



# Alexander C. Kim

Associate

Financial Markets and Funds

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Alex Kim provides regulatory and general legal counsel to securities broker-dealers, commodities market participants and other financial services industry participants. Alex also advises some of the largest and most prominent digital asset trading platforms and blockchain technology companies. Alex's clients benefit from his deep and technical understanding of cutting-edge blockchain-based products from his prior work with a digital asset startup. Alex's experience handling digital assets, blockchain, and other legal and regulatory areas converges in his AI practice. He was awarded the AI Governance Professional (AIGP) certification from the International Association of Privacy Professionals (IAPP); the IAPP is not affiliated with any governmental authority.

## Helping clients navigate a constantly evolving industry and regulatory landscape

While in law school, Alex served as an editor of the Columbia Law School Foundation Moot Court Program and was a member of the *Columbia Journal of Law & the Arts*. Alex was also recognized as a Public Interest Honoree for his dedication to public interest and pro bono activities.

Prior to law school, Alex was a sergeant in the Republic of Korea Air Force.

## News

- Katten Advises Monarq Asset Management in Strategic Investment From FalconX (June 6, 2025)
- Katten Authors Receive Top Honor in Mondaq's Spring Thought Leadership Awards (May 13, 2025)
- Katten Hosts Qian Julie Wang in Celebration of AANHPI Heritage Month (May 12, 2025)
- Katten Represents R.J. O'Brien on Financial Regulatory Aspects of Sale to StoneX Group (April 17, 2025)

## Practices

- Broker-Dealer Regulation
- Cryptoassets and Blockchain Technology
- Financial Markets and Funds
- Futures and Derivatives
- Artificial Intelligence

## Education

- JD, Columbia Law School, *Harlan Fiske Stone Scholar*
- BA, Dartmouth College

## Bar Admissions

- New York

## Community Involvements

- Asian American Bar Association of New York
- International Association of Privacy Professionals, AI Governance Professional Certification
- Wall Street Blockchain Alliance

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- Katten Restructuring Wins in Seven Categories of *The M&A Advisor's* 19th Annual Turnaround Awards (January 30, 2025)

## Publications

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- Financial Markets and Funds *Quick Take* | Issue 40 (July 2025)
- Confirming a Negative: CFTC Staff Issue an Advisory Clarifying When Foreign-Organized Entities Are Trading and Brokering Digital Asset Derivatives Outside of the Commission's Cross-Border Jurisdiction (June 2025)
- AI for Broker-Dealers and Investment Advisers: Legal and Regulatory Considerations (June 2025)
- Financial Markets and Funds *Quick Take* | Issue 39 (June 2025)
- Confirming a Negative: CFTC Staff Issue an Advisory Clarifying When Foreign-Organized Entities Are Trading and Brokering Digital Asset Derivatives Outside of the Commission's Cross-Border Jurisdiction (June 9, 2025)
- Financial Markets and Funds *Quick Take* | Issue 38 (April 2025)
- Privacy, Data and Cybersecurity *Quick Clicks* | Issue 28 (April 2025)
- Financial Markets and Funds *Quick Take* | Issue 37 (April 2025)
- Banking Agencies Begin Publishing Updated Crypto Guidance (April 2, 2025)
- Financial Markets and Funds *Quick Take* | Issue 36 (March 2025)
- A More Business-Friendly Approach to Innovation, Risk Management and Derivatives Regulation: What to Expect From Incoming CFTC Chairman Brian D. Quintenz (February 18, 2025)
- From outsider to insider: crypto's Washington makeover | *Professional Wealth Management* (February 12, 2025)
- Financial Markets and Funds *Quick Take* | Issue 35 (February 2025)
- 'Smart Contracts' Ruling Forces a Blockchain Development Rethink (January 30, 2025)
- Crypto in the Courts: Five Cases Reshaping Digital Asset Regulation in 2025 (January 21, 2025)
- Financial Markets and Funds *Quick Take* | Issue 34 (January 2025)
- Financial Markets and Funds *Quick Take* | Issue 33 (December 2024)
- Bitnomial Exchange Sues SEC, Challenging Agency's Authority Over XRP Futures (October 11, 2024)

