






Jeffrey D. Barclay

Chicago, IL

 312.456.3433

 312.939.5617

 jbarclay@howardandhoward.com



“I concentrate my practice on representing financial industry professionals in regulatory matters.”

As a former member of the Chicago Mercantile Exchange (CME), Mr. Barclay parlayed the knowledge and experience he acquired there into a second career as an attorney. He routinely represents businesses and individuals before the Commodity Futures Trading Commission (CFTC), the Securities and Exchange Commission (SEC), the National Futures Association (NFA), the Financial Industry Regulatory Authority (FINRA), the CME and state securities regulators.

Business & Corporate

- Commodity Futures
- Securities
- Financial Institutions
- Business Litigation

Mr. Barclay provides a variety of legal services to our clients, including:

- Transactional and regulatory work relating to commodity futures and securities;
- Drafting disclosure documents for commodity trading advisors, commodity pool operators, and hedge fund operators;
- Counseling commodity trading advisors, commodity pool operators, and investment adviser registration and licensure requirements and exemptions;
- Drafting no-action letters on behalf of clients to the CFTC;
- Representation on inquiries, investigations, and enforcement actions initiated by the SEC, the CFTC, NFA, the CME, and state securities regulators;
- Providing exchange requirements advice for futures commission merchants and floor brokers;

- Advising on compliance issues for brokers;
- Representation before self-regulatory futures organizations in disciplinary and membership proceedings;
- Representation in NFA, FINRA, and CME arbitration proceedings;
- Representation in futures commission merchant bankruptcies such as Sentinel Management Group Inc., MF Global Inc., and Peregrine Financial Group Inc.; and
- Advising on compliance with the Dodd-Frank Wall Street Reform and Consumer Protection Act, commonly known as the Dodd-Frank Act, and the Jumpstart Our Business Startups Act, commonly known as the JOBS Act.

Education

- DePaul University College of Law, 1996
 - J.D.
- Loyola University Chicago, 1986
 - B.A.

Admissions

- Illinois, 1996

Professional Achievements

- Illinois *Leading Lawyers*, 2019-2021