

# Carl E. Kennedy

Partner and Co-Chair, Financial Markets and Regulation

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## Practices

FOCUS: Financial Markets and Funds

Artificial Intelligence

Cryptoassets and Blockchain Technology

Futures and Derivatives

## Industries

Finance and Financial Markets

## Education

JD, Temple University Beasley School of Law

MBA, Temple University

BA, Temple University, *magna cum laude*

## Bar Admissions

District of Columbia

New York

## Community Involvements

ABA Business Law Section Derivatives & Futures Law Committee, Conference Co-Chair, 2023–2025

New York City Bar Association, Futures & Derivatives Committee, CFTC Regulations & Swap Dealers Subcommittee Co-Chair, 2023–2024

With a varied background as a former regulator with the US Commodity Futures Trading Commission (CFTC) and as former senior in-house counsel at a large investment bank, clients respect the diverse and highly informed perspective Carl Kennedy provides, particularly as it relates to the commodities and derivatives markets. His deep experience in the financial services industry makes him a trusted advocate to large and small financial institutions, asset managers, clearinghouses, intermediaries, hedge funds and proprietary trading firms.

## Solutions-oriented counsel that takes into account compliance needs and business objectives

Carl takes a straightforward approach to his practice and leverages his government agency and in-house experience — he understands his clients' business concerns and can help them navigate the complex and ever-changing regulatory landscape applicable to commodities and derivatives markets. Beyond advising on regulatory compliance matters, clients rely on Carl's counsel in connection with derivatives-related litigation and enforcement actions, investigations and nuanced regulatory issues relating to transactions. Recognized by *Chambers USA*, *Chambers Global* and *The Legal 500*, he has a reputation for making client service a top priority, providing attentiveness and rapid responses on day-to-day client matters, particularly for clients with time-sensitive "live trade" regulatory questions.

Carl's career has positioned him at the forefront of significant legislation and regulatory guidelines. A strong industry advocate, he frequently advises financial industry participants on policy objectives and concerns, and works with them in responding to regulatory agencies about rule changes and proposals. While at the CFTC, he was a primary drafter of several rules and a key player in its adoption of guidelines for implementing the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank).

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**"He's immediate on response time, provides opinions on the spot and backs it in writing, whatever I need. He's my go-to guy."**

- *Chambers USA 2022 (USA Nationwide, Derivatives) survey response*

In addition to his prior work at the CFTC and at a large investment bank, Carl is able to call on his experience as counsel at a global hedge fund trade association, where he managed regulatory and legislative advocacy on over-the-counter derivatives reform.

## Recognitions

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Recognized or listed in the following:

- *Chambers USA*
  - Derivatives, 2021–2024
  - Derivatives: Mainly Regulatory, 2022–2024
- *Chambers Global*
  - Capital Markets: Derivatives
    - USA, 2022–2024
  - Capital Markets: Derivatives: Mainly Regulatory
    - USA, 2022–2024
- *The Legal 500 United States*
  - Recommended Attorney, 2022–2024

## News

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- Katten Highly Ranked in Legal 500 United States 2024 (June 12, 2024)
- Katten Receives High Marks in *Chambers USA* Guide 2024 (June 6, 2024)
- Carl Kennedy Profiled in *Law.com*'s 'How I Made Practice Group Chair' Series (March 1, 2024)
- Katten Hosts Author Heather McGhee at Black History Month Event (February 29, 2024)
- Katten Ranked as Leader in *Chambers Global Guide* 2024 (February 15, 2024)
- Katten Ranked in Crypto and Blockchain by *Chambers FinTech* 2024 (December 11, 2023)
- Katten Celebrated Juneteenth With DEI Discussion (June 27, 2023)

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