7th Annual
CONFERENCE ON FUTURES
AND DERIVATIVES

OCT
15
2015
EASY WAYS TO REGISTER

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MAIL
Office of CLE
IIT Chicago-Kent College of Law
565 W. Adams Street
Chicago, IL 60661-3691
7th Annual
CONFERENCE ON FUTURES
AND DERIVATIVES

It is a time of new rules and continuous, evolving, sometimes confusing change. Gain up-to-date information and real access to leading professionals from the CFTC, CME Group, NFA, DOJ, and many more in this highly interactive boutique conference setting. At the same time earn CLE, CPE, CCB, CFE, and CSCP credit while networking with peers and industry leaders.

CONFERENCE AT A GLANCE

8:00am–8:55am
Registration

8:55am–9:00am
Welcome and Announcements

9:00am–10:15am
Current Regulatory Issues

10:15am–10:30am
Break

10:30am–12:00pm
Recent Trends in Enforcement

12:00pm–1:00pm
Lunch

1:00pm–2:00pm
Anatomy of a Trading Investigation (ethics)

2:00pm–2:15pm
Break

2:15pm–3:15pm
Hot Topics in FCM Compliance

3:15pm–3:30pm
Break

3:30pm–4:30pm
Hot Topics for Proprietary Trading Firms

4:30pm
Networking Reception

This conference is presented with the generous support of

THOMPSON COBURN LLP
FACULTY AND ADVISORY BOARD

CONFERENCE FACULTY

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Director, Compliance, National Futures Association

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Director, Compliance, National Futures Association

Jennifer L. Tveitan-Rifman
Chief Compliance Officer, Gelber Group LLC

Andrew Vrabel
Executive Director, Global Head of Investigations, Market Regulation Department, CME Group

Jason Yonan
Assistant U.S. Attorney, U.S. Department of Justice
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Director, Compliance  
National Futures Association

Not Pictured: Ava M. Gould, Chief Trial Attorney, U.S. Commodities Futures Trading Commission
8:00am-8:55am
Registration

8:55am-9:00am
Registration

9:00am-10:15am
Current Regulatory Issues
Back by popular demand, this annual round-up of key regulatory issues at the NFA will touch on such hot topics as:
• Cyber Security
• Risk Management Programs and Risk Exposure Reports
• Security Deposits for Forex Transactions
• CPO and CTA Issues
• Recent Enforcement Actions
Jennifer Sunu, Director, Compliance, National Futures Association
Patricia L. Cushing, Director, Compliance, National Futures Association

10:15am-10:30am
Break

10:30am-12:00pm
Recent Trends in Enforcement
Speakers will focus on current trends and recent cases handled at the exchanges, CFTC, and DOJ levels.
Topics include:
• Manipulation
• Disruptive Trading and Spoofing
• Position Limits
• Supervision
Moderator/Panelist: Rosemary C. Hollinger, Deputy Director, Division of Enforcement, U.S. Commodity Futures Trading Commission
Panelists:
Jason V. Fusco, Assistant General Counsel, IntercontinentalExchange, Inc.
Steven Schweitzer, Director, Enforcement Counsel, CME Group
Jason Yonan, Assistant U.S. Attorney, U.S. Department of Justice

12:00pm-1:00pm
Lunch

1:00pm-2:00pm
Anatomy of a Trading Investigation
(eligible for 1.0 hour IL professionalism/ethics credit)
A discussion of the issues confronting the subject of a trading investigation:
• Cooperation
• Refusal to cooperate
• Privilege
• False statement
• Informal procedure
Moderator/Panelist: Marc Nagel, Consultant, Marc Nagel Consulting
Panelists:
Susan Gradman, Chief Trial Attorney, U.S. Commodity Futures Trading Commission

“The Chicago futures & derivatives community needs this kind of program!” – Previous Attendee
Jan Paul Miller, Partner, Thompson Coburn LLP  
Andrew Vrabel, Executive Director, Global Head of Investigations, Market Regulation Department, CME Group

