

The image features a dark background with a grid pattern, overlaid with a blurred candlestick chart. The chart uses red and green bars to represent price movements, with several moving average lines in blue, cyan, and green. A vertical orange bar is positioned on the left side of the page.

MAYER | BROWN

Annual Chicago Conference on Futures and Derivatives

CHICAGO

Agenda

1:30 p.m. – 2:00 p.m.	Registration / Informal Networking
2:00 p.m. – 2:30 p.m.	Fireside Chat with CFTC Chairman Rostin Behnam, <i>Chairman</i> , Commodity Futures Trading Commission Jake Kahn, <i>Partner</i> , Riley Safer Holmes & Cancila LLP
2:30 p.m. – 3:30 p.m.	Regulatory Panel Jennifer Sunu, <i>Director of Compliance</i> , National Futures Association Jack Theis, <i>Partner</i> , Riley Safer Holmes & Cancila LLP Andrew Vrabel, <i>Managing Director and Chief Regulatory Officer</i> , CME Group, Inc.
3:30 p.m. – 4:30 p.m.	Enforcement Panel Robert Howell, <i>Deputy Director, Division of Enforcement</i> , Commodity Futures Trading Commission Matt Kluchenek, <i>Partner</i> , Mayer Brown LLP Steve Schweitzer, <i>Executive Director & Global Head of Enforcement</i> , CME Group, Inc.
4:30 p.m. – 5:30 p.m.	Reception



Speaker Bios (by Panel)



ROSTIN BEHNAM

Chairman, Commodity Futures Trading Commission

Rostin Behnam was sworn in as the CFTC's 15th Chairman on January 4, 2022 after being unanimously confirmed by the U.S. Senate. President Biden nominated Chairman Behnam to lead the agency.

Previously, Chairman Behnam served as CFTC Commissioner since September 2017. The members of the Commission elected Commissioner Behnam as Acting Chairman effective January 21, 2021.

Since joining the CFTC, Chairman Behnam has individually and as sponsor of the CFTC's Market Risk Advisory Committee (MRAC) advocated for the CFTC to use its authority and expertise to ensure the derivatives markets operate transparently and fairly for participants and customers, and innovate responsibly to address evolving market structures and products and the emergence and movement of risk across clearinghouses, exchanges, intermediaries, market makers and end-users within an appropriate oversight framework.



JAKE KAHN

Partner, Riley Safer Holmes & Cancila LLP

A strategic litigator with extensive class action experience and a nuanced understanding of the financial markets, Jake Kahn represents clients at trial, on appeal, and in investigations and enforcement proceedings brought by the Securities and Exchange Commission (SEC), the Commodity Futures Trading Commission (CFTC), and other regulators (including exchanges).



JENNIFER SUNU

Director of Compliance, National Futures Association

Jennifer Sunu is Director of Compliance at NFA, where she has worked for over 25 years. Ms. Sunu's responsibilities include supervising the Compliance Department in its completion of its core functions, including examinations, investigations, and financial surveillance; overseeing the development of enforcement cases; responding to Member inquiries; and informing Members of NFA's initiatives through Member meetings and industry conferences. Ms. Sunu has a Bachelor's degree in Accounting from the University of Illinois at Chicago and is a Certified Fraud Examiner.

NFA is the self-regulatory organization for the U.S. derivatives industry, including on-exchange traded futures, retail off-exchange foreign currency (forex) and OTC derivatives (swaps). NFA has developed and enforced rules, provided programs and offered services that safeguard market integrity, protect investors and help our Members meet their regulatory responsibilities and has done so for more than 35 years.



JACK THEIS

Partner, Riley Safer Holmes & Cancila LLP

A former Department of Justice trial lawyer and Associate White House Counsel, Jack Theis brings a wealth of public and private sector experience to companies and industry leaders facing complex challenges. He counsels clients on government and internal investigations, complex commercial litigation, and multidimensional crises involving legal and reputational risks. Jack is the Co-Chair of the firm's White Collar Defense, Investigations & Compliance practice team.



ANDREW VRABEL

Managing Director and Chief Regulatory Officer, CME Group, Inc.

Andrew Vrabel is a Managing Director and the Chief Regulatory Officer of CME Group. In that role, Andrew leads a 150-person team of analysts, investigators, data scientists, attorneys, and rule experts. They are responsible for conducting market surveillance to prevent and detect manipulations, investigating trade practice abuses, delivering technical regulatory solutions, building advanced analytical frameworks, bringing enforcement actions, and providing global regulatory outreach and rules guidance.

