



Nicholas Gervasi

Associate

Financial Markets and Funds

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Nicholas Gervasi supports financial services clients across securities and derivatives markets in their regulatory and transactional matters. He advises exchanges, clearinghouses, futures commission merchants, and introducing brokers on registration, compliance, and regulatory issues

Building bespoke legal structures centered on efficiency and resiliency

From his training as an architect and designing buildings against many constraints, Nick understands how to balance competing interests between the law and client goals. Before joining Katten, he worked as a project architect at an architecture and urban design research group where he experienced firsthand the importance of creative problem-solving. During law school, he learned about the dynamic between regulators and registrants by working for the Federal Reserve Bank of New York, the US Securities and Exchange Commission, and the quantitative investment management arm of a global asset manager.

News

- Katten Authors Receive Top Honor in Mondaq's Spring Thought Leadership Awards (May 13, 2025)

Publications

- AI for Broker-Dealers and Investment Advisers: Legal and Regulatory Considerations (June 2026)
- Financial Markets and Funds *Quick Take* | Issue 49 (April 2026)
- The SEC and CFTC Provide Crypto Clarity: Most Crypto Assets Are Not Securities (March 19, 2026)
- Financial Markets and Funds *Quick Take* | Issue 47 (February 2026)
- Financial Markets and Funds *Quick Take* | Issue 46 (January 2026)
- A Leaner CAT for 2026: SEC Mulls Proposed \$55–\$73 Million Cost Reduction (January 6, 2026)

Practices

- ESG and Sustainable Investing
- Financial Markets and Funds
- Futures and Derivatives

Education

- JD, Fordham University School of Law, *cum laude*
- MS, Columbia University
- M. Arch, Tulane University School of Architecture
- B. Arch, Tulane University School of Architecture
- Harvard Business School Online, *Certificate in Sustainable Investing*

Bar Admissions

- New York

Professional & Community Involvement

- American Bar Association
- American Institute of Architects
- Association of Securities and Exchange Commission Alumni
- National Council of Architectural Registration Boards, Examination Committee
- New York City Bar Association, Housing & Urban Development Committee
- Terreform ONE, Board of Directors

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- Financial Markets and Funds *Quick Take* | Issue 43 (October 30, 2025)
- SEC's Strategic Shift to Expand Retail Investors' Access to Private Assets Provides New Opportunities: An Overview and Key Considerations (October 24, 2025)
- Financial Markets and Funds *Quick Take* | Issue 42 (September 2025)
- Derivatives 2025 – Global Overview (September 2, 2025)
- Financial Markets and Funds *Quick Take* | Issue 41 (August 2025)
- SEC Approves In-Kind Creation and Redemption for Crypto Exchange-Traded Products (August 11, 2025)
- Payment Stablecoins Get "Smart" (or GENIUS-like) (July 31, 2025)
- Financial Markets and Funds *Quick Take* | Issue 40 (July 2025)
- AI for Broker-Dealers and Investment Advisers: Legal and Regulatory Considerations (June 2025)
- Financial Markets and Funds *Quick Take* | Issue 39 (June 2025)
- Financial Markets and Funds *Quick Take* | Issue 38 (April 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)
- *UK Financial Insights from Katten* | Issue 18 (January 2025)
- Foreign Listed Stock Index Futures and Options Approvals January 2025 (January 21, 2025)
- Financial Markets and Funds *Quick Take* | Issue 34 (January 2025)
- 2024 Has Been a Momentous Year for ESG (December 20, 2024)
- *ESG Guidepost* | Issue 20 (December 2024)
- Financial Markets and Funds *Quick Take* | Issue 33 (December 2024)
- Financial Markets and Funds *Quick Take* | Issue 32 (November 12, 2024)
- Artificial Intelligence in Consumer Lending: Addressing AI-Related Risks (November/December 2024)
- *ESG Guidepost* | Issue 19 (October 2024)

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- SEC Division of Examinations Publishes 2025 Priorities (October 30, 2024)
- Capital Markets: Derivatives 2024 – Global Overview (September 4, 2024)
- Selection of Gov. Walz as VP Harris's Running Mate Triggers Federal Pay-to-Play Restrictions on Investment Advisers and Other Financial Industry Professionals (August 22, 2024)
- *ESG Guidepost* | Issue 16 (July 2024)
- Privacy, Data and Cybersecurity *Quick Clicks* | Issue 19 (July 2024)
- Financial Markets and Funds *Quick Take* | Issue 28 (July 2024)
- *Loper Bright* Creates ESG Regulatory Speedbumps for Companies (July 19, 2024)
- Supervising FINfluencers' Social Media Spin: Don't Believe Everything You View on Your Phone (June 27, 2024)
- *ESG Guidepost* | Issue 15 (June 2024)
- Financial Markets and Funds *Quick Take* | Issue 27 (June 2024)
- Privacy, Data and Cybersecurity *Quick Clicks* | Issue 17 (May 2024)
- Financial Markets and Funds *Quick Take* | Issue 26 (May 2024)
- Financial Markets and Funds *Quick Take* | Issue 24 (March 2024)
- Congressional Insider Trading Deteriorates Democracy by Creating Distrust in Government | *Fordham Law Voting Rights and Democracy Forum* (March 21, 2023)
- Blacking Out Congressional Insider Trading: Overlaying a Corporate Mechanism Upon Members of Congress and Their Staff to Curtail Illegal Profiting | *Fordham Journal of Corporate & Financial Law*, Vol. 28 (February 3, 2023)