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- A Brave New World: The U.S. Supreme Court Torpedoes the "Administrative State" | *The Banking Law Journal* (October 2024)
- Financial Markets and Funds *Quick Take* | Issue 30 (September 12, 2024)
- Capital Markets: Derivatives 2024 – Global Overview (September 4, 2024)
- Judge Dismisses Case Against Seeking Alpha: Implications for Publishers of Financial Information (August 26, 2024)
- Privacy, Data and Cybersecurity *Quick Clicks* | Issue 20 (August 2024)
- Financial Markets and Funds *Quick Take* | Issue 29 (August 2024)
- A Look At The Regulatory Scrutiny Facing Liquid Restaking (August 12, 2024)
- Financial Markets and Funds *Quick Take* | Issue 28 (July 2024)
- A Brave New World: The Supreme Court Torpedoes the 'Administrative State' (July 12, 2024)
- The Lesson of Prometheus – A Special Purpose Broker Dealer May Cause Havoc in TradFi by Unilaterally Declaring ETH To Be A Security (March 11, 2024)
- *UK Financial Insights from Katten* | Issue 8 (February 2024)
- SEC Adopts Security-Based Swap Execution Facility Rules Similar to CFTC's | *The Journal on the Law of Investment & Risk Management, Futures & Derivatives Law Report* (December 2023)
- Copy and Paste: The SEC Adopts Security-Based Swap Execution Facility Rules that Closely Resemble Existing CFTC Swap Execution Facility Rules (November 14, 2023)
- Financial Markets and Funds *Quick Take* | Issue 19 (October 2023)
- Privacy, Data and Cybersecurity *Quick Clicks* | Issue 9 (September 2023)
- Financial Markets and Funds *Quick Take* | Issue 18 (September 2023)
- FINRA Gains Greater Jurisdiction and Members: Amendments to SEC Rule 15b9-1 Will Require Most Proprietary Trading Broker-Dealers to Join FINRA (September 6, 2023)
- Quantum Computing Could Threaten Blockchain, Crypto (August 17, 2023)

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- Funds NOT Immediately Available: Actions FCMs Should Take to Protect Customer Funds Deposited at Distressed Banks (June 23, 2023)
- Financial Markets and Funds Quick Take | Issue 14 (May 30, 2023)
- How Ordinals Make Bitcoin Both Fungible and Non-Fungible (April 26, 2023)
- Financial Markets and Funds Quick Take | Issue 13 (April 25, 2023)
- SEC's Proposed Custody Rule Changes And What They Mean (March 21, 2023)
- Financial Markets and Funds Quick Take | Issue 11 (February 21, 2023)
- Financial Markets and Funds Quick Take | Issue 10 (January 13, 2023)
- Financial Markets and Funds Quick Take | Issue 6 (September 15, 2022)
- Financial Markets and Funds Quick Take | Issue 5 (August 16, 2022)
- Broker-Dealer Proprietary Trading Groups: FINRA May Be In Your Future (August 15, 2022)
- Block Trades, EFRPs and Assorted Other Trade Practice Issues: A Practical Guide of Current Status (July 27, 2022)
- New and Familiar Compliance Challenges for FINRA Members in 2021 and What That Means for 2022 (March 3, 2022)
- Market Trading Trends: Expect Regulatory Guidance to Accelerate (November 24, 2021)
- Securities Regulatory and Enforcement: Four Asset Management Trends (November 23, 2021)
- Are Crypto Lending, DeFi and Stablecoins the New "Lions and Tigers and Bears, Oh My!"? A Review of Recent Crypto Legal and Regulatory Developments (September 14, 2021)
- [Corporate & Financial Weekly Digest](#) (Weekly) | [Author](#)

## Presentations and Events

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- AI Governance Unlocked: From Regulation to Real-Time Risk Assessment (June 18, 2025) | *Speaker*
- [38th Annual FIRMA National Risk Management Training Conference](#) (April 28–May 1, 2025) | *Presenter* | *Stablecoins at the Regulatory Crossroads: Aligning Innovation with Institutional Responsibility*

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- FIA Law & Compliance Division Conference (April 23–25, 2025)
- 2024 Crypto with Katten Annual Symposium (December 5, 2024) | *Speaker*
- A Brave New World: The Supreme Court Torpedoes the 'Administrative State' (July 30, 2024) | *Panelist*
- Crypto With Katten: Is a Modern-Day Prometheus Lighting a Fire Among Traditional Derivatives Industry Participants? The Potential Implications of Labeling ETH as a Security (February 22, 2024)
- Katten's Annual Financial Markets and Regulation Crystal Ball — A Look Back at 2023 and a Look Forward to 2024 (February 1, 2024)
- 2023 Crypto with Katten Annual Symposium (September 27, 2023)
- To Be or Not to Be (Fungible): NFTs and the curious case of the bitcoin ordinals (September 22, 2023)
- Crypto with Katten: Dan and Gary Surfing the Waves of Ripple (July 14, 2023)
- Zero to Sixty (Seconds): Electronic Trading Trends in Derivatives Markets and Emerging Technologies in Financial Services (June 29, 2023)
- Summer 2022: The Winter of [Crypto's] Discontent — A Review of Current Legal and Regulatory Developments (July 27, 2022)
- Crypto from the Rockies: Recent Updates in Crypto Legal and Regulatory Developments and an Interview with Tung Chan, Commissioner, Colorado Division of Securities (February 16, 2022) | *Speaker*
- Futures and Derivatives Law Committee (November 17, 2021) | *Presenter* | *Digital Asset Topics in the News: Tether & Bitfinex Enforcement; CT Jury Finds Crypto Products Not to be Securities; Stablecoins & More*
- Are Crypto Lending, DeFi and Stablecoins the New "Lions and Tigers and Bears, Oh My!": A Review of Recent Crypto Legal and Regulatory Developments (September 14, 2021) | *Speaker*
- A Beacon Into 2021 Crypto Industry, Legal and Regulatory Developments Year to Date (June 2, 2021) | *Speaker*