2:00pm-2:15pm  
Break

2:15pm-3:15pm  
Hot Topics in FCM Compliance  
• CCO Reports: Complying with the Guidance  
• Staying on Top of Non-US Regulatory Requirements  
• Reporting Under 1.12 (m)  
• Position Transfers: What is Expected of FCMs?  
• Risk Management Programs and Quarterly Risk Reports

Moderator/Panelist: Patricia Donahue, Senior Vice President, Chief Compliance Officer, & Regulatory Counsel, Rosenthal Collins Group LLC

Panelists:  
Blake Brockway, Assistant General Counsel & Vice President, Bank of America  
William Gerlesits, Chief Compliance Officer, SG Americas Securities LLC  
Kevin Piccoli, Deputy Director, Examinations, Division of Swap and Intermediary Oversight, U.S. Commodity Futures Trading Commission  
Toni Rossetti, Vice President, ED&F Man Capital Markets Inc.

3:15pm-3:30pm  
Break

3:30pm-4:30pm  
Hot Topics for Proprietary Trading Firms  
• Maintaining an effective compliance culture in a changing regulatory landscape  
• Trade practice issues  
• ATS best practices  
• Use and limitations of monitoring and surveillance systems  
• Protection of trade secrets and other intellectual property  
• Challenges associated with responding to document and information requests

Moderator/Panelist: Lisa A. Dunsky, Counsel, Sidley Austin LLP

Panelists:  
Patricia L. Levy, General Counsel, DRW Trading Group  
Benjamin Morof, Chief Compliance Officer & Associate General Counsel, Teza Technologies LLC  
Jennifer L. Tveitan-Rifman, Chief Compliance Officer, Gelber Group LLC

4:30pm  
Networking Reception  
Join your colleagues for cocktails and conversation immediately following the conference

“I didn’t expect this conference to be so good. Outstanding!” – Previous Attendee
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.

For more information go to https://www.kentlaw.iit.edu/institutes-centers/institute-for-compliance.

LL.M. IN FINANCIAL SERVICES LAW

IIT 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.
### UPCOMING CONFERENCES

<table>
<thead>
<tr>
<th>Date</th>
<th>Event Description</th>
<th>Eligible for IL MCLE Credit</th>
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<tbody>
<tr>
<td>September 17, 2015</td>
<td>33rd annual Federal Sector Labor Relations &amp; Labor Law Conference</td>
<td>6.5 hours IL MCLE Credit</td>
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<tr>
<td>September 25, 2015</td>
<td>2015 Supreme Court Intellectual Property Review</td>
<td>IL MCLE credit to be determined</td>
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<tr>
<td>October 8-9, 2015</td>
<td>College of Law Practice Management Futures Conference (Members Only)</td>
<td>IL MCLE credit to be determined</td>
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<td>November 6, 2015</td>
<td>Exposed: Privacy, Security, and the Smart City</td>
<td>IL MCLE credit to be determined</td>
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<tr>
<td>November 13, 2015</td>
<td>Institute for Law and the Workplace Conference (Members Only)</td>
<td>IL MCLE credit to be determined</td>
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<tr>
<td>December 4, 2015</td>
<td>31st annual Illinois Public Sector Labor Law Conference</td>
<td>5.75 hours of IL MCLE Credit</td>
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<tr>
<td>March 22, 2016</td>
<td>38th annual Kenneth M. Piper Lecture</td>
<td>1.25 hours of IL MCLE Credit</td>
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<tr>
<td>April 14-15, 2016</td>
<td>33rd annual Section 1983 Civil Rights Litigation Conference</td>
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<tr>
<td>May 19-20, 2016</td>
<td>35th annual Federal Tax Institute</td>
<td>IL MCLE credit to be determined</td>
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### WHO SHOULD ATTEND?
- Attorneys
- Compliance Professionals
- Accountants in the Commodities Industry
- Fraud Examiners
- Regulatory Professionals

### WHY ATTEND?
This is a must-attend event for anyone interested in understanding the latest issues facing the futures & derivatives field.

