



## Arthur W. Hahn

Of Counsel

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### Practices

FOCUS: Financial Services

Futures and Derivatives

Broker-Dealer Regulation

Financial Services Regulatory and Compliance

Financial Services Litigation

Litigation

Private Funds and Investment Management

Proprietary Trading Firms

Mergers and Acquisitions

International

### Industries

Finance and Financial Services

Private Client Services

### Recognition

*Chambers USA*, 2017–2019

*Legal 500*, 2016, 2018–2019

Arthur W. Hahn is global co-chair of Katten's Financial Services practice and a member of the firm's Board of Directors. He represents major international banks and brokerage firms, international equity and commodity exchanges, and clearinghouses and technology companies in connection with their regulatory, business and litigation needs.

An experienced counselor to financial institutions, Arthur represents his clients' interests whether he is interfacing with exchanges, supervising regulatory compliance, advising on principal trading and sales practices issues, or overseeing litigation and enforcement matters. He provides valued guidance on business structuring and strategy, trading rules, technology initiatives, cross-border Securities and Exchange Commission (SEC) and Commodity Futures Trading Commission (CFTC) licenses, and international insolvency issues. In addition, Arthur counsels companies regarding capital formation and mergers and acquisitions.

His clients include the LCH.Clearnet Group, Bank of New York Mellon Corporation, The Mexican Derivatives Exchange (MexDer), Barclays and CalPERS. Arthur also provides experienced counsel on legal issues involving high-frequency trading. He is regularly involved in enforcement matters and securities litigation and is a certified mediator, focusing on resolving financial instruments and markets disputes. He is a sought-after lecturer and author on subjects relating to all facets of financial services.

As a member of the Board of Directors of the Futures Industry Association, Arthur is involved in rulemaking and policy discussions involving industry leaders, regulators and legislators.

### Memberships

- American Arbitration Association
- Futures Industry Association, Board of Directors
- Institute for Financial Markets, Executive Committee and Board of Directors
- Legal Club of Chicago
- Oxford Press Capital Markets Law Journal, Editorial Board
- Panel of Recognised International Market Experts in Finance (P.R.I.M.E.)
- Ravinia Festival, Board of Trustees



*Chambers Global*,  
Capital Markets:  
Derivatives – USA,  
2018–2019

Super Lawyers, Illinois,  
2005–2011, 2013–  
2019

*Best Lawyers in*  
*America*, 2009–2019

Leading Lawyers  
Network, Top 250  
Leading Business  
Lawyers in Illinois,  
2014

### **Education**

JD, Northwestern  
University School of  
Law

BA, Miami University

The London School of  
Economics and  
Political Science

### **Bar Admissions**

Illinois

- The Chicago Council on Global Affairs
- The Economic Club
- National Futures Association, Board of Directors

### **Advisories**

- CFTC Finalizes Aggregation Rules and Re-Proposes Position Limits Rule (December 19, 2016)
- CFTC Proposes Revised Position Limit Rules (November 12, 2013)
- CFTC Proposes Revised Aggregation Rules (November 7, 2013)
- CFTC Approves Final Rule Requiring Recording of Oral Communications (December 20, 2012)
- SEC Proposes Rule Amendments to Permit General Solicitation in Rule 506 and 144A Offerings, Including Offerings by Hedge Funds and Other Private Funds (September 17, 2012)
- CFTC and SEC Adopt Final Rules Further Defining "Swap Dealer," "Major Swap Participant" and "Eligible Contract Participant" (May 10, 2012)
- CFTC Adopts Significant Changes to CPO and CTA Registration and Compliance Requirements (February 14, 2012)
- MiFID II—How It Affects Proprietary Traders and Algorithmic Traders (October 31, 2011)
- Guidelines from European Regulator Focus on High Frequency and Algorithmic Trading Obligations (August 18, 2011)
- Wall Street Transparency and Accountability Act of 2010 Introduces Extended Period of Regulatory Uncertainty (August 4, 2010)
- Financial Services Regulatory Reform Legislation Moves Forward (May 27, 2010)
- Treasury Proposes Legislation Overhauling Regulation of Over-the-Counter Derivatives (August 13, 2009)
- CFTC Staff Issues Advisory Regarding Recordkeeping Requirements (February 10, 2009)
- SEC Approves Credit Default Swap Exemptions (January 16, 2009)
- Katten Forms Madoff Securities Task Force (December 17, 2008)

### **Speaking Engagements & Presentations**

- Moderator | How to Build a Regulatory Sandbox | Fintech Week | Washington, DC (November 5–8, 2018)
- Panel Moderator | Katten's Summer 2014 Review: Financial Services Regulatory and Legal Development Highlights | New York, New York (September 10, 2014)



- Presenter | Pitfalls in a Shifting Landscape: Trade Practice Issues for Futures and Securities | Chicago, Illinois (December 3, 2013)
- Panelist | Pitfalls in a Shifting Landscape: Trade Practice Issues for Futures and Swaps | New York, New York (October 23, 2013)
- Panelist | Derivatives Market Structure in 2018; How Might Analogous Historical Precedents Help Predict Evolution? | ABA Business Law Section Derivatives and Futures Law Committee Winter Meeting | Naples, Florida (January 24–26, 2013)
- Panelist | The Changing World of Cross-Border Derivatives: Dodd-Frank, EMIR and What They Mean for You | London, United Kingdom (October 6, 2011)
- Speaker | Proprietary Trading on European Markets | Chicago, Illinois (April 14, 2010)
- Speaker | Financial Regulatory Reform: Current Developments | Chicago, Illinois (December 3, 2009)
- Presenter | Current Status Report on the Redesign of the Architecture of Financial Regulation | New York, New York (October 27, 2009)
- Panelist | Crisis Management for Hedge Funds and Managers: Planning for Survival or Reincarnation | New York, New York (February 25, 2009)