

Katherine Kirkpatrick

Partner

Special Matters and Government Investigations



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Katherine Kirkpatrick is a partner in the Special Matters and Government Investigations practice and co-chairs King & Spalding's Financial Services Industry of Focus. She focuses primarily on white collar criminal defense, government and internal investigations, corporate compliance, and regulatory matters. Katherine has counseled numerous clients on compliance tailored to a variety of industries, including financial services, technology, education, housing, and transportation. Katherine's experience includes work related to a wide variety of issues, including anti-money laundering, market manipulation, criminal sanctions, the FCPA and anti-corruption, consumer protection, the FCA and FIRREA, securities, taxation, and cryptocurrency compliance. Katherine has represented corporations and individuals under investigation by the Department of Justice, the Securities and Exchange Commission, the Commodity Futures Trading Commission, the National Futures Association, the Financial Industry Regulatory Authority, the New York Attorney General, the New York State Department of Financial Services, the Senate's Permanent Subcommittee on Investigations, the Office of the Comptroller of the Currency, the Office of Foreign Assets Control, the Federal Reserve Board, and others.

Katherine is a co-chair of King & Spalding's FinTech and Cryptocurrency working group, and also sits on the firm's Financial Services Regulatory working group. Katherine is a frequent writer and speaker on anti-money laundering, cryptocurrency, DeFi, and blockchain-related compliance -- in 2021 alone, Katherine's comments were featured in the Financial Times, the American Banker, Coindesk, Yahoo Finance, Kharon, the E-Commerce Times, Artnet News, and TechRepublic.

Katherine currently serves as a member of the Hiring Committee, and is also a member of the board of directors of the Notre Dame Law Association.

Katherine earned her undergraduate degree, *cum laude*, from the University of Southern California. She received her law degree, *cum laude*, from Notre Dame Law School, where she served as Student Bar Association President and Solicitations Editor of *The Journal of Legislation*. While at Notre Dame, Katherine served as the student representative on the Law Dean Search Committee, and received the Judge Joseph E. Mahoney Award for leadership and the Captain William O. McLean Award for service.

Recent Publications

"SPAC Sweeps: FINRA Releases Guidance After Announcing Its Latest Series of Targeted Exams," *King & Spalding Client Alert* (October 2021)

"Decentralized Finance--Risks, Regulation, and the Road Ahead," *the Journal of Robotics, Artificial Intelligence, & Law* (September 2021)

"Understanding Regulatory Trends: Digital Assets & Anti-Money Laundering," *King & Spalding Client Alert* (July 2021)

"Not Your Standard Orange Grove: Non-Fungible Tokens & Securities Laws," *King & Spalding Client Alert* (June 2021)

"Anti-Money Laundering Risks Amid Rising NFT Popularity," *Law360* (May 2021)

"FinCen's New Whistleblower Program: Global Implications," *King & Spalding Client Alert* (May 2021)

"Industry Focused American Rescue Plan Act Summary - Aviation," *King & Spalding Client Alert* (April 2021)

"Industry Focused American Rescue Plan Act Summary - Agriculture," *King & Spalding Client Alert* (March 2021)

"Prosecutors Using FIRREA to Investigate Pandemic Conduct," *King & Spalding Client Alert* (March 2021)

"Payday Lending May Face Greater CFPB Scrutiny Under Biden," *Law360* (February 2021)

"New BSA/AML Regime Promises Sweeping Changes," *King & Spalding Client Alert* (December 2020)

"The Implications of a Revived Disparate Impact Doctrine Under a Biden CFPB," *King & Spalding Client Alert* (December 2020)

"FinCEN Proposes Lower Travel Rule Thresholds for Fiat and Virtual Currencies," *King & Spalding Client Alert* (November 2020)

"US Actions Show View Of Crypto As National Security Threat," *Law360* (March 2020)

"Consumer Protection Issues for Single-Family Rental Investors," *Law360* (October 2019)

"FinCEN 'Travel Rule' Update Sets Challenges for Crypto Cos," *Law360* (October 2019)

"Spoofing US Law and Enforcement," *Thompson Reuters Practical Law* (July 2019)

"Virtual Currency in Sanctioned Jurisdictions: Stepping Outside of SWIFT," *Journal of Investment Compliance* (July 2019)

"Why It's Taking So Long: the SEC and FINRA Issue Guidance on Crypto Broker-Dealer Complexities," *King & Spalding Client Alert, JD Supra* (July 2019)

"Artificial Intelligence and the Fair Housing Act: Algorithms Under Attack," *King & Spalding Client Alert, Journal of Robotics, Artificial Intelligence & Law* (June 2019)

"Spoofing the Market: A Comparison of US and UK Law and Enforcement," *Thomson Reuters Practical Law* (June 2019)

"Tying It All Together: FinCEN Consolidates Several Years of Cryptocurrency Guidance," *King & Spalding Client Alert, JD Supra* (May 2019)

"How Far We Haven't Come: SEC Resistance to Blockchain Securities Continues?" *King & Spalding Client Alert, JD Supra* (April 2019)

