

OCT  
**15**  
2015

7th Annual  
**CONFERENCE ON FUTURES  
AND DERIVATIVES**



3

## EASY WAYS TO REGISTER

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565 W. Adams Street  
Chicago, IL 60661-3691

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# 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.

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## 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**

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This conference is presented with the generous support of



**THOMPSON  
COBURN** LLP

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### **William Gerlesits**

Chief Compliance Officer, SG Americas Securities LLC

### **Susan Gradman**

Chief Trial Attorney, U.S. Commodity Futures Trading Commission

### **Rosemary C. Hollinger**

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

### **Patricia L. Levy**

General Counsel, DRW Trading Group

### **Jan Paul Miller**

Partner, Thompson Coburn LLP

### **Benjamin Morof**

Chief Compliance Officer & Associate General Counsel, Teza Technologies LLC

### **Marc Nagel**

Consultant, Marc Nagel Consulting

### **Kevin Piccoli**

Deputy Director, Examinations, Division of Swap and Intermediary Oversight,  
U.S. Commodity Futures Trading Commission

### **Toni Rossetti**

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### **Jennifer Sunu**

Director, Compliance, National Futures Association

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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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## CONFERENCE ADVISORY BOARD



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Adjunct Professor, Financial  
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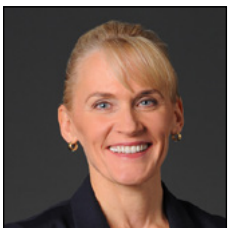
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**Jennifer Sunu**  
Director, Compliance  
National Futures Association

**Not Pictured: Ava M. Gould**, Chief Trial Attorney, U.S. Commodities Futures Trading Commission

# PROGRAM SCHEDULE OCTOBER 15, 2015

**8:00am-8:55am**

**Registration**

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**8:55am-9:00am**

**Registration**

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**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

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**10:15am-10:30am**

**Break**

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**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

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**12:00pm-1:00pm**

**Lunch**

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**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

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"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**

**INTERESTED IN  
 SPONSORING  
 A SESSION?**

Get in front of your audience first-hand when you confirm your support as a session sponsor.

Additional benefits included, see back panel for details.



“The panels were really strong and responsive to audience issues.”  
 – Previous Attendee

**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. Dunskey**, 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

# C-K SPOTLIGHT

## 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](mailto:intllm@kentlaw.iit.edu) for more information.





## UPCOMING CONFERENCES

<b>September 17, 2015</b>	<b>33rd annual Federal Sector Labor Relations &amp; Labor Law Conference</b> Eligible for 6.5 hours IL MCLE Credit
<b>September 25, 2015</b>	<b>2015 Supreme Court Intellectual Property Review</b> IL MCLE credit to be determined
<b>October 8-9, 2015</b>	<b>College of Law Practice Management Futures Conference (Members Only)</b> IL MCLE credit to be determined
<b>November 6, 2015</b>	<b>Exposed: Privacy, Security, and the Smart City</b> IL MCLE credit to be determined
<b>November 13, 2015</b>	<b>Institute for Law and the Workplace Conference (Members Only)</b> IL MCLE credit to be determined
<b>December 4, 2015</b>	<b>31st annual Illinois Public Sector Labor Law Conference</b> Eligible for 5.75 hours of IL MCLE Credit
<b>March 22, 2016</b>	<b>38th annual Kenneth M. Piper Lecture</b> Eligible for 1.25 hours of IL MCLE Credit
<b>April 14-15, 2016</b>	<b>33rd annual Section 1983 Civil Rights Litigation Conference</b> IL MCLE credit to be determined
<b>May 19-20, 2016</b>	<b>35th annual Federal Tax Institute</b> IL MCLE credit to be determined

### 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

<b>IL MCLE Credit</b>	5.75 hrs	1.0 hr ethics
<b>PA MCLE Credit</b>	6.75 hrs	1.0 hr ethics
<b>IL Accounting CPE Credit</b>	6.5 hrs	1.0 hr ethics

## NEW THIS YEAR

### This Conference May Also Be Eligible For:

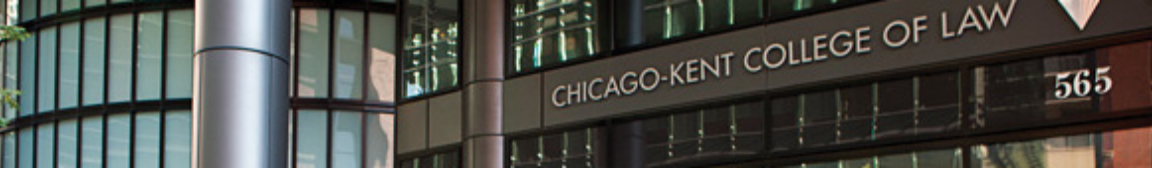
<b>CFE Credit*</b> (Certified Fraud Examiner)	<b>CSCP CEU Credit*</b> (Certified Securities Compliance Professional)	<b>CCB CEU Credit*</b> (Compliance Certification Board)
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\*Contact the Office of Continuing Legal & Professional Education for more information

## 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).
- \$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 at registration; verbal acknowledgement at plenary session; opportunity to design branded cards announcing WiFi login information (at sponsor's 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).
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Opportunity to provide branded pens for use by all attendees (at sponsor's expense).
- \$1,500 Notepad Sponsor**  
Opportunity to provide branded notepads 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.

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



## PRICING

<b>Early Bird</b> Received by 10/8/15 \$410	<b>After 10/8</b> \$450	<b>Government and C-K Alumni</b> \$340
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## 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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