



# Nicholas Gervasi

Associate

Financial Markets and Funds

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**Nicholas Gervasi supports financial services clients, such as investment advisors, broker-dealers and hedge funds, in their regulatory and transactional matters. He provides a business-oriented approach to complex regulatory challenges.**

## **Designing client-specific solutions centered on efficiency and resiliency**

From his training as an architect and designing buildings against many zoning constraints, Nick understands how to balance competing interests between the law and client goals. Before joining Katten, he worked at a nonprofit where he experienced firsthand the importance of creative problem-solving within a tight budget. During law school, he learned about the dynamic between regulators and registrants by interning 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.

## **Publications**

- 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 Advisors 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)

## **Practices**

- Financial Markets and Funds

## **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

## **Community Involvements**

- American Bar Association, Disaster Legal Services Committee
- Association of Securities and Exchange Commission Alumni
- New York City Bar Association, Housing & Urban Development Committee

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- 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)