

Stephen R. Morris

Partner

New York Office

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Practices

FOCUS: Financial Markets and Funds
Broker-Dealer Regulation
Cryptoassets and Blockchain Technology
Financial Markets Litigation and Enforcement
Futures and Derivatives
Investment Management and Funds
Proprietary Trading Firms
Regulated Funds

Industries

Finance and Financial Markets

Education

JD, New York University School of Law,
magna cum laude, *Order of the Coif*
PhD, University of Pennsylvania
MA, University of Pennsylvania
BA, Oberlin College

Bar Admissions

New York

Court Admissions

US District Court, Southern District of New York
US District Court, Eastern District of New York

Community Involvements

Futures Industry Association (FIA), Law & Compliance Division, Executive Committee, Former Secretary
Ironbound Boxing Academy, Board of Directors, Volunteer Boxing Coach

With deep experience as in-house counsel at a leading multinational financial institution and as a trial attorney with the Commodity Futures Trading Commission (CFTC), Stephen Morris understands the business goals of his clients and the regulatory challenges they face.

Counsel rooted in regulatory and financial institution experience

The regulatory environment surrounding futures and derivatives is constantly evolving. Stephen is well-versed in this sector and is a trusted advisor to clients with needs ranging from routine documentation matters to regulatory investigations and enforcement issues. As a senior in-house coverage attorney for the institutional listed derivatives and clearing business of a top-tier broker-dealer/futures commission merchant (FCM), with over 14 years' experience in that role, he has deep experience with all aspects of the law and regulation governing the execution and clearing of futures, equity options and cleared swaps.

Stephen sees the opportunities and potential pitfalls for financial institutions interested in the burgeoning cryptoasset market. He provides analysis and counsel on a variety of regulatory issues relating to digital assets, digital asset securities and cryptocurrencies arising under US federal and state banking, securities and commodities laws and regulations.

Stephen is active in the futures and derivatives community, frequently serving as a panel chair for the Futures Industry Association (FIA) Legal & Compliance Conference. Earlier in his career, he clerked for the Honorable I. Leo Glasser, Senior Judge, US District Court, Eastern District of New York.

Prior to becoming an attorney, he served as a philosophy professor at Central Connecticut State University and Temple University. Stephen enjoys giving back to his community as a USA Boxing Bronze Level Certified Coach with Ironbound Boxing & Education, a free boxing gym in Newark, New Jersey.

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News

- *Law360* Heralds the Arrival of Stephen Morris at Katten (April 8, 2022)
- Katten Adds Global Bank Exec to Financial Markets and Funds Group (April 4, 2022)

Publications

- Foreign Listed Stock Index Futures and Options Approvals November 2022 (November 1, 2022)
- Block Trades, EFRPs and Assorted Other Trade Practice Issues: A Practical Guide of Current Status (July 27, 2022)
- The Joint Audit Committee in the Post-Archehos Risk Management Regulatory Landscape (June 2022)
- The Lawyer as Friend: An Aristotelian Inquiry | *Journal of the Legal Profession* (2022)
- Socratic Perspectives on American Constitutionalism (2000)
- For Strangers, Unborn Babes, Uncreated Worlds: The Mission of Malcolm X | *Flames of Fire: Black Religious Leadership From the Slave Community to the Million Man March* (1998)

Presentations and Events

- Katten's Annual Financial Markets and Regulation Crystal Ball Event (January 19, 2023)
- Katten's Annual Financial Markets Litigation and Enforcement Symposium (October 13, 2022)

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- Off-Exchange Futures, Off-SEF Swaps and Assorted Trade Practice Issues: The Regulators' Perspective (June 29, 2022)
- Law & Compliance Division Conference 2022 (April 27–29, 2022) | *Panelist* | *Foreign Security Futures: Find Me a Regulator!*
- FIA Legal & Compliance Conference (2012–2016, 2020–2022) | *Panelist, Moderator*
- ABA Futures and Derivatives Committee Conference (2014) | *Panel Chair*