During this conference you will:
- Learn from the most qualified leaders and practitioners
- Hear directly from key regulators & thought leaders
- Interact directly with the panel during Q&A
- Connect and learn from your peers

Register now to take advantage of the early bird discount!
## EVENT DETAILS

### CONTINUING EDUCATION CREDIT

<table>
<thead>
<tr>
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<th>IL MCLE Credit</th>
<th>PA MCLE Credit</th>
<th>IL Accounting CPE Credit</th>
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<tr>
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<td>5.75 hrs</td>
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### SPONSORSHIP OPPORTUNITIES

- **$10,000 Presenting Sponsor**
  - Your firm’s logo will be highlighted on all conference materials; signage at the conference; verbal acknowledgement during plenary session; an opportunity to introduce the session of your choice; a six foot exhibit table in reception area; opportunity to provide conference bags at sign-in (at sponsor’s expense); signature cocktail.

- **$7,500 Reception Sponsor**
  - Firm’s logo included on all conference materials; signage at the conference and reception; verbal acknowledgement during plenary session; an opportunity to introduce a session; opportunity to supply raffle item (at sponsor’s expense); signature cocktail.

- **$5,000 Luncheon Sponsor**
  - Firm’s logo included on all conference materials; signage at the conference and luncheon; verbal acknowledgement during plenary session; an opportunity to introduce a session; opportunity to provide branded napkins or other branded item (at sponsor’s expense); a six foot display table at luncheon.

- **$5,000 Continental Breakfast and Coffee Break Sponsor**
  - Firm’s logo included on all conference materials; signage at the conference and reception area; verbal acknowledgement during plenary session; an opportunity to introduce a session; opportunity to provide branded coffee cups (disposable) or mugs (reusable) (at sponsor’s expense); opportunity to provide branded water bottles (at sponsor’s expense).

- **$5,000 WiFi Sponsor**
  - Firm’s logo included on all conference materials; signage at the conference and registration; verbal acknowledgement at plenary session; opportunity to design branded cards announcing WiFi login information (at sponsors’ expense); WiFi login information with firm logo on signage in multiple locations throughout conference.

- **$3,000 Session Sponsor**
  - Firm’s logo included on all conference materials; signage at the conference; opportunity to introduce a session.

- **$1,500 Lanyard Sponsor**
  - Opportunity to provide branded lanyards for use by all attendees (at sponsor’s expense).

- **$1,500 Pen Sponsor**
  - Opportunity to provide branded pens for use by all attendees (at sponsor’s expense).

- **$1,500 Notepad Sponsor**
  - Opportunity to provide branded note pads for use by all attendees (at sponsor’s expense).

- **$1,500 General Sponsor**
  - Firm’s logo included on all conference materials; signage at the conference and reception.

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*Contact the Office of Continuing Legal & Professional Education for more information.*

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For more information or to confirm your participation as a sponsor, contact Kelly Calvanico, CLE Director, at 312.906.5091 or kcalvanico@kentlaw.iit.edu
REGISTRATION FORM

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

IL ARDC Number

Registration Code (Enter characters appearing on the mailing label. Please enter this ID even if the label is addressed to someone else. Thank you!)

PAYMENT INFORMATION

AMOUNT: $

PAYMENT TYPE:
☐ Payment by check
   (Make check payable to: IIT Chicago-Kent College of Law)
☐ Payment by credit card
   ☐ VISA  ☐ MasterCard  ☐ American Express  ☐ Discover

Name on Card

Card Number   Expiration Date   CSV Code

Signature

NOTE: Registration form must accompany payment information. If your agency is transferring funds electronically, please notify us as soon as possible.

CANCELLATIONS AND REFUNDS

A full tuition refund will be granted if received by September 18, 2015. Tuition, less a 25% cancellation fee will be granted if received between September 19 and October 9, 2015. No refunds will be granted if received after October 9, 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.

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