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
11th Annual  
CONFERENCE ON FUTURES  
AND DERIVATIVES

We are experiencing a time of rapid technological change in the futures and derivatives industry. What are the hot topics? What are the changes you need to know about? And what’s on the horizon for the CFTC, the NFA, and the industry as a whole? Network with peers, learn from the regulators, and hear from industry experts—all while earning CLE, CPE, CCB, CFE, and CSCP credit.

CONFERENCE AT A GLANCE

8:00am–8:40am  
Registration

8:40am–8:45am  
Welcome

8:45am–9:45am  
CFTC Fireside Chat

9:45am–10:00am  
Break

10:00am–11:00am  
New Regulatory Requirements and Other Updates from NFA

11:00am–11:15am  
Break

11:15am–11:45am  
At the Intersection of Antitrust and Derivatives Law

11:45am–12:15pm  
Recent Trends in CFTC’s Enforcement of the Supervision Requirement

12:15pm–1:15pm  
Lunch (on your own)

1:15pm–2:15pm  
Ethics Issues in Investigations

2:15pm–2:30pm  
Break

2:30pm–3:30pm  
Enforcement Panel

3:30pm–3:45pm  
Break

3:45pm–4:15pm  
Cybersecurity

4:15pm–4:45pm  
Pushing the Envelope

4:45pm–5:45pm  
Networking Reception

This conference is presented with the generous support of Thomson Coburn LLP
FACULTY AND ADVISORY BOARD

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Consultant
Marc Nagel Consulting

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Trading Commission

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Adjunct Professor, Financial
Services Law, Chicago-Kent
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National Futures Association

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U.S. Commodity Futures Trading Commission

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Executive Director, Global Head of Investigations  
CME Group

Marc L. Mukasey  
Founding Partner  
Mukasey Frenchman & Sklaroff LLP

Scott R. Williamson  
Acting Deputy Director, Division of Enforcement  
U.S. Commodity Futures Trading Commission
<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
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</thead>
<tbody>
<tr>
<td>8:00am-8:40am</td>
<td>Registration</td>
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<tr>
<td>8:40am-8:45am</td>
<td>Welcome</td>
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<tr>
<td>8:45am-9:45am</td>
<td><strong>CFTC Fireside Chat</strong></td>
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<tr>
<td></td>
<td>In this question-and-answer session, Jamie McDonald, Director of the</td>
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<td>CFTC's Division of Enforcement, will discuss lessons learned and</td>
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<td>the Division's priorities and aspirations for the coming year.</td>
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<td></td>
<td><strong>James McDonald</strong>, Director, Division of Enforcement, U.S. Commodity</td>
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<td></td>
<td>Futures Trading Commission</td>
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<td><strong>Scott R. Williamson</strong>, Acting Deputy Director, Division of</td>
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<td>Enforcement, U.S. Commodity Futures Trading Commission</td>
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<tr>
<td>9:45am-10:00am</td>
<td>Break</td>
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<tr>
<td>10:00am-11:00am</td>
<td><strong>New Regulatory Requirements and Other Updates from NFA</strong></td>
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<td>NFA will discuss changes that it has made to its rules in the past</td>
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<td>year, including revisions to supervision and promotional material</td>
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<td>rules. The panelists will also outline some common mistakes that</td>
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<td>firms make when trying to comply with NFA’s rules, and some of the</td>
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<td>disciplinary actions recently taken.</td>
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<td><strong>Patricia L. Cushing</strong>, Director, Compliance, National Futures</td>
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<td>Association</td>
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<td><strong>Jennifer Sunu</strong>, Director, Compliance, National Futures Association</td>
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<td><strong>Recent Trends in CFTC’s Enforcement of the Supervision Requirement</strong></td>
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<tr>
<td></td>
<td>The supervision requirement for registrants is an important</td>
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<td>enforcement tool for the CFTC. Recent cases highlight the</td>
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<td>significance of establishing and implementing a supervisory</td>
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<td>structure and compliance program that goes beyond mere paper</td>
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<td>policies. This session will discuss notable developments in this</td>
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<td>arena, including practical takeaways from enforcement actions.</td>
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<td><strong>Allison Passman</strong>, Trial Attorney, U.S. Commodity Futures Trading</td>
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<td>Commission</td>
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</table>
12:15pm-1:15pm
Lunch (on your own)

1:15pm-2:15pm
Ethics Issues in Investigations
(eligible for 1.0 hr IL ethics/professionalism credit)
Andrew Vrabel, Executive Director/Global Head of Investigations, CME Group
Renato Mariotti, Partner, Thompson Coburn LLP

2:15pm-2:30pm
Break

2:30pm-3:30pm
Enforcement Panel
Mr. Kluchenek and Mr. Schweitzer will discuss, in a point/counterpoint fashion, various

3:30pm-3:45pm
Break

3:45pm-4:15pm
Cybersecurity
William Ridgway, Partner, Skadden Arps Slate Meagher & Flom LLP

4:15pm-4:45pm
Pushing the Envelope
Lessons from the Courtroom - Aggressive Trial Tactics in Criminal Defense.
Marc L. Mukasey, Founding Partner, Mukasey Frenchman & Sklaroff LLP

4:45pm-5:45pm
Networking Reception

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

“Thoroughly enjoyed dynamic speakers challenge each other.”
– Previous Attendee

CME Group disciplinary and investigatory considerations, including the followin topics:
• Advantages / Disadvantages of Global Settlements
• Role and Impact of Cooperation, including Self-Reports
• Parallel Investigations Involving CME Group and the CFTC
• Use of Prior Cases in Negotiating Sanction Determinations
• Pros and Cons of Taking Cases to Hearings
• Negotiating Notices of Disciplinary Action
Matthew F. Kluchenek, Partner, Mayer Brown LLP
Steven Schweitzer, Senior Director and Regional Head of Enforcement, CME Group Inc.
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

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
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<tbody>
<tr>
<td>September 19, 2019</td>
<td>37th Federal Sector Labor Relations and Labor Law Conference</td>
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<tr>
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<td>Eligible for 8.25 hrs of IL MCLE credit</td>
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<tr>
<td>October 18, 2019</td>
<td>Institute for Law and the Workplace Members’ Conference, by invitation only</td>
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<td>IL MCLE credit to be determined</td>
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<tr>
<td>October 24, 2019</td>
<td>Block(Legal)Tech Conference</td>
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<td>IL MCLE credit to be determined</td>
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<tr>
<td>October 29, 2019</td>
<td>The Morris Lecture in International and Comparative Law (free!)</td>
</tr>
<tr>
<td></td>
<td>Eligible for 1.0 hour IL MCLE credit</td>
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<tr>
<td>November 15, 2019</td>
<td>35th Annual Illinois Public Sector Labor Relations Law Conference</td>
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<td>IL MCLE credit to be determined</td>
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<tr>
<td>December 6, 2019</td>
<td>Institute for Law and the Workplace Employment Law Conference</td>
</tr>
<tr>
<td></td>
<td>IL MCLE credit to be determined</td>
</tr>
<tr>
<td>January 23, 2020</td>
<td>5th Annual Dr. Martin Luther King Jr. Forum</td>
</tr>
<tr>
<td></td>
<td>IL MCLE credit to be determined</td>
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</tbody>
</table>
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?

Practitioners in this area will not want to miss this hands-on, immediately relevant seminar for all levels of experience.

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

<table>
<thead>
<tr>
<th>IL MCLE Credit</th>
<th>6.0 hrs</th>
<th>1.0 hr ethics</th>
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<tbody>
<tr>
<td>IL Accounting CPE Credit</td>
<td>7.0 hrs</td>
<td>1.0 hr ethics</td>
</tr>
<tr>
<td>PA MCLE Credit</td>
<td>6.0 hrs</td>
<td>1.0 hr ethics</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 September 19, 2019. Tuition, less a 25% cancellation fee will be granted if received between September 20, 2019 and October 10, 2019. No refunds will be granted if received after October 10, 2019, 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

PAYMENT TYPE:
☐ Payment by check
☐ 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.

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11th Annual
CONFERENCE ON FUTURES
AND DERIVATIVES
Thursday, October 17, 2019

Earn up to 6.0 hrs IL MCLE credit
& 7.0 hrs IL CPE credit