

## **Jeffrey Plotkin, Partner, Finn Dixon & Herling LLP at the Knowledge Group's Event**

**Aug. 13, 2015 - [PRLog](#)** -- The Knowledge Group/The Knowledge Congress Live Webcast Series, the leading producer of regulatory focused webcasts, has announced today that **Jeffrey Plotkin, Partner, Finn Dixon & Herling LLP** will speak at the Knowledge Group's webcast entitled: **"FINRA's Administration Guidance for Securities Traders Using Algorithmic Trading Strategies: A Perspective in 2016 LIVE Webcast."** This event is scheduled for **October 27, 2015 @ 10:00 AM to 12:00 PM ET.**

**For further details, please visit:**

[https://theknowledgegroup.org/event\\_name/finras-administration-guidance-for-securities-traders-using-algorithmic-trading-strategies-a-perspective-in-2016-live-webcast/](https://theknowledgegroup.org/event_name/finras-administration-guidance-for-securities-traders-using-algorithmic-trading-strategies-a-perspective-in-2016-live-webcast/)  
([https://theknowledgegroup.org/event\\_name/finras-administration-guidance-for-securities-traders-using-algorithmic-trading-strategies-a-perspective-in-2016-live-webcast/](https://theknowledgegroup.org/event_name/finras-administration-guidance-for-securities-traders-using-algorithmic-trading-strategies-a-perspective-in-2016-live-webcast/))

### **About Jeffrey Plotkin**

Jeffrey Plotkin is a partner of Finn Dixon & Herling LLP in Stamford, Connecticut. He started his career in the SEC's Division of Enforcement, New York Regional Office, where he served as Staff Attorney; Chief of the Branch of Broker-Dealer Enforcement; and Assistant Regional Administrator. While at the SEC, Mr. Plotkin investigated the role that algorithmic trading programs and program trading may have played in the "Black Monday" October 19, 1987 stock market crash.

Mr. Plotkin has been in private practice for the past 25 years, focusing on securities enforcement, securities compliance, internal corporate investigations, complex private securities litigation and arbitration, and white collar criminal defense. He regularly represents broker-dealers in SEC, FINRA, stock exchange, and options exchange investigations concerning algorithmic trading, including High Frequency Trading, with a focus on quote stuffing, spoofing, layering, wash trades, excessive cancelations, matched trades, marking the close, SEC Market Access Rule compliance, and electronic market maker quoting and pricing obligations.

Mr. Plotkin served two consecutive years as the Independent Third Party Auditor for a NYSE specialist firm pursuant to former NYSE Rule 104(h), by conducting reviews of all specialist algorithms and systems to ensure they operated in accordance with SEC and NYSE rules.

Mr. Plotkin has been an adjunct professor for New York Law School's LLM Program in Financial Services Law, and a guest lecturer at the Columbia University Graduate School of Business. He has been Co-Chair of the Securities Subcommittee of the White Collar Criminal Litigation Committee, Commercial and Federal Litigation Section, New York State Bar Association. Mr. Plotkin is the author or co-author of numerous articles concerning securities law, and the author of numerous White Papers published on behalf of technology vendors concerning securities compliance.

### **About Finn Dixon & Herling LLP**

Finn Dixon & Herling LLP is a corporate law firm in Stamford, Connecticut with approximately fifty attorneys. The firm focuses on private equity and M&A transactions, investment adviser and broker-dealer regulation, government and internal investigations, and complex commercial litigation. For eleven consecutive years, the firm has been ranked in Chambers and Partners' top tier for Corporate/M&A law firms in Connecticut. Finn Dixon & Herling LLP is the only law firm currently designated by Chambers to

its top tier, “Band 1”, for Corporate/M&A law firms in Connecticut.

**Event Synopsis:**

Today, Algorithmic Trading Strategies account for a substantial portion of market analysis on US securities markets. The potential for such methods to affect the market are substantial. As a result, in March 2015, the Securities and Exchange Commission (SEC) proposed an amendment to Rule 15b9-1 under the Securities Exchange Act of 1934 requiring active proprietary securities trading firms to become members of the Financial Industry Regulatory Authority (FINRA). The current rule has allowed many firms that operate a proprietary trading business to avoid FINRA regulation.

FINRA also proposed enhancing regulatory oversight of members involved in high frequency trading. It would require all members involved in the design, development, or modification of algorithmic trading strategies to register as Securities Traders and be regulated. The guidance covers risk assessment and response, trading systems, regulatory compliance, and software and code development and implementation, testing, and validation.

This LIVE Knowledge Group CLE course offers securities market participants an overview of the latest trends, critical updates, and important changes in FINRA’s Administration Guidance for Securities Traders Using Algorithmic Trading Strategies. The panel of distinguished professionals will discuss the implications of the latest regulatory notice guidance and offer best practices to ensure compliance with FINRA rules.

Key topics include:

- Algorithmic Trading – Potential Effect on Securities Markets
- FINRA’s Algorithmic Strategies Rule
- Risk Assessment and Response
- Software & Code Development and Implementation
- Software Testing and System Validation
- Trading Systems
- Compliance
- Rule 5210 on Publication of Transactions and Quotations
- Rule 2010 on Standards of Commercial Honor and Principles of Trade
- Rule 6140 (Other Trading Practices)
- FINRA Rules – Implications to Securities Trading Firms
- Compliance and Litigation Risks
- Best Practices for Securities Traders

## About The Knowledge Group, LLC/The Knowledge Congress Live Webcast Series

The Knowledge Group, LLC was established with the mission to produce unbiased, objective, and educational live webinars that examine industry trends and regulatory changes from a variety of different perspectives. The goal is to deliver a unique multilevel analysis of an important issue affecting business in a highly focused format. To contact or register to an event, please visit: <http://theknowledgegroup.org/>

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