9th Annual
CONFERENCE ON FUTURES AND DERIVATIVES

NOV 03 2017
EASY WAYS TO REGISTER

ONLINE
cle.kentlaw.edu

PHONE
312.906.5090

MAIL
Office of CLE
Chicago-Kent College of Law
565 W. Adams Street
Chicago, IL 60661-3691
9th Annual
CONFERENCE ON FUTURES AND DERIVATIVES

We are experiencing a time of rapid technological change in the futures and derivatives industry. Come learn what you need to know and how to stay on top of these changes. Also get regulatory updates and learn recent trends in enforcement all while networking with peers, gaining access to leading professionals, and earning CLE, CPE, CCB, CFE, and CSCP credit.

CONFERENCE AT A GLANCE

8:00am–8:40am
Registration

8:40am–8:45am
Welcome

8:45am–10:00am
Regulatory Update from CME and NFA

10:00am–10:15am
Break

10:15am–11:45am
Recent Trends in Enforcement

11:45am–12:45pm
Lunch (on your own)

12:45pm–1:45pm
Conducting Internal Investigations

1:45pm–2:00pm
Break

2:00pm–3:00pm
Micro Sessions

2:30pm–3:00pm
Books & Records

3:00pm–3:15pm
Break

3:15pm–4:15pm
Micro Sessions

3:45pm–4:15pm
MiFID II: Upcoming European Regulatory Changes

4:15pm–5:15pm
Networking Reception

This conference is presented with the generous support of THOMPSON COBURN LLP
CONVENTION CHAIR
Marc Nagel
Consultant
Marc Nagel Consulting

Greg Benbrook
Senior Director,
Investigations, Market
Regulations Department
CME Group

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Director, Office of Continuing
Legal & Professional Education
Chicago-Kent College of Law

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Senior Vice President,
Chief Compliance Officer,
and Regulatory Counsel
Rosenthal Collins Group LLC

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Chief Trial Attorney
U.S. Commodities Futures
Trading Commission

Rosemary C. Hollinger
Deputy Director
Division of Enforcement
U.S. Commodity Futures
Trading Commission

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Partner
Sidley Austin LLP

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Assistant Dean for Institutional
Advancement
Chicago-Kent College of Law

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Assistant Director/Program
Manager, Office of Continuing
Legal & Professional Education
Chicago-Kent College of Law

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Partner, Thompson Coburn LLP
Adjunct Professor, Financial
Services Law, Chicago-Kent
College of Law

John D. Ruark
Member
Funkhouser Vegosen Liebman & Dunn Ltd.

Jennifer Sunu
Director, Compliance
National Futures Association
CONFERENCE FACULTY

Patricia L. Cushing
Director, Compliance
National Futures Association

James G. Lundy
Partner
Drinker, Biddle, & Reath LLP

Patricia Donahue
Senior Vice President, Chief Compliance Officer, and Regulatory Counsel
Rosenthal Collins Group LLC

Renato Mariotti
Partner
Thompson Coburn LLP

Cathleen Downs
Senior Director, Financial and Regulatory Surveillance Dept.
CME Group

James McDonald
Director, Division of Enforcement
U.S. Commodity Futures Trading Commission

Rosemary C. Hollinger
Deputy Director
Division of Enforcement
U.S. Commodity Futures Trading Commission

Erin Middleton
Lead Rules & Regulatory Outreach Specialist, Market Regulation
CME Group

Jacob L. Kahn
Partner
Riley Safer Holmes & Cancila LLP

Jennifer Sunu
Director, Compliance
National Futures Association

Christian T. Kemnitz
Partner
Katten Muchin Rosenman LLP

Jennifer L. Tveiten-Rifman
Chief Compliance Officer
Gelber Group

Matt Lisle
Director and Futures Chief Compliance Officer
ABN AMRO Clearing Chicago LLC

Conor Weber
Compliance Counsel
ICE Futures U.S.
8:00am-8:40am
Registration

8:40am-8:45am
Welcome

8:45am-10:00am
Regulatory Update from CME and NFA
• What to Know about the Exam Process
• Cyber Security Guidance
• Updates on Recent Rule Changes
• Common Exam Deficiencies

Patricia L. Cushing, Director, Compliance, National Futures Association
Cathleen Downs, Senior Director, Financial and Regulatory Surveillance Dept., CME Group
Jennifer Sunu, Director, Compliance, National Futures Association

