



# Phillip S. Koh

Partner

Financial Markets and Funds

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**Phillip Koh concentrates his practice in financial services and asset management matters, advising investment managers and buy-side clients on transactional, regulatory and related issues. He also extensively counsels clients, including cryptocurrency exchanges and dealers, on the developing laws and regulations relating to digital assets and distributed ledger technology.**

## **Financial services offers advice on a diverse range of matters**

Phillip advises investment advisers, commodity pool operators and commodity trading advisors on the formation, structuring and offering of pooled investment vehicles. He also provides advice with respect to ongoing regulatory and operational matters relating to such vehicles, including compliance obligations under federal securities and commodities laws and regulations. In addition, he counsels financial institutions with respect to potential hedge fund investments both inside and outside of the United States.

He also has extensive experience in the area of digital assets, closely advising cryptocurrency exchanges, dealers and other market participants. He provides advice on various federal and state laws and regulations applicable to digital assets, including state money transmitter laws and other state regulations relating to virtual currency businesses.

Phillip attended law school on a full merit scholarship. While in law school, he was a semifinalist in the William Minor Lile Moot Court Competition. He received the McGuireWoods Best Brief Award and the Paul Hastings Best Oralist Award in this contest.

## **Practices**

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- Artificial Intelligence
- Cryptoassets and Blockchain Technology
- Financial Markets and Funds
- Investment Management and Trading

## **Industries**

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- Finance and Financial Markets

## **Education**

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- JD, University of Virginia School of Law, *Order of the Coif*
- BA, University of California, Irvine, *magna cum laude, Phi Beta Kappa*

## **Bar Admissions**

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- New York
- California

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## Recognitions

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*Recognized or listed in the following:*

- *Financial Times*
  - US Innovative Lawyers, 2013

## News

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- *Law360* Celebrates Katten's New Partner Class (February 8, 2021)
- Katten Announces New Partner Class (October 30, 2020)
- David Dickstein, Richard Marshall and Phillip Koh Assist LSTA With Fiduciary Standard Comment Letter (August 27, 2018)
- Katten Included in *Financial Times*' US Innovative Lawyers 2013 (November 22, 2013)

## Publications

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- Action Required: Impact of Corporate Transparency Act on Investment Managers (February 29, 2024)
- *UK Financial Insights from Katten* | Issue 1 (July 2023)
- A New Era for Continuation Fund Transactions: ILPA Issues New Guidance (June 27, 2023)
- Fintech 2022 Guide (March 24, 2022)
- 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)
- Hybrid Funds and the Administrative Quandary (October 21, 2019)
- FinCEN Publishes Guidance Pertaining to Certain Business Models Involving Convertible Virtual Currencies (June 26, 2019)
- Department of Labor Finalizes 18-Month Extension for Simplified Compliance With the BIC Exemption Under the ERISA Fiduciary Advice Rule (November 30, 2017)
- Sign of Future Changes? DOL Proposes 18-Month Extension of Transition Period for Compliance With ERISA "Fiduciary Investment Advice" Rule (August 11, 2017)
- Compliance With the ERISA Fiduciary Advice Rule for Private Investment Fund Managers and Sponsors and Managed Account Advisers: Beginning June 9, 2017 (June 6, 2017)

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- Recent Key Bitcoin and Virtual Currency Regulatory and Law Enforcement Developments (November 13, 2014)
- IRS Issues Pronouncement on Virtual Currencies (April 3, 2014)
- Bitcoin: Current US Regulatory Developments (November 26, 2013)

## Presentations and Events

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- Overview of the Corporate Transparency Act for Financial Markets and Funds Practitioners (March 4, 2024) | *Speaker*
- 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*
- 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*
- The Evolution of the Application of Law to Blockchain Technology and Cryptoassets: Where Have We Come From and Where Are We Going? (June 26, 2019) | *Panelist*