Prior to his current role, Andrew was the Global Head of Investigations in CME Group's Market Regulation Department, an associate general counsel in the Legal Department, and he previously served as the aide to CME Group's chief executive officer and later its chief operating officer. Before joining CME Group, Andrew was a criminal prosecutor in Chicago, Illinois, and prior to law school, Andrew was a commodity merchant at a global agribusiness firm.



ROBERT HOWELL

Deputy Director, Division of Enforcement, Commodity Futures Trading Commission

Robert Howell is a Deputy Director for the CFTC's Division of Enforcement and oversees all enforcement activity conducted from the Chicago office. Prior to being appointed Deputy Director, he served as a chief trial attorney where he represented the Division in many enforcement actions, including matters stemming from allegations of manipulation, fraud, and trade practice misconduct. Prior to joining the CFTC, Mr. Howell was a litigator at the law firms of Mayer Brown LLP and Wilmer Cutler Pickering Hale and Dorr LLP.



MATT KLUCHENEK

Partner, Mayer Brown LLP

Matt Kluchenek is a partner in Mayer Brown's Litigation & Dispute Resolution practice, Co-Head of the firm's Financial Markets Regulatory & Enforcement practice, and a member of the Derivatives and Fintech practices. He has a broad-based financial services practice in which he counsels financial institutions, asset managers, trading advisors, trading firms, fintech companies, multinational corporations, brokers, exchanges and financial service technology providers with respect to regulatory, transactional and enforcement matters involving derivatives, securities and cryptocurrencies.

Enforcement/Investigations. Matt represents firms and individuals subject to investigations and enforcement actions by the government and self-regulatory organizations with respect to matters involving disruptive trading practices, wash trades, manipulation, unauthorized trading, block trades, non-competitive trading, supervisory failures and fraud, among others. He has represented hundreds of clients in such investigations, many of which have been resolved without adverse action. He also works with clients to create training programs and conducts on-site training sessions to assist clients in reducing the risk of enforcement actions. Matt has handled over 200 of these such matters.

Regulation. Matt assists clients in the US, Europe and Asia in navigating their obligations under the Commodity Exchange Act, as amended by the Dodd-Frank Act, and the federal securities laws; formulating compliance programs and working with clients to implement those programs; and representing clients in discussions with the CFTC, SEC and self-regulatory organizations with respect to novel issues.

Transactions. Matt assists clients in (i) structuring and forming new business entities and addressing related ownership, governance, intellectual property, employment and securities disclosure issues; (ii) negotiating and documenting strategic acquisitions, joint ventures, licensing arrangements, ISDA agreements, trading agreements and employment agreements; and (iii) structuring and forming private investment funds, including master-feeder fund structures.

Fintech. Matt represents clients in a growing array of fintech matters, with an emphasis on cryptocurrency regulation.



STEVE SCHWEITZER

Executive Director & Global Head of Enforcement, CME Group, Inc.

Steve Schweitzer leads the Enforcement unit for CME Group's Market Regulation Department as its Executive Director. He is responsible for overseeing the Department's enforcement efforts, managing Enforcement Counsels, and prosecuting market participants in disciplinary actions before CME Group exchanges' disciplinary committees. Steve joined CME Group in 2010 in the position of Enforcement Counsel, and most recently served as Director and Senior Director before assuming his current role.

Beginning his career with nearly a decade of public service, Steve previously worked as Deputy General Counsel in the State of Illinois' Department of Central Management Services, and served as an Assistant State's Attorney in the Cook County State's Attorney's Office from 2001 to 2009 in the civil and criminal divisions.

Mayer Brown is a distinctively global law firm, uniquely positioned to advise the world's leading companies and financial institutions on their most complex deals and disputes. With extensive reach across four continents, we are the only integrated law firm in the world with approximately 200 lawyers in each of the world's three largest financial centers—New York, London and Hong Kong—the backbone of the global economy. We have deep experience in high-stakes litigation and complex transactions across industry sectors, including our signature strength, the global financial services industry. Our diverse teams of lawyers are recognized by our clients as strategic partners with deep commercial instincts and a commitment to creatively anticipating their needs and delivering excellence in everything we do. Our "one-firm" culture—seamless and integrated across all practices and regions—ensures that our clients receive the best of our knowledge and experience.

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