10:00am-10:15am
Break

10:15am-11:45am
Recent Trends in Enforcement
• Current CFTC and Exchange Enforcement Priorities
• Recent Enforcement Actions
• Parallel Investigations

• Recent Rule Changes and Trends
• Best Practice Pointers

James McDonald, Director, Division of Enforcement, U.S. Commodity Futures Trading Commission
Rosemary C. Hollinger, Deputy Director, Division of Enforcement, U.S. Commodity Futures Trading Commission
Christian T. Kemnitz, Partner, Katten Muchin Rosenman LLP
Erin Middleton, Lead Rules & Regulatory Outreach Specialist, Market Regulation, CME Group
Conor Weber, Compliance Counsel, ICE Futures U.S.

11:45am-12:45pm
Lunch (on your own)

12:45pm-1:45pm
Conducting Internal Investigations
(eligible for 1.0 hr IL ethics/professionalism credit)
This session will discuss the ethical and practical dilemmas and pitfalls that face counsel when they conduct an internal investigation. Among the issues that will be addressed are how and when to interview employees, when to retain separate counsel for employees, when and how to inform management of the findings of the investigation, how to maintain attorney-client privilege throughout the investigation, how to prepare...
witnesses for interviews and testimony, and how to position the firm if there is an investigation by a regulator.

Renato Mariotti, Partner, Thompson Coburn LLP

1:45pm-2:00pm
Break

2:00pm-3:00pm
MICRO SESSIONS
Fast-paced, concise, innovative talks on poignant issues facing the field today

Books & Records
Matt Lisle, Director, Futures Chief Compliance Officer, ABN AMRO Clearing Chicago LLC

Customer Due Diligence—The Fifth Pillar of AML
Marc Nagel, Consultant, Marc Nagel Consulting

CCO Reporting
Patricia Donahue, Senior Vice President, Chief Compliance Officer, and Regulatory Counsel, Rosenthal Collins Group LLC

3:00pm-3:15pm
Break

3:15pm-4:15pm
MICRO SESSIONS
Fast-paced, concise, innovative talks on poignant issues facing the field today

MiFID II: Upcoming European Regulatory Changes
Jennifer L. Tveiten-Rifman, Chief Compliance Officer, Gelber Group

Demystifying the Department of Labor’s New Fiduciary Rule as Applied in the Futures Industry
Jacob L. Kahn, Partner, Riley Safer Holmes & Cancila LLP

Trading Surveillance and Supervision
James G. Lundy, Partner, Drinker Biddle & Reath LLP

4:15pm-5:15pm
Networking Reception

“I found the content to be very practical and insightful. The information presented today is valuable, useful, and timely.”
– Previous Attendee

“I thoroughly enjoyed dynamic speakers challenge each other.”
– Previous Attendee
UPCOMING CLE CONFERENCES

<table>
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<tr>
<th>Date</th>
<th>Event</th>
<th>MCLE Credit</th>
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<tr>
<td>September 14, 2017</td>
<td>35th Annual Federal Sector Labor Relations &amp; Labor Law Conference</td>
<td>Eligible for 7.75 hrs IL MCLE credit</td>
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<tr>
<td>September 28, 2017</td>
<td>8th Annual Supreme Court IP Review</td>
<td>IL MCLE credit to be determined</td>
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<td>October 19, 2017</td>
<td>Fin(Legal)Tech Conference</td>
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<td>October 27, 2017</td>
<td>Institute for Law and the Workplace Members’ Conference, by invitation only</td>
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<td>November 10, 2017</td>
<td>The eDiscovery Institute</td>
<td>Eligible for 5.75 hrs IL MCLE credit</td>
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<tr>
<td>December 1, 2017</td>
<td>33rd Annual Illinois Public Sector Labor Relations Law Conference</td>
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INTERESTED IN SPONSORSHIP OPPORTUNITIES?
Get in front of your audience first-hand when you confirm your support as a Session Sponsor. Be everyone’s favorite phrase when you become a Wi-Fi Sponsor. These are just a couple of the opportunities available at this conference and others throughout the year. Contact Kelly Calvanico, CLE Director, at 312.906.5090 or cle@kentlaw.iit.edu for further information.
THE INSTITUTE FOR COMPLIANCE

The Institute for Compliance in Financial Markets promotes, trains, and prepares students for careers in compliance by providing a rich academic curriculum, sponsoring a wide variety of internships and externships, holding various events for the Chicago-based compliance and legal community, and hosting a website. It was the first institute of its kind located in a law school and it now offers an online certificate in compliance for non-JD students.

In July 2016 Chicago-Kent graduated the first class in its seven-month online certificate program in Financial Markets Compliance. This is among the first programs in the country to provide prospective and entry-level compliance professionals with a deep understanding of the field as it applies across different types of financial institutions.

For more information on the FCM Certificate visit: compliance.kentlaw.iit.edu.

WHO SHOULD ATTEND THIS CONFERENCE?

• Attorneys
• Compliance Professionals
• Accountants in the Commodities Industry
• Fraud Examiners
• Regulatory Professionals

WHY ATTEND?

As an experienced practitioner you won’t want to miss this hands-on, immediately relevant, intermediate to masters’ level seminar.

You will:
• Learn from the most qualified leaders and practitioners
• Hear directly from key regulators & thought leaders
• Interact directly with panels during Q&A
• Connect and learn from your peers

“The program was excellent. The topics were very informative and the speakers were very knowledgeable.” – Previous Attendee

LL.M. IN FINANCIAL SERVICES LAW

Chicago-Kent’s Graduate Program in Financial Services Law offers full-time and part-time students a unique opportunity to broaden their understanding of the principles underlying increasingly complex systems and services, deepen their knowledge of particular topics of interest, and enhance their skills as professionals.

Reregulation of financial services, tax reforms, globalization, technology, and revolutionary market forces have created an environment in which attorneys must broaden their knowledge and sharpen their skills to handle the range of legal and related issues arising in the new and evolving financial services industry.

The LL.M. program in Financial Services Law educates legal professionals to be effective in this rapidly changing environment. It emphasizes the global nature of financial markets.

The LL.M. in Financial Services Law is a full- or part-time degree program for individuals holding J.D., LL.B., or other non-US first law degrees.

Please call (312) 906-5134 or email intllm@kentlaw.iit.edu for more information.
EVENT DETAILS

CONTINUING EDUCATION CREDIT

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This Conference May Also Be Eligible For:

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<td>(Compliance Certification Board)</td>
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* Contact the Office of Continuing Legal & Professional Education for more information, cle@kentlaw.iit.edu.

CONFERENCE LOCATION

CHICAGO-KENT COLLEGE OF LAW

565 W. Adams Street
Chicago, IL 60661
cle.kentlaw.edu
(312)906-5090

CANCELLATION POLICY

A full tuition refund will be granted if received in writing by October 6, 2017. Tuition, less a 25% cancellation fee will be granted if received between October 7, 2017 and October 27, 2017. No refunds will be granted if received after October 27, 2017, but a substitution of attendees for this program will be permitted. Registrants not entitled to a refund will receive access to the written materials. Email cancellation notices to cle@kentlaw.iit.edu.
REGISTRATION FORM

Prefix    Name(s) (please print)       Professional Title(s)

Firm/Company/Organization

Address

City, State, Postal Code

Telephone     Fax    Email

Special Dietary Requirements or Accessibility Needs?

CLE Credit?  □ Yes  □ No

Attorney Registration #

PAYMENT INFORMATION

AMOUNT: $

PAYMENT TYPE:

□ Payment by check
   (Make check payable to: Chicago-Kent College of Law)

□ Payment by credit card
   □ VISA  □ MasterCard  □ American Express  □ Discover

Name on Card

Card Number    Expiration Date    CSV Code

Signature

Billing Address, City, State, Postal Code

NOTE: If your agency is transferring funds electronically, please notify us as soon as possible.

EASY WAYS TO REGISTER

ONLINE  cle.kentlaw.edu

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       Chicago-Kent College of Law
       565 W. Adams Street
       Chicago, IL 60661-3691

PHONE  312.906.5090

PRICING

9th Annual Conference on Futures & Derivatives | November 3, 2017

Check applicable box:

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Graduation Yr: _____
9th Annual
CONFERENCE ON FUTURES
AND DERIVATIVES
Friday, November 3, 2017

Earn up to 5.75 hrs IL MCLE credit
& 6.5 hrs IL CPE credit