



Rick Reibman

Partner

Chicago
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PRACTICES

- Corporate and Securities

EDUCATION

- Chicago-Kent College of Law, Illinois Institute of Technology, J.D., with high honors
- New College, B.A.

ADMISSIONS

- Georgia
- Illinois

Rick serves as the managing partner of the Firm's Chicago office. Backed by a 30-plus-year career on the legal and regulatory side of financial markets, Rick is an insightful advisor to trading firms, brokerage firms, trade execution firms and investment managers in the futures, commodities, securities and options markets. He is also vice-chair of the Firm's corporate and securities group.

In addition, he regularly advises companies and ventures of all types on business formation, strategic transactions, agreements, corporate governance and general business counseling.

In his regulatory practice, Rick provides practical, straightforward advice on all aspects of trading futures, commodities, securities, options, swaps, hedging and other transactions. Rick works on a near-daily basis with regulators, and taps his experience to provide clients with candid, forthright advice about resolving an issue, whether through thoughtful negotiation or a vigorous administrative response. He has successfully represented clients before NFA, FINRA, CFTC, SEC and the various futures and securities exchanges, and frequently leads litigation efforts in these highly complex areas.

Rick represents registered and unregistered fund managers (and trading advisors) in the formation and operation of private investment funds, including onshore and offshore commodity pools. He advises electronic trading platform providers as well as licensors of trading programs and front-end systems.

Unlike many financial regulatory attorneys, Rick has direct experience in the futures and options markets, having spent the first decade of his career as a principal of futures and options arbitrage and brokerage operations. He knows the markets, understands the transactions and the language.

His practice is also bolstered by significant experience over many years in bankruptcy and creditors' rights issues. In this area, Rick has represented secured creditors, trade creditors and commercial debtors inside and outside the bankruptcy process, often leading the workout or restructuring

of distressed loans covering many types of collateral.

Rick has served as adjunct professor of law at IIT/Chicago-Kent College of Law, where he regularly taught courses in financial services regulation and served on the law school's Compliance Advisory Panel. For several years, Rick has organized, chaired and presented at a full-day continuing education program designed for lawyers and compliance officers who serve the futures and derivatives industry.

Industries

- Futures Regulation
- Broker-Dealer Regulation
- Corporate Transactions

Recognitions

- Listed in Illinois Super Lawyers, 2007, 2014-2020 (by Thomson Reuters)
- Board Member, IIT/Chicago-Kent Compliance Advisory Board

Presentations

- 9th Annual Conference on Futures & Derivatives; IIT/Chicago-Kent College of Law (Advisory Board Member) 6 hr. CLE Program, November 3, 2017
- 8th Annual Conference on Futures & Derivatives; IIT/Chicago-Kent College of Law (Organizer and Chairman) 6 hr. CLE Program, October 20, 2016
- 7th Annual Conference on Futures & Derivatives; IIT/Chicago-Kent College of Law (Organizer and Chairman) 6 hr. CLE Program, October 15, 2015
- Exchange Enforcement Trends; Chicago Bar Association. June 12, 2015
- 6th Annual Conference on Futures & Derivatives; IIT/Chicago-Kent College of Law (Organizer and Chairman) 6 hr. CLE Program, October 17, 2014
- Legal Ethics: Ethical Issues in Hiring Traders and Brokers; IIT/Chicago-Kent College of Law, October 17, 2014
- 5th Annual Conference on Futures & Derivatives; IIT/Chicago-Kent College of Law (Organizer and Chairman), 6 hr. CLE Program, October 25, 2013
- Legal Ethics: General Counsel vs. Chief Compliance Officer; IIT/Chicago-Kent College of Law, October 25, 2013
- Chicago Bar Association Program on Financial Derivative Reform: "Exchange Enforcement Actions"; June 14, 2013
- 4th Annual Conference on Futures & Derivatives; IIT/Chicago-Kent

College of Law (Organizer and Chairman), 6 hr. CLE Program, October 19, 2012

- Legal Ethics: Ethical Boundaries for Zealous Lawyers, IIT/Chicago-Kent College of Law (October 19, 2012)
- The Changing Regulatory Landscape Webinar; Markets Media, November 3, 2011
- Legal Ethics: Limits on Lawyering; IIT/Chicago-Kent College of Law October 21, 2011
- What's Going on Around Town in Futures and Derivatives; IIT/Chicago-Kent College of Law (Organizer and Chairman), 6 hr. CLE Program, October 21, 2011
- Compliance Roundtable: Hot Issues in Financial Institutions; IIT/Chicago-Kent College of Law, October 10, 2011
- Chicago Trading & Investing Summit 2011; Presented by Markets Media, LLC, October 6, 2011
- Current Issues Around Town in Futures and Derivatives; IIT/Chicago-Kent College of Law (Organizer and Chairman) 6-hour CLE Program, October 22, 2010
- Legal Ethics: New Illinois Rules of Professional Responsibility and Potential Ethical Traps; IIT/Chicago-Kent College of Law (Organizer and Chairman), 6 hr. CLE Program, October 22, 2010
- Risk Management, CTA 2010: Managed Futures and Commodities Investing; Presented by Reuters Hedgeworld (Panel Moderator), June 2, 2010
- Ethical Concerns in a Regulatory Enforcement Case; IIT/Chicago-Kent College of Law, October 2, 2009
- Current Issues in Financial Services Law; IIT/Chicago-Kent College of Law (Organizer and Chairman) 6-hour CLE Program, October 2, 2009
- Exemptions for CPOs and CTAs; Illinois Institute for Continuing Legal Education, November 16, 2007
- Alternatives to Bankruptcy; Illinois CPA Society, July 13, 2006
- Trading Arcades; Chicago Bar Association's Futures & Derivatives Law Committee, April 25, 2006