"Japan Continues to Embrace Cryptocurrency with Launch of Self-Regulatory Organization: Will the US or Other Countries Follow Suit?" *TabbFORUM* (November 2018)

"King & Spalding: Transatlantic Business Crime and Investigations Column," *Thompson Reuters Practical Law* (Periodic)

"DOJ's Increasing Involvement in Internal Investigations," *New York Law Journal* (July 2017)

"The FX Global Code: The Rules are Made to be Followed," *TabbFORUM* (June 2017)

"Attorney-Client Privilege and Corporate E-Mail: Navigating the Morass of Personal Communications in Investigations," *King & Spalding Client Alert, JD Supra* (June 2017)

"FinTech – The CFTC's Silver Bullet?," *The Temple 10-Q, TabbFORUM, JD Supra* (April 2017)

"Regulatory Changes in Retail Forex Market Will Continue," *Asset Management, Banking, Capital Markets Public Policy and Securities Law 360* (September 2015)

"High Frequency Trading: The Regulatory Debate," *New York Law Journal* (July 2014)

"The SCRA and Student Loans – Senate Hearings Highlight Agency Collaboration on Investigative and Enforcement Activities," *King & Spalding Client Alert* (September 2013)

"FIRREA: A Renewed and Formidable Enforcement Weapon," *Banking Law 360* (August 2013)

"The SCRA and Motor Vehicles – Auto Loans Vroom in the Forefront of Enforcement," *King & Spalding Client Alert* (May 2013)

Matters

Performing a compliance review and suggesting enhancements to anti-money laundering policies and procedures for a major financial services entity expanding its operations into cryptocurrencies.

Conducting an internal investigation on behalf of a major Turkish bank in connection with allegations of money laundering and sanctions violations.

Defending a global Foreign exchange market broker in connection with an investigation of foreign exchange trading and litigation tied to allegations of undercapitalization and issues related to certain Company policies, representations, and systems and controls.

Coordinating the compliance overhaul of private equity portfolio companies.

Representing a multinational financial institution in connection with an Office of Comptroller of the Currency and Federal Reserve Board consent order-mandated foreclosure file review.

Representing individual executives in connection with domestic and international investigations involving LIBOR rates and ISDAfix.

Representing the Audit Committee of a global company in connection with a large-scale internal investigation into allegations of misconduct relating to complex accounting issues, including

revenue recognition practices, disclosures, internal controls, corporate culture, and certain employment practices.

Defending the CEO of a nonprofit from multiple felony charges, including commercial bribery and insurance fraud.

Defending an international financial institution from enforcement actions based on conspiracy to commit tax fraud and securities violations brought by the Justice Department, the SEC, the Federal Reserve, and the New York State Department of Financial Services, and a related congressional inquiry by the Senate Permanent Subcommittee on Investigations; representing same company in connection with collateral consequences and post-resolution undertakings.

Representing a global bank in the successful avoidance of federal criminal charges and a civil FIRREA action linked to allegations of bank fraud and wire fraud.

Credentials

EDUCATION

J.D., University of Notre Dame, cum laude

B.A. Journalism, University of Southern California, cum laude

ADMISSIONS

U.S. Court of Appeals for the Second Circuit

U.S. District Court for the Eastern District of New York

U.S. District Court for the Southern District of New York

Illinois

New York

ASSOCIATIONS

Her Justice Junior Advisory Board

United Way Young Leaders Council

Notre Dame Law Association Board of Directors

Recognition

Named 40 Under 40 by Global Investigations Review, which features the world's leading young investigations specialists

GLOBAL INVESTIGATIONS REVIEW, 2020

Named to the 40 & Under Hot List, which recognizes the top young litigation talent throughout the U.S. and Canada

BENCHMARK LITIGATION, 2020

Named to Who's Whos Legal - Investigations 2021 - Investigations Future Leader

WHO'S WHO LEGAL, 2021

Insights

CLIENT ALERT

October 21, 2021

SPAC Sweeps: FINRA Releases Guidance After Announcing Its Latest Series of Targeted Exams

August 31, 2021

Decentralized Finance—Risks, Regulation, and the Road Ahead

NEWSLETTER

September 30, 2021

Financial Services Focus - September 2021

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Events

SPEAKING ENGAGEMENT

May 4, 2021

J.C. Boggs, Katherine Kirkpatrick, Brian Michael to Speak on Webinar About Crypto Assets and Emerging Trends

WEBINAR

June 10, 2020

DOJ Enforcement Trends and Updates for Financial Institutions

May 14, 2020

FCA Fundamentals for the COVID-19 Landscape

[VIEW ALL ON KSLAW.COM](#)

News

IN THE NEWS

October 19, 2021 • Source: CoinDesk

Katherine Kirkpatrick explains why it will be difficult to regulate DeFi

September 27, 2021 • Source: American Banker

Katherine Kirkpatrick discusses the impact of the Consumer Financial Protection Bureau launching enforcement actions against cryptocurrency firms

RECOGNITION

September 7, 2021

Crain's Chicago Business Names Katherine Kirkpatrick and Jade Lambert to its 2021 Notable Rising Stars in Law List

[VIEW ALL ON KSLAW.COM](#)