

# 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 member of the Board of Directors and a USA Boxing Silver Level Certified Coach at Ironbound Boxing & Education, a

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nonprofit operating a free boxing gym in Newark, New Jersey.

## Recognitions

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*Recognized or listed in the following:*

- *The Legal 500 United States*
  - Recommended Attorney, 2023

## News

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- Stephen Morris Talks Mandatory Clearing for Treasuries with *Risk.net* (March 14, 2024)
- *FinOps Report* Speaks With Stephen Morris on the SEC's Clearing Mandate for US Treasuries (December 28, 2023)
- Stephen Morris Talks With *Risk.net* on CFTC Clearing House Recovery Rules (September 27, 2023)
- Katten Lauded in The Legal 500 United States 2023 (June 9, 2023)
- Katten joins FIA Tech's Databank Network as a law firm partner (April 21, 2023)
- *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

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- Financial Markets and Funds *Quick Take* | Issue 26 (May 2024)
- Financial Markets and Funds *Quick Take* | Issue 25 (April 2024)

# Stephen R. Morris

Partner

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- Financial Markets and Funds *Quick Take* | Issue 24 (March 2024)
- Financial Markets and Funds *Quick Take* | Issue 23 (February 2024)
- Financial Markets and Funds *Quick Take* | Issue 22 (January 2024)
- The Manifold Compliance Challenges of Foreign Security Futures | *The Global Regulatory Developments Journal* (January/February 2024)
- The SEC's Treasury Clearing Mandate (December 22, 2023)
- Foreign Listed Stock Index Futures and Options Approvals December 2023 (December 19, 2023)
- Financial Markets and Funds *Quick Take* | Issue 20 (November 2023)
- Financial Markets and Funds *Quick Take* | Issue 19 (October 2023)
- The Manifold Compliance Challenges of Foreign Security Futures (October 16, 2023)
- Financial Markets and Funds *Quick Take* | Issue 18 (September 2023)
- Financial Markets and Funds *Quick Take* | Issue 17 (August 2023)
- Funds NOT Immediately Available: Actions FCMs Should Take to Protect Customer Funds Deposited at Distressed Banks (June 23, 2023)
- 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-Archegos 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 Babies, Uncreated Worlds: The Mission of Malcolm X | *Flames of Fire: Black Religious Leadership From the Slave Community to the Million Man March* (1998)

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## Presentations and Events

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- FIA Law & Compliance Division Conference (April 24–26, 2024) | *Moderator* | *Role of Legal and Compliance in Cybersecurity and Crisis Management*
- Katten's Annual Financial Markets and Regulation Crystal Ball — A Look Back at 2023 and a Look Forward to 2024 (February 1, 2024)
- FIA Expo 2023 (October 2–3, 2023) | *Presenter* | *An Introduction to the FIA Tech/Katten FSF Databank*
- Helping firms navigate the Foreign Security Future legal landscape (July 12, 2023)
- Zero to Sixty (Seconds): Electronic Trading Trends in Derivatives Markets and Emerging Technologies in Financial Services (June 29, 2023)
- 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)
- 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*