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Related Services

- Broker-Dealer Litigation
- Commodities / Derivatives / Energy
- Consumer Financial Protection Bureau
- Consumer Financial Services Defense
- Corporate
- Corporate Counseling
- Family Office
- FinTech
- Financial Services Litigation, Regulation and Enforcement
- Internal Investigations
- Mergers, Acquisitions and Joint Ventures
- Private Funds and Asset Management
- Regulatory Compliance and Enforcement Actions

Education

- J.D., Indiana University Maurer School of Law - Bloomington, 1998
- B.S., Massachusetts Institute of Technology, 1995

K. Thomas Ko

Partner

Thomas Ko advises clients on bank regulatory matters, bank and financial holding company regulation, and sanctions and anti-money laundering regulations. He also counsels clients on an array of Dodd-Frank Act matters such as the enhanced prudential standards, swap dealer regulation, Volcker Rule compliance and resolution planning.

Tom represents banks and their subsidiaries in front of federal and state banking regulators, including the Federal Reserve, Office of the Comptroller of the Currency, the FDIC, the NYS Department of Financial Services, the California Department of Business Oversight, the Texas Department of Banking, the Georgia Department of Banking and Finance, the Washington Department of Financial Institutions and the Illinois Department of Financial and Professional Regulation. He also represents clients including broker-dealers, swap dealers and investment advisers before the SEC and the CFTC in regulatory and enforcement matters. He has represented financial institutions in regulatory applications such as bank and nonbank acquisitions and divestitures.

Tom is a former assistant general counsel to The Bank of Tokyo-Mitsubishi-UFJ, Ltd. and its subsidiary, MUFG Union Bank, N.A. At the Bank of Tokyo-Mitsubishi UFJ, he was responsible for U.S. regulatory matters, including bank, bank holding company, financial holding company and foreign banking organization regulation; implementation of the Dodd-Frank Act; new product legal review; anti-money laundering and sanctions issues; and strategic projects. Before that, he was head of the U.S. regulatory group of Canadian Imperial Bank of Commerce and CIBC World Markets Corp., where he was responsible for bank regulatory and corporate governance matters.

Speeches & Events

- Speaker, "The CARES Act and Paycheck Protection Program — What You Need to Know," REBNY Webinar Series, April 14, 2020

Publications

- Co-author, "Proposed Revisions to the Volcker Rule's Implementing Rules – Select Proposals and Open Questions," *Real Estate Finance Journal*, July 2, 2018

Quoted In:

- "Why Changes From the Fed Mean New Opportunities for Credit Union," *Credit Union Journal*, May 20, 2020

K. Thomas Ko

- "Are De Novos Making a Comeback?" *Independent Banker*, February 14, 2020

Admitted To Practice

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