

Events

THREE BCLP ATTORNEYS TO BE FEATURED AT UPCOMING FUTURES INDUSTRY ASSOCIATION CONFERENCE

Apr 24-26, 2024

Partners Renato Mariotti and Katherine Cooper, and associate Holly Campbell, will be presenting as panelists at the upcoming Futures Industry Association's Law & Compliance Conference in Washington, DC. The FIA Law & Compliance Division Conference takes place April 24-26, and will have sessions that examine all the pressing industry legal and regulatory developments, reviews the latest enforcement cases and offers practical compliance tips and strategies for all market participants.

Renato Mariotti will be speaking on a panel on Thursday, April 25, entitled "Enforcement Case Studies: MNPI, Trading Pitfalls, Disclosures," in which he and his fellow panelists break down real-life cases for their practical impact to firms. The panel will translate market conduct cases into do's and don'ts for traders and examine whether firms effectively have additional obligations to protect material non-public information and deliver disclosures to customers in the wake of recent regulatory initiatives.

Also on Thursday, April 25, Holly Campbell will be a panelist on an "Off-Channel Communications" panel, where she and her fellow panelists will discuss how, as the CFTC and SEC continue to issue record fines against firms for recordkeeping violations tied to the use of off-channel apps and devices, the profile of sanctioned market participants has shifted from large firms to smaller market participants, and offer her views on whether this trend will continue and what firms can do to avoid being the next headline.

Lastly, Katherine Cooper will be speaking on a panel on Friday, April 26 entitled the "Effect of the Administrative State on Financial Regulation." The panel will discuss whether deference to federal agencies is dead in light of the Supreme Court's articulation of the major questions doctrine and is set to revisit Chevron deference. They will also analyze recent decisions adverse to both the CFTC and SEC in high-profile cases in lower federal courts that call into question agency discretion in issuing staff advisories and relief as well as attacks on FINRA's authority. The panel will assess the impact of these court decisions on the SEC, CFTC and broader federal financial regulation, in both the short- and long-term.

RELATED PRACTICE AREAS

- Commodities, Futures & Derivatives

MEET THE TEAM



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