



KATHERINE COOPER

Partner

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BIOGRAPHY

Ranked Band 1 in Chambers USA Nationwide for Derivatives enforcement, Katherine Cooper is an experienced lawyer with extensive experience in the sale and trading of commodities, derivatives, securities, and digital assets. She also represents clients in related regulatory and grand jury investigations, enforcement actions, and criminal prosecutions.

For more than 20 years, Katherine served in leadership roles at the Commodity Futures Trading Commission, swap dealers, and a financial derivatives exchange. At the CFTC, she rose to senior trial attorney within the Division of Enforcement where she oversaw the investigation and prosecution of enforcement actions involving frauds and other wrongdoing by brokerage houses, commodity trading advisers, commodity pool operators, foreign exchange boiler rooms and exchange floor members. Some of these matters led her to conduct collaborative investigations with the FBI and other governmental agencies. Subsequently, she served as the Chief Regulatory

Officer of NYSE Liffe US, a CFTC-registered futures exchange. Drawing on that background, she offers market participants trusted guidance in navigating the often-confusing legal and regulatory landscape for financial services. She provides clients not only knowledge about applicable law, but also an understanding of the interplay between market participants trading derivatives and financial products.

Katherine has also worked in senior compliance roles leading teams covering the public sales and trading of fixed income, currencies and commodities assets, as well as equity execution, equity derivatives, preferred securities, and structured products businesses.

Katherine is qualified in New York and Ireland.

PROFESSIONAL MEMBERSHIPS

ABA Derivatives & Futures Law Committee

New York City Bar Association Futures Law Committee

EMERGING THEMES 2025

Creating Connections

2025 marks the 15th edition of Emerging Themes in Financial Regulation & Disputes. This year, our overarching theme is Creating Connections, examining three main pillars: **Technology**, **Transparency**, and **Trust**.

ADMISSIONS

- New York, 1989
- Ireland
- U.S. Court of Appeals, First Circuit

U.S. Court of Appeals, Fourth Circuit

U.S. Court of Appeals, Second Circuit

U.S. District Court, Eastern District of New York

U.S. District Court, Southern District of New York

EDUCATION

- University of Virginia, J.D., 1988
- Columbia University, M.A., 1983
- Columbia College, B.A., 1981

RELATED PRACTICE AREAS

- Business & Commercial Disputes
- Intellectual Property and Technology Disputes
- Litigation & Dispute Resolution
- Regulation, Compliance & Advisory
- Class Actions & Mass Torts
- Commodities, Futures & Derivatives
- Financial Institutions

RESOURCES

SPEAKING ENGAGEMENTS

Futures Industry Association, Law & Compliance Conference April 2023, Washington, D.C.

- Panel Moderator: Diversity in Legal & Financial Services April 26, 2023

SIFMA Asset Management Derivatives Forum February 2023, Dana Point, CA

- Panelist: Expanding a Diverse Pipeline of Industry Talent, February 9, 2023

ABA Derivatives & Futures Law Committee Winter 2023 Meeting, Hilton Head, S.C.

- Panel Moderator: Innovative Products, February 2, 2023

FIA, Law & Compliance Conference April 2022, Washington, D.C.

- Panelist: Compliance in a COVID/Post-COVID World, April 28, 2022

RELATED INSIGHTS

Insights

Jan 30, 2025

UK and US Cryptoasset regulation: what direction next?

Insights

Dec 18, 2024

Fifth Circuit Rules OFAC Cannot Sanction Tornado Cash

Insights

Dec 06, 2024

2024 CFTC Enforcement: Agency Celebrates Record Monetary Relief

On December 4, 2024, the Commodity Futures Trading Commission ("CFTC") released its enforcement results for Fiscal Year 2024 ("FY 2024"), showcasing record awards of monetary relief totaling more than \$17.2 billion. The historic awards reflect the agency's continued pursuit of misconduct charged in enforcement actions filed in FY 2023 in the digital asset space along with enforcement actions against traditional financial services firms and commodity trading houses. The CFTC's FY 2024 robust enforcement efforts featured a focus on intermediaries, emphasizing the importance of proper registration and compliance by entities facilitating derivative transactions. Enforcement against repeat offenders intensified, reflecting a strategy of escalating penalties to deter recidivism and safeguard market integrity. Additionally, the agency expanded its attention to environmental fraud, bringing its first enforcement case...

Insights

Nov 29, 2024

SEC Enforcement Tea Leaves: Expected Priorities in the Second Trump Administration

In this article, attorneys from BCLP's Financial Services Disputes and Investigations (FSDI) team predict the next Administration's SEC Enforcement priorities. The FSDI team includes former SEC, FINRA, and CFTC enforcement attorneys and former federal prosecutors. The team advises clients on SEC and FINRA enforcement, and other securities litigation, matters. How will President-elect Trump's reelection impact the SEC's enforcement priorities? We looked for clues from the first Trump Administration's Enforcement program, and also from the agency's current Republican Commissioners. In the new Administration, we expect the SEC (1) to emphasize protecting retail investors, (2) to refocus crypto enforcement actions on fraudsters, and (3) to take a more conservative approach to corporate disclosure and cybersecurity cases.

Insights

Jul 02, 2024

CFTC's Consent Order with Trafigura Trading

Insights

May 09, 2024

CFTC's updated large trader report rule leaves important questions unanswered

Insights

Mar 21, 2024

CFTC's Annual Enforcement Results: Another Blockbuster Year

The Commodity Futures Trading Commission ("CFTC") recently released its enforcement results for Fiscal Year 2023 ("FY 2023"), which ran from October 1, 2022, through September 30, 2023. In addition to detailing the imposition of over \$4.3 billion in penalties, restitution, and disgorgement, the published results also highlight a

number of notable enforcement actions and trends, including a record-setting number of digital asset cases and two first-of-their-kind charges for “oracle manipulation” and “Pig-Butchering.”

News

Feb 20, 2024

Chambers Global 2024

Events

Jan 25, 2024

Katherine Cooper presents at ABA's Derivatives and Futures Law 2024 Winter Committee Meeting