



KATHERINE COOPER

Partner

New York

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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

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
- Litigation & Dispute Resolution
- Regulation, Compliance & Advisory
- Class Actions & Mass Torts
- Commodities, Futures & Derivatives

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

Events

Apr 24-26, 2024

Three BCLP attorneys to be featured at upcoming Futures Industry Association Conference

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

Insights

Jan 18, 2024

More fines, more admissions, more monitors: what is the future of CFTC enforcement?

Insights

Jan 12, 2024

First "insider trading" case goes from bad to worse for CFTC

Insights

Nov 01, 2023

The CFTC is not your friend

News

Oct 04, 2023

New partner boosts BCLP's Financial Services & Disputes practice