EASY WAYS TO REGISTER

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cle.kentlaw.edu

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312.906.5090

MAIL
Office of CLE
Chicago-Kent College of Law
565 W. Adams Street
Chicago, IL 60661-3691
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.
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Partner Foley & Lardner LLP

Conor Weber
Assistant General Counsel & Vice President, Global Banking & Markets Bank of America
PROGRAM SCHEDULE NOVEMBER 1, 2018

8:00 am – 8:40 am
Registration

8:40 am – 8:45 am
Welcome & Announcements

8:45 am – 9:45 am
CFTC Update
• An Update on CFTC Developments in the Clearing Area, Including Cross-Border and Project KISS
• Updates on Recent Rule Changes
• Recent Cases and Trends in Enforcement
Moderator: Rosemary C. Hollinger, Deputy Director, Division of Enforcement, U.S. Commodity Futures Trading Commission
Brian Bussey, Director, Division of Clearing and Risk, U.S. Commodity Futures Trading Commission
James McDonald, Director, Division of Enforcement, U.S. Commodity Futures Trading Commission

9:45 am – 10:00 am
Break

10:00 am – 11:00 am
NFA Update
• Cybersecurity Notice and Implementation at Firms
• Virtual Currency Disclosures
• Anti-Money Laundering Requirements for FCMs and IBs
• Financial Ratios for CPOs and CTAs
• Recordkeeping Requirements for Enhanced Supervision
• Common Exam Deficiencies
• Recent Disciplinary Actions
Patricia L. Cushing, Director, Compliance, National Futures Association
Jennifer Sunu, Director, Compliance, National Futures Association

11:00 am – 11:15 am
Break

11:15 am – 12:15 pm
CME Update and Private Practice
• Current Trends
• Recent Enforcement Actions
Renato Mariotti, Partner, Thompson Coburn LLP
Aaron Smith, Senior Director, Investigations, CME Group
2:15 pm – 1:15 pm
LUNCH (on your own)

1:15 pm – 2:15 pm
Ethics: Gender Discrimination and Sexual Harassment
(Eligible for 1.0 hours of professionalism/ethics credit.)

This session will address the basics of gender discrimination and harassment. The panelists will discuss common misconceptions, the costs of discrimination and harassment, and how to cultivate a positive workplace culture and minimize risk.

Christina Hynes-Mesco, Of Counsel, The Prinz Law Firm PC
Kristen Prinz, Founder & Managing Partner, The Prinz Law Firm PC

2:15 pm – 2:30 pm
Break

2:30 pm – 3:30 pm
MICRO SESSIONS
Fast-paced, concise, innovative talks on poignant issues facing the field today

GDPR/MiFID
Patricia Donahue, Chief Compliance Officer & Regulatory Counsel, Rosenthal Collins Group LLC

Cyber Breach
Aaron Tantleff, Partner, Foley & Lardner LLP

Trading Surveillance
Tom Mallers, Assistant Director of Compliance, Rosenthal Collins Group LLC

3:30 pm – 3:45 pm
Break

3:45 pm – 4:45 pm
MICRO SESSIONS
Fast-paced, concise, innovative talks on poignant issues facing the field today

Liability for Third Parties
Conor Weber, Assistant General Counsel and Vice President, Global Banking & Markets, Bank of America

What’s Current in Cryptocurrency?
Jacob L. Kahn, Partner, Riley Safer Holmes & Cancila LLP

Trade Secrets and Trading Firms: What You Need to Know
Clifford Histed, Partner, K & L Gates

4:45 pm – 5:45 pm
Networking Reception

“I WILL COME BACK TO THIS CONFERENCE YEAR AFTER YEAR.”
– Previous Attendee

“I LOVE THIS CONFERENCE FOR IT’S PRACTICAL, USEFUL INFORMATION.”
– Previous Attendee
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.

UPCOMING CLE CONFERENCES

October 5, 2018  Biennial Midwest Arbitrators’ Symposium, in cooperation with the Federal Mediation & Conciliation Service
IL MCLE credit to be determined

October 19, 2018  Institute for Law and the Workplace Members’ Conference, by invitation only
IL MCLE credit to be determined

November 30, 2018  34th Annual Illinois Public Sector Labor Relations Law Conference
IL MCLE credit to be determined

January 24, 2019  4th Annual Dr. Martin Luther King Jr. Forum
IL MCLE credit to be determined

January 27, 2019  National Security Workshop
IL MCLE credit to be determined
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. This seven-month online certificate program in Financial Markets Compliance, 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

<table>
<thead>
<tr>
<th>WHO SHOULD ATTEND THIS CONFERENCE?</th>
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<tbody>
<tr>
<td>• Attorneys</td>
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<td>• Compliance Professionals</td>
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<td>• Regulatory Professionals</td>
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<td>• Accountants in the Commodities Industry</td>
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<td>• Fraud Examiners</td>
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<th>WHY ATTEND?</th>
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<tr>
<td>As an experienced practitioner you won’t want to miss this hands-on, immediately relevant, intermediate to masters’ level seminar. You will:</td>
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<tr>
<td>• Learn from the most qualified leaders and practitioners</td>
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<td>• Hear directly from key regulators &amp; thought leaders</td>
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<td>• Interact directly with panels during Q&amp;A</td>
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<td>• Connect and learn from your peers</td>
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“The Micro Sessions have been a terrific addition to the conference.” — 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 the 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

<table>
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<th>Hours</th>
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<td>1.0 hr ethics, pending approval</td>
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<tr>
<td>IL Accounting CPE Credit</td>
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<tr>
<td>PA MCLE Credit</td>
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This Conference May Also Be Eligible For:

- **CFE Credit** *(Certified Fraud Examiner)*
- **CSCP CEU Credit** *(Certified Securities Compliance Professional)*
- **CCB CEU Credit** *(Compliance Certification Board)*

*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 4, 2018. Tuition, less a 25% cancellation fee will be granted if received between October 4, 2018 and October 25, 2018. No refunds will be granted if received after October 25, 2018, 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
### PRICING

10th Annual Conference on Futures & Derivatives | November 1, 2018

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<tr>
<th>Check applicable box:</th>
<th>Submitted on or before 10/25/18 Downloadable Materials Only</th>
<th>Submitted on or before 10/25/18 Hard Copy Book &amp; Download Materials</th>
<th>Submitted after 10/25/18 Downloadable Materials Only</th>
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Name(s) [please print]  
Professional Title(s)

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10th Annual
CONFERENCE ON FUTURES
AND DERIVATIVES
Thursday, November 1, 2018

Earn up to 6 hrs IL MCLE credit
& 7 hrs IL CPE credit