

James M. Brady

Partner

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Practices

FOCUS: Financial Markets and Funds
Broker-Dealer Regulation
Cryptoassets and Blockchain Technology
Futures and Derivatives
Private Equity and Real Estate Fund
Formation
Proprietary Trading Firms

Industries

Finance and Financial Markets

Education

JD, University of Michigan Law School
AB, Oberlin College, Economics

Bar Admissions

Illinois

James Brady helps clients deal with a wide range of financial services regulatory matters. He also offers counsel on developing laws and regulations related to cryptocurrencies and digital tokens.

Selling or buying, compliance is the best policy

James works with buy-side and sell-side clients, trading facilities and clearinghouses. He deals with securities and derivatives regulatory obligations, registrations and related corporate and transactional issues. He also helps clients with examinations, enforcement actions and cross-border management.

During law school, James was an editor of the *Michigan Journal of International Law*. He also served as a judicial intern to the Honorable Stephen J. Markman of the Michigan Supreme Court.

News

- Katten Names New Partners (July 26, 2022)
- First Independent and Cloud-Native Swap Data Repository — KOR SDR — Obtains CFTC Registration With Assistance of Katten (April 11, 2022)
- Coronavirus (COVID-19) Resource Center (November 10, 2021)
- Katten Represents LedgerX, First Federally Approved Exchange and Clearing Housing for Digital Currency Derivatives (July 24, 2017)

Publications

- SEC Significantly Broadens "Dealer" Definition (February 23, 2024)

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- *UK Financial Insights from Katten* | Issue 8 (February 2024)
- Financial Markets and Funds *Quick Take* | Issue 23 (February 2024)
- SEC Adopts Security-Based Swap Execution Facility Rules Similar to CFTC's | *The Journal on the Law of Investment & Risk Management, Futures & Derivatives Law Report* (December 2023)
- Foreign Listed Stock Index Futures and Options Approvals December 2023 (December 19, 2023)
- Copy and Paste: The SEC Adopts Security-Based Swap Execution Facility Rules that Closely Resemble Existing CFTC Swap Execution Facility Rules (November 14, 2023)
- Privacy, Data and Cybersecurity *Quick Clicks* | Issue 10 (October 2023)
- SEC Complaint Signals Aggressive Approach to Information Barriers Enforcement (September 29, 2023)
- Financial Markets and Funds *Quick Take* | Issue 18 (September 2023)
- FINRA Settles First Significant CAT Reporting Enforcement Action (September 7, 2023)
- FINRA Gains Greater Jurisdiction and Members: Amendments to SEC Rule 15b9-1 Will Require Most Proprietary Trading Broker-Dealers to Join FINRA (September 6, 2023)
- Recent DC Circuit Court of Appeals Case Brings FINRA to the Forefront of the SRO State Actor Controversy (July 17, 2023)
- *ESG Guidepost* | Issue 2 (May 2023)
- Privacy, Data and Cybersecurity *Quick Clicks* | Issue 3 (March 21, 2023)
- Financial Markets and Funds *Quick Take* | Issue 12 (March 17, 2023)
- SEC 2023 Examination Priorities (February 27, 2023)
- Foreign Listed Stock Index Futures and Options Approvals November 2022 (November 1, 2022)
- Financial Markets and Funds *Quick Take* | Issue 6 (September 15, 2022)
- Broker-Dealer Proprietary Trading Groups: FINRA May Be In Your Future (August 15, 2022)

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- SEC Deals New Proposal to Expand Reach of Dealer Registration Requirements (April 5, 2022)
- Commentary – The Morphing US Treatment of the Kospi 200 Futures (March 8, 2022)
- Foreign Listed Stock Index Futures and Options Approval Chart March 2021 (March 25, 2021)
- The CFTC Adopts Comprehensive Amendments to Its Bankruptcy Rules (February 2, 2021)
- CFTC Adopts New Rules on Position Limits for Derivatives (November 16, 2020)
- Financial Markets Regulation COVID-19 Resource Center (October 22, 2020)
- CFTC Adopts New Position Limits Requirements (October 16, 2020)
- Time for a Change: The CFTC Adopts Extensive Amendments to Swap Reporting Regulations to Improve Data Quality (October 14, 2020)
- A Call to Internalize Greenhouse Gas Cost Externalities: CFTC Subcommittee Publishes First-of-Its-Kind Report Regarding Climate Change's Impact on Financial Markets (September 17, 2020)
- Foreign Listed Stock Index Futures and Options Approval Chart April 2020 (April 28, 2020)
- Business Not as Usual – COVID 19: US Securities and Derivatives Industry Regulators Provide Relief and Guidance (March 19, 2020)
- Have We Finally Reached Our Limits? CFTC Proposes New Position Limits Rules in Effort to End Decade-Long Saga (February 14, 2020)
- Foreign Listed Stock Index Futures and Options Approval Chart October 2019 (October 29, 2019)
- Foreign Listed Stock Index Futures and Options Approval Chart September 2019 (September 11, 2019)
- *Corporate & Financial Weekly Digest* (Weekly) | Author

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Presentations and Events

- SEC Dealer Rule Roundtable | Presented by RSM (May 9, 2024) | *Panelist*
- Crypto With Katten: Is a Modern-Day Prometheus Lighting a Fire Among Traditional Derivatives Industry Participants? The Potential Implications of Labeling ETH as a Security (February 22, 2024)
- Katten's First Impressions on the SEC's Amendments to The "Dealer" Definition (February 13, 2024)
- Expect More FINRA in 2024 – Proprietary Trading Firms Becoming FINRA Members and Other Broker-Dealer Regulatory Developments (February 8, 2024) | *Speaker*
- Katten's Annual Financial Markets and Regulation Crystal Ball — A Look Back at 2023 and a Look Forward to 2024 (February 1, 2024)
- MFA Insights (January 9, 2024) | *Panelist* | *Are Bitcoin ETF Application Approvals Coming?*
- FIA Expo 2022 (November 14–15, 2022)
- Futures & Derivatives Law Seminar 2022: ESG, Black Swans, and Enforcement Trends (June 15, 2022) | *Speaker* | *What Does ESG Mean for Derivatives Markets?*
- New Developments and Issues in Swap Data Reporting — Crypto Derivatives, CFTC Rule Amendments, SEC Data Reporting and More (May 19, 2022)
- Katten's Annual Financial Markets Regulation Crystal Ball — A Look Back at 2021 and a Look Forward to 2022 (March 8, 2022) | *Panelist*
- Katten's Annual Financial Markets Regulation Crystal Ball — A Look Back at 2020 and a Look Forward to 2021 (February 24, 2021) | *Panelist*
- Positioning for the CFTC's New Position Limits Rules (November 17, 2020) | *Speaker*

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- A Brave New World: Effective Supervision and Compliance by CFTC and SEC Registrants in the New Business as Usual Environment (June 18, 2020) | *Panelist* | *Lessons Learned and the Status of Regulatory Relief*
- Have We Finally Reached Our Limits? CFTC Proposes New Position Limits Rules in Effort to End Decade-Long Saga (February 14, 2020) | *Speaker*
- The Evolution of the Application of Law to Blockchain Technology and Cryptoassets: Where Have We Come From and Where Are We Going? (June 26, 2019) | *Panelist*