Weekly Blogging, Informing and Not Offending*
- Financial Services Litigation Symposium (October 16, 2014) | *Presenter*
- The Institute for Financial Markets' Derivatives Markets Symposium: An Overview of Futures and Swaps Markets (September 15, 2014) | *Moderator* | *How & Why Different Participants Use Markets*
- Katten's Summer 2014 Review: Financial Services Regulatory and Legal Development Highlights (September 10, 2014) | *Panelist*
- Risk Management & Trading Conference (June 18–21, 2014) | *Presenter* | *Dodd-Frank – EMIR: The Challenges of Swap Dealers, Central*

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Trading Swaps Internationally*

- 36th Annual Law & Compliance Conference on the Regulation of Futures, Derivatives and OTC Products (May 7–9, 2014) | *Moderator / CRF (Compliance Rapid Fire) Baltimore: 2014*
- Recent Publicity Concerning Proprietary Trading: Potential Regulatory Responses (May 6, 2014) | *Panelist*
- Recent Publicity Concerning Proprietary Trading: Potential Regulatory Responses (April 28, 2014) | *Panelist*