



# MCLE ATTENDANCE VERIFICATION FORM

## PART B

PLEASE RECORD, BELOW, ALL SESSIONS ATTENDED WITH THE APPROPRIATE CLE CODES FOR EACH SESSION

Name: \_\_\_\_\_

State CLE is required in (*check as applicable*):  Illinois  New York  Virginia  Other: \_\_\_\_\_

If Illinois is required, provide Bar #: \_\_\_\_\_

**Time in and time out must include time zone.**

**Each session has two unique codes, and both must be inserted if seeking credit for the full session.**

SESSION NAME	DATE VIEWED	TIME IN	TIME OUT	CODES
Enforcement Trends				#1: _____ #2: _____
What is Keeping Compliance Awake at Night?				#1: _____ #2: _____
Managing Climate Risk in the Global Financial Markets				#1: _____ #2: _____
Regulation in Transition				#1: _____ #2: _____
Market Abuse and Disruptive Trading				#1: _____ #2: _____
The Regulation of Digital Assets –It’s a Mad, Mad, Mad (Regulatory) World				#1: _____ #2: _____
Conducting and Defending an Investigation from Home				#1: _____ #2: _____
Ethics: Use of Zoom and Social Media				#1: _____ #2: _____
Position Limits (Once More with Feeling)				#1: _____ #2: _____
SEC Issues Affecting the CFTC World				#1: _____ #2: _____
Pandemic Lessons				#1: _____ #2: _____
Futures 101				#1: _____ #2: _____

*Continued on next page*

## MCLE ATTENDANCE VERIFICATION FORM

### PART B *(continued)*

SESSION NAME	DATE VIEWED	TIME IN	TIME OUT	CODES
What is Dogecoin? A Case Study to Understand DLT, Crypto Assets, DeFi and NFTs				#1: _____ #2: _____
Mechanics of Clearing and Settlement				#1: _____ #2: _____
Libor: Where are we and where are we going?				#1: _____ #2: _____
Brexit and Other Global Developments				#1: _____ #2: _____
Agency Model v. Principal Model: Distinction without a Difference?				#1: _____ #2: _____
US Access to International Products				#1: _____ #2: _____
Reporting and Recordkeeping				#1: _____ #2: _____
CPO/CTA/Investment Adviser Issues				#1: _____ #2: _____
Negotiating Client Documentation				#1: _____ #2: _____
Market Volatility and Impact on the Clearing Systems				#1: _____ #2: _____
FIA Training: What Brokers, Trading Firms and Vendors Need to Know About Spoofing				#1: _____ #2: _____
Negotiating CFTC and Exchange Settlements				#1: _____ #2: _____

Kindly e-mail this completed form to [bthompson@fia.org](mailto:bthompson@fia.org) by Wednesday, June 2, 2021 for processing. A **Certificate of Attendance** will be sent to your email as soon as possible after approval is received from Virginia and Illinois.