

Thursday, November 14, 2019  
8:30 a.m. – 1:30 p.m.

## K&L GATES CHICAGO INVESTMENT MANAGEMENT CONFERENCE

8:30 am – 9:00 am

### Registration

9:00 am – 9:10 am

### Welcome and Introduction

*Clifford Histed, K&L Gates*

9:10 am – 9:30 am

### Keynote Speech and Q&A

*Joshua Sterling, Director, CFTC Division of Swap Dealer and Intermediary Oversight*

### Regulatory Developments: Capital Markets and Derivatives

*Speakers: Stephen Humenik, K&L Gates – Moderator*

*Daniel S. Konar II, Associate General Counsel of the Options Clearing Corporation*

9:30 am – 10:15 am

*Bella Rozenberg, Senior Counsel/Head of Regulatory and Legal Practice Group ISDA*

*Jason Silverstein, Managing Director & Associate General Counsel, SIFMA AMG*

*Derek Steingarten, K&L Gates*

This session will include:

- CFTC Regulatory Developments
  - CPOs, FCMs and Swap Dealer Rules
  - Cross-Border Developments
- Registered Fund Developments

### Compliance and Inspections

*Speakers: Stephen Humenik, K&L Gates – Moderator*

10:15 am – 11:00 am

*Stephen Montgomery, Managing Director, FCM and Swap Dealer Compliance, Wells Fargo*

*Derek Steingarten, K&L Gates*

*Regina Thoele, Senior Vice President, Compliance, NFA*

This session will include:

- CFTC Registrants and Non-Registrants
  - Thematic Reviews of CPOs and Swap Dealers
  - Knock-on Effects of Exchange and SEF Inspections
- SEC Staff Examinations

11:00 am – 11:15 am

### Break

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**Enforcement and Litigation Developments**

*Speakers: Clifford Histed, K&L Gates – Moderator*

*Ashley Burden, Trial Attorney, CFTC*

*Andrew Vrabel, Global Head of Investigations, CME*

*Paul Walsen, K&L Gates*

*Jason Yonan, Chief, Securities and Commodities Fraud Section, U.S. Attorney's Office*

11:15 am – 12:15 pm

This session will include:

- CFTC/CME/DOJ Enforcement Update
  - Spoofing and Anti-fraud Enforcement
  - Enforcement Agency Coordination and Decision-Making
  - Failure to Supervise and Compliance Issues
- Litigation Developments and Trends

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**Closing Remarks**

*Stephen Humenik, K&L Gates*

12:15 pm – 12:20 pm

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**Networking Lunch**

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12:20 pm – 